



98TH GENERAL ASSEMBLY

State of Illinois

2013 and 2014

HB5821

by Rep. Darlene J. Senger

SYNOPSIS AS INTRODUCED:

5 ILCS 420/1-102.5 new	
5 ILCS 420/1-104.3 new	
5 ILCS 420/1-104.4 new	
5 ILCS 420/1-104.5 new	
5 ILCS 420/1-105	from Ch. 127, par. 601-105
5 ILCS 420/1-105.2 new	
5 ILCS 420/1-105.3 new	
5 ILCS 420/1-105.4 new	
5 ILCS 420/1-105.6 new	
5 ILCS 420/1-105.7 new	
5 ILCS 420/1-110	from Ch. 127, par. 601-110
5 ILCS 420/1-112.5 new	
5 ILCS 420/1-113.6 new	
5 ILCS 420/1-113.7 new	
5 ILCS 420/4A-102	from Ch. 127, par. 604A-102
5 ILCS 420/4A-103	from Ch. 127, par. 604A-103
5 ILCS 420/4A-108	
5 ILCS 420/4A-104 rep.	
25 ILCS 170/6	from Ch. 63, par. 176

Amends the Illinois Governmental Ethics Act. Creates a uniform statement of economic interest form that must be completed by all persons who are required to file that form under the Act. Changes the nature of the required disclosures that must be made. Authorizes the Secretary of State to institute an electronic statement of economic interest filing system. Repeals a provision that established a separate form for persons required to file a statement of economic interests with county clerks. Effective January 1, 2016.

LRB098 15890 OMW 50935 b

1 AN ACT concerning State government.

2 **Be it enacted by the People of the State of Illinois,**
3 **represented in the General Assembly:**

4 Section 5. The Illinois Governmental Ethics Act is amended
5 by changing Sections 1-105, 1-110, 4A-102, 4A-103, and 4A-108
6 and by adding Sections 1-102.5, 1-104.3, 1-104.4, 1-104.5,
7 1-105.2, 1-105.3, 1-105.4, 1-105.6, 1-105.7, 1-112.5, 1-113.6,
8 and 1-113.7 as follows:

9 (5 ILCS 420/1-102.5 new)

10 Sec. 1-102.5. "Asset" means, for the purposes of Sections
11 4A-102 and 4A-103, an item that is owned and has monetary
12 value. For the purposes of Sections 4A-102 and 4A-103, assets
13 include, but are not limited to: stocks, bonds (except those
14 issued by the federal, state, or local governments), sector
15 mutual funds, sector exchange traded funds, commodity futures,
16 investment real estate, and partnership interests. For the
17 purposes of Sections 4A-102 and 4A-103, assets do not include:
18 personal residences; personal vehicles; savings or checking
19 accounts; bonds, notes, or securities issued by any branch of
20 federal, state, or local government; Medicare benefits;
21 inheritances or bequests; diversified mutual funds; annuities;
22 pensions (including government pensions); retirement accounts;
23 college savings plans that are qualified tuition plans;

1 non-income producing trust holdings; or tangible personal
2 property.

3 (5 ILCS 420/1-104.3 new)

4 Sec. 1-104.3. "Creditor" means, for the purposes of
5 Sections 4A-102 and 4A-103, an individual, organization, or
6 other business entity to whom money or its equivalent is owed,
7 no matter whether that obligation is secured or unsecured,
8 except that if a filer makes a loan to members of his or her
9 family, a political committee registered with the Illinois
10 State Board of Elections, or a political committee, principal
11 campaign committee, or authorized committee registered with
12 the Federal Election Commission, then that filer does not, by
13 making such a loan, become a creditor of that individual or
14 entity for the purposes of Sections 4A-102 and 4A-103 of this
15 Act.

16 (5 ILCS 420/1-104.4 new)

17 Sec. 1-104.4. "Debt" means, for the purposes of Sections
18 4A-102 and 4A-103, any money or monetary obligation owed at any
19 time during the preceding calendar year to an individual,
20 company, or other organization, other than a loan that is from
21 a financial institution, government agency, or business entity
22 and that is granted on terms made available to the general
23 public. For the purposes of Sections 4A-102 and 4A-103, "debt"
24 includes, but is not limited to: personal loans from friends or

1 business associates, business loans made outside the lender's
2 regular course of business, and loans made at below market
3 rates. For the purposes of Sections 4A-102 and 4A-103, "debt"
4 does not include: (i) debts to or from financial institutions
5 or government entities, such as mortgages, student loans,
6 credit card debts, or loans secured by automobiles, household
7 furniture, or appliances, as long as those loans were made on
8 terms available to the general public and do not exceed the
9 purchase price of the items securing them; or (ii) debts to or
10 from a political committee registered with the Illinois State
11 Board of Elections or political committees, principal campaign
12 committees, or authorized committees registered with the
13 Federal Election Commission.

14 (5 ILCS 420/1-104.5 new)

15 Sec. 1-104.5. "Diversified funds" means investment
16 products, such as mutual funds, exchange traded funds, or unit
17 investment trusts, that invest in a wide variety of securities.

