

News You Can Use
for MPO & RPO TAC MEMBERS
REGARDING THE STATE GOVERNMENT ETHICS ACT

TAC MEMBERS MUST ANNUALLY FILE A STATEMENT OF ECONOMIC INTEREST (SEI) AND REAL ESTATE DISCLOSURE FORM (RED) WITH THE STATE ETHICS COMMISSION

1. What is an SEI?

An SEI is a financial disclosure form about your and your **immediate** family members' financial, business and professional relationships.

2. When am I required to file my SEI and my RED?

Prior to assuming your position on the TAC of an MPO or RPO, you must file an SEI **and** an RED **and** receive your SEI evaluation letter from the Commission. Thereafter, you must **annually file an SEI and an RED on or before April 15th of each year.** (For example, if you filed your initial SEI and RED on September 10, 2014, you will need to file a 2015 SEI and a 2015 RED on or before April 15, 2015.)

3. How do I file my SEI and RED?

The Commission strongly recommends **on-line filing** as it is secure, allows easy information updates, and gives you access to your electronic SEIs previously filed. Filing your SEI on-line is easy, quick, convenient, and reduces the chance of reporting errors. Getting started is easy. Follow the simple steps to create your own NCID account and get access today: <http://www.ethicscommission.nc.gov/library>.

To file a paper version of the SEI, you must provide the Commission with a **signed, original** SEI form. Each SEI includes an "affirmation" and is a legally binding document.

4. Should I file my 2015 SEI and 2015 RED prior to January 1, 2015?

No. The 2015 SEI and RED forms will not be available until January 2015. In addition, your 2015 SEI/and RED will be based on responses to the questions **as of December 31, 2014.**

5. What is the 2015 SEI and RED filing period?

The filing period opens January 1, 2015 and closes April 15, 2015. **The filing deadline is April 15th.** SEI and RED forms received after April 15, 2015 are late and subject to the penalties below.

6. Is there a penalty for not filing, late filing, or filing an incomplete SEI and RED?

YES, effective October 1, 2014 - BOTH FINES AND CRIMINAL PENALTIES.

FINES: The Commission is required to impose a \$250 fine for late filing or failure to file an SEI or an RED, with a potential for a total of \$500 for late filing of both documents.

CRIMINAL PENALTIES: Failure to timely file a complete SEI and a complete RED within 60 days of receipt of notice of failure to file or incomplete filing **shall be a Class 1 Misdemeanor for each separate form.** There are also **criminal penalties** for knowingly failing to disclose information or providing false information.

REPORTING: The Commission shall **report failure to file and written allegations of failure to file the SEI, the RED, or both the SEI and the RED to the State Bureau of Investigation for investigation and possible prosecution** unless the Commission finds extenuating circumstances exist.

SAVE THE DATE - DECEMBER 2, 2014 from 9:00 - 10:30 am - SEI and RED Education Webinar

This online event will be livestream broadcasted for viewing on your computer by linking in and clicking on event titled **MPO/RPO Ethics Training.** Link in at <http://new.livestream.com/nc-dot>. The Webinar will cover 1) the SEI and RED filing requirements, 2) the fines and criminal sanctions for filing violations that went into effect on October 1, 2014, and 3) other ethics obligations, such as conflicts of interest prohibitions and disclosures, and penalties for such ethics violations. Questions can be submitted prior to or during the Webinar at education.ethics@doa.nc.gov.

If you have questions about the SEI or RED forms, or the filing requirements contact the State Ethics Commission at (919) 715-2071 or E-Mail: sei@doa.nc.gov.