



ROBERT L. FARMER
CHAIRMAN

1324 MAIL SERVICE CENTER
RALEIGH, NORTH CAROLINA 27699-1324
(919) 715-2071 FAX (919) 715-1644

PERRY Y. NEWSON
EXECUTIVE DIRECTOR

Volume 13, Issue 4

SEI Reminder

February 2010

SEI FILING REMINDER

Deadlines Approaching!

It's that time of year again! The State Ethics Commission wanted to provide you with the following information and frequently asked questions concerning Statement of Economic Interest ("SEI") filing requirements. Also, the Commission has recently mailed out the "pink postcard" reminders to all individuals who are required to file an SEI under the State Government Ethics Act. **Note: These postcards do not apply to candidates. Please see the information below for candidate filings.** You may also refer to the Commission's 2010 Candidate Newsletter at <http://www.sboe.state.nc.us/content.aspx?id=63>.

FILING DEADLINES.

- **All Candidates, including incumbents seeking re-election, for the General Assembly, Supreme Court, Court of Appeals, Superior Court, District Court, District Attorney, and Clerk of Court: March 8, 2010.** Also, see question 2 concerning the SEI filing location for candidates.
 - **First-Time Filers on Newly Covered Boards**
 - For first-time filers on boards covered effective January 1, 2010¹, the completed SEI must have been received or post-marked no later than **March 2, 2010**. If you are a first-time filer on one of these boards and have not filed your SEI, please contact the State Ethics Commission as soon as possible.
 - For first time-filers on boards covered effective February 15, 2010², the completed SEI must be received or post-marked no later than **April 15, 2010**.
 - **All Other Filers.** For all other filers, the completed SEI must be received or post-marked no later than **April 15, 2010**.
1. **DO I STILL HAVE TO FILE IF MY TERM HAS ALREADY EXPIRED OR WILL EXPIRE ON OR BEFORE APRIL 15TH?** If your term has already expired or will expire on or before April 15, 2010 and ***you have not been replaced or have not resigned prior to April 15th, you are still required to file an SEI on or before April 15, 2010.***

¹ NC Agricultural Hall of Fame; NC Capital Planning Commission; Crime Victims Compensation Commission; Dispute Resolution Commission; NC State Commission of Indian Affairs; NC Internship Council; NC Irrigation Contractors' Licensing Board; Judicial Standards Commission; Local Health Department Accreditation Board; NC Partnership for Children, Inc.; Public Officers and Employees Liability Insurance Commission; Supplemental Retirement Board of Trustees; NC Teacher Academy Board of Trustees; Tryon Palace Commission; Veteran's Affairs Commission; Water Pollution Control System Operators Certification Commission; Council for Women; NC Center for the Advancement of Teaching Board of Trustees.

² Domestic Violence Commission; State Health Plan Board of Trustees; Tax Information Management System ("TIMS") Oversight Committee.

2. **WHERE DO I FILE?**

a. **Candidates.**

- Candidates for Supreme Court, Court of Appeals, Superior Court, District Court and District Attorney file with the **State Board of Elections**.
- Candidates for the General Assembly and Clerk of Court file with the **county board of elections**.

b. **All Other Filers.** All other filers, including members of newly covered boards, file with the **State Ethics Commission** either by mail or in-person at the Commission's offices at 424 N. Blount Street in Raleigh. A map to the Commission's offices is available on the website at <http://www.ethicscommission.nc.gov/>.

3. **WHICH FORM DO I USE?**

a. **Candidates.**

- The **2010 Long Form Statement of Economic Interest ("SEI")** is for first time filers and those who filed an SEI with the State Ethics Commission in 2009 but have changes from the prior year.
- The **No-Change Form** is for those who already have a current, accurate 2008 Long Form on file with the State Ethics Commission. If you filed a No-Change Form in 2009, you may file another No-Change Form in 2010.
- Both forms are available at <http://www.sboe.state.nc.us/content.aspx?id=63>.

b. **All Other Filers.**

- The **Long Form** is for first-time filers and those with significant changes from the prior year.
- The **No-Change Form** is for those who already have a current, accurate Long Form on file with the Commission.
 - **Filing Tip.** If you filed a No-Change Form in 2009, you may file another No-Change Form in 2010.
- The **Amendment Form** is for those who have changes to one or more specific questions.
 - **Filing Tips.**
 - If you have changes to more than three questions, it is suggested that you complete a new Long-Form.
 - If you are filing an Amendment, you only need to complete the questions where your information has changed. If, for example, you leave question #6 blank on the amendment, your prior answer stands.
- All forms are available at <http://www.ethicscommission.nc.gov/secoi.htm>.

4. **DO I HAVE TO RESPOND TO EVERY QUESTION? Yes.** You **must** respond to **all** questions, even if they do not apply to you or members of your immediate family. If the question does not apply, you may indicate "none" or "not applicable."

5. **CAN I FAX OR SCAN AND E-MAIL THE COMPLETED FORM? No.** The Commission must receive the **signed, notarized, original** of your SEI.

6. **ARE THERE PENALTIES? Yes.**

- a. **Civil Penalties for Late or Non-Filing.** The State Ethics Commission may levy a \$250.00 fine for late or non-filing. The Commission may also recommend removal from your public position.
- b. **Criminal Penalties.** Knowingly concealing or failing to disclose information is a Class 1 misdemeanor. Knowingly providing false information is a Class H felony. In addition, knowingly concealing, failing to disclose, or providing false information may be used in prosecutions by other law enforcement agencies.

QUESTIONS.

If you have any questions concerning your SEI filing, please contact the State Ethics Commission by phone at (919) 715-2071 or by e-mail at ethics.commission@doa.nc.gov.