18 (5 ILCS 420/1-105) (from Ch. 127, par. 601-105)

19 Sec. 1-105. "Economic opportunity" means any purchase,
20 sale, lease, contract, option, or other transaction or
21 arrangement involving property or services wherein a
22 legislator or, in the case of Sections 4A-102 and 4A-103, the
23 filer may gain an economic benefit. The term shall not include
24 gifts.

1 (Source: Laws 1967, p. 3401.)

2 (5 ILCS 420/1-105.2 new)

3 Sec. 1-105.2. "Economic relationship" means, for the
4 purposes of Sections 4A-102 and 4A-103, any relationship that
5 provides the filer with income or an economic opportunity. For
6 the purposes of Sections 4A-102 and 4A-103, economic
7 relationships include, but are not limited to, ownership
8 interests in family-owned businesses and creditor-debtor
9 relationships with third parties other than commercial lending
10 institutions.

11 (5 ILCS 420/1-105.3 new)

12 Sec. 1-105.3. "Family" means, for the purposes of Sections
13 4A-102 and 4A-103, a filer's spouse (including a party to a
14 civil union or a registered domestic partner), children,
15 step-children, parents, step-parents, siblings, step-siblings,
16 half-siblings, brothers-in-law, sisters-in-law, sons-in-law,
17 daughters-in-law, aunts, uncles, nieces, nephews, great-aunts,
18 great-uncles, first cousins, grandfathers, grandmothers,
19 grandsons, and granddaughters, as well as the father, mother,
20 grandfather, and grandmother of the filer's spouse (including a
21 party to a civil union or a registered domestic partner).

22 (5 ILCS 420/1-105.4 new)

23 Sec. 1-105.4. "Filer" means, for the purposes of Section

1 4A-102 and 4A-103, a person required to file a statement of
2 economic interests pursuant to this Act.

3 (5 ILCS 420/1-105.6 new)

4 Sec. 1-105.6. "Income" means, for the purposes of Sections
5 4A-102 and 4A-103, income from whatever source derived,
6 required to be reported on the filer's federal income tax
7 return, including, but not limited to: compensation received
8 for services rendered or to be rendered (as reported on any
9 Internal Revenue Service forms, including, but not limited to,
10 W-2, 1099, or K-1); earnings or capital gains from the sale of
11 assets; profit; interest or dividend income from all assets;
12 revenue from leases and rentals, royalties, prizes, awards, or
13 barter; forgiveness of debt; and earnings derived from
14 annuities or trusts other than testamentary trusts. "Income"
15 does not include compensation earned for service in the
16 position that necessitates the filing of the statement of
17 economic interests or income from the sale of a personal
18 residence or personal vehicle.

19 (5 ILCS 420/1-105.7 new)

20 Sec. 1-105.7. "Investment real estate" means any real
21 property, other than a filer's personal residences, purchased
22 to produce a profit, whether from income or resale.

23 (5 ILCS 420/1-110) (from Ch. 127, par. 601-110)

1 Sec. 1-110. "Lobbyist" means an individual who is required
2 to be registered to engage in lobbying activities pursuant to
3 any statute, regulation, or ordinance adopted by a unit of
4 government in the State of Illinois ~~any person required to be~~
5 ~~registered under "An Act concerning lobbying and providing a~~
6 ~~penalty for violation thereof", approved July 10, 1957, as~~
7 ~~amended.~~

8 (Source: Laws 1967, p. 3401.)

9 (5 ILCS 420/1-112.5 new)

10 Sec. 1-112.5. "Personal residence" means, for the purposes
11 of Sections 4A-102 and 4A-103, a filer's primary home residence
12 and any residential real property held by the filer and used by
13 the filer for residential rather than commercial or income
14 generating purposes.

15 (5 ILCS 420/1-113.6 new)

16 Sec. 1-113.6. "Sector funds" means mutual funds or exchange
17 traded funds invested in a particular industry or business.

18 (5 ILCS 420/1-113.7 new)

19 Sec. 1-113.7. "Spouse" means a party to a marriage, a party
20 to a civil union, or a registered domestic partner.

21 (5 ILCS 420/4A-102) (from Ch. 127, par. 604A-102)

22 Sec. 4A-102. The statement of economic interests required

1 by this Article shall include the economic interests of the
2 person making the statement as provided in this Section. The
3 following interests shall be listed by all persons required to
4 file:

5 (1) each asset that has a value of more than \$10,000 as
6 of the end of the preceding calendar year and is: (i) held
7 in the filer's name, (ii) held jointly by the filer with
8 his or her spouse, or (iii) held jointly by the filer with
9 his or her minor child or children;

10 (2) excluding the income from the position that
11 requires the filing of a statement of economic interests
12 under this Act, each source of income that generated in
13 excess of \$2,500 in income during the preceding calendar
14 year (as reported on the filer's federal income tax return
15 covering the preceding calendar year) and, if the sale or
16 transfer of an asset produced more than \$2,500 in capital
17 gains during the preceding calendar year, the transaction
18 date on which that asset was sold or transferred;

19 (3) each creditor of a debt in excess of \$5,000 that,
20 during the preceding calendar year, was: (i) owed by the
21 filer, (ii) owed jointly by the filer with his or her
22 spouse or (iii) owed jointly by the filer with his or her
23 minor child or children;

24 (4) each debtor of a debt in excess of \$5,000 that,
25 during the preceding calendar year, was: (i) owed to the
26 filer, (ii) owed jointly to the filer with his or her

1 spouse or (iii) owed jointly to the filer with his or her
2 minor child or children;

3 (5) each lobbyist who is registered with any unit of
4 government in the State of Illinois and with whom the filer
5 maintains an economic relationship and each lobbyist
6 registered with any unit of government in the State of
7 Illinois who is a member of the filer's family; and

8 (6) each source and type of gift or gifts, or
9 honorarium or honoraria, valued singly or in the aggregate
10 in excess of \$1,000 that was received during the preceding
11 calendar year.

12 For the purposes of this Section, the unit of local
13 government in relation to which a person is required to file
14 under item (o) of Section 4A-101 shall be the unit of local
15 government that contributes to the pension fund of which such
16 person is a member of the board.

17 ~~The interest (if constructively controlled by the person~~
18 ~~making the statement) of a spouse or any other party, shall be~~
19 ~~considered to be the same as the interest of the person making~~
20 ~~the statement. Campaign receipts shall not be included in this~~
21 ~~statement.~~

22 ~~(a) The following interests shall be listed by all~~
23 ~~persons required to file:~~

24 ~~(1) The name, address and type of practice of any~~
25 ~~professional organization or individual professional~~
26 ~~practice in which the person making the statement was~~

1 ~~an officer, director, associate, partner or~~
2 ~~proprietor, or served in any advisory capacity, from~~
3 ~~which income in excess of \$1200 was derived during the~~
4 ~~preceding calendar year;~~

5 ~~(2) The nature of professional services (other~~
6 ~~than services rendered to the unit or units of~~
7 ~~government in relation to which the person is required~~
8 ~~to file) and the nature of the entity to which they~~
9 ~~were rendered if fees exceeding \$5,000 were received~~
10 ~~during the preceding calendar year from the entity for~~
11 ~~professional services rendered by the person making~~
12 ~~the statement.~~

13 ~~(3) The identity (including the address or legal~~
14 ~~description of real estate) of any capital asset from~~
15 ~~which a capital gain of \$5,000 or more was realized in~~
16 ~~the preceding calendar year.~~

17 ~~(4) The name of any unit of government which has~~
18 ~~employed the person making the statement during the~~
19 ~~preceding calendar year other than the unit or units of~~
20 ~~government in relation to which the person is required~~
21 ~~to file.~~

22 ~~(5) The name of any entity from which a gift or~~
23 ~~gifts, or honorarium or honoraria, valued singly or in~~
24 ~~the aggregate in excess of \$500, was received during~~
25 ~~the preceding calendar year.~~

26 ~~(b) The following interests shall also be listed by~~

1 ~~persons listed in items (a) through (f), item (l), item~~
2 ~~(n), and item (p) of Section 4A-101:~~

3 ~~(1) The name and instrument of ownership in any~~
4 ~~entity doing business in the State of Illinois, in~~
5 ~~which an ownership interest held by the person at the~~
6 ~~date of filing is in excess of \$5,000 fair market value~~
7 ~~or from which dividends of in excess of \$1,200 were~~
8 ~~derived during the preceding calendar year. (In the~~
9 ~~case of real estate, location thereof shall be listed~~
10 ~~by street address, or if none, then by legal~~
11 ~~description). No time or demand deposit in a financial~~
12 ~~institution, nor any debt instrument need be listed;~~

13 ~~(2) Except for professional service entities, the~~
14 ~~name of any entity and any position held therein from~~
15 ~~which income of in excess of \$1,200 was derived during~~
16 ~~the preceding calendar year, if the entity does~~
17 ~~business in the State of Illinois. No time or demand~~
18 ~~deposit in a financial institution, nor any debt~~
19 ~~instrument need be listed.~~

20 ~~(3) The identity of any compensated lobbyist with~~
21 ~~whom the person making the statement maintains a close~~
22 ~~economic association, including the name of the~~
23 ~~lobbyist and specifying the legislative matter or~~
24 ~~matters which are the object of the lobbying activity,~~
25 ~~and describing the general type of economic activity of~~
26 ~~the client or principal on whose behalf that person is~~

1 ~~lobbying.~~

2 ~~(c) The following interests shall also be listed by~~
3 ~~persons listed in items (g), (h), (i), and (o) of Section~~
4 ~~4A-101:~~

5 ~~(1) The name and instrument of ownership in any~~
6 ~~entity doing business with a unit of local government~~
7 ~~in relation to which the person is required to file if~~
8 ~~the ownership interest of the person filing is greater~~
9 ~~than \$5,000 fair market value as of the date of filing~~
10 ~~or if dividends in excess of \$1,200 were received from~~
11 ~~the entity during the preceding calendar year. (In the~~
12 ~~case of real estate, location thereof shall be listed~~
13 ~~by street address, or if none, then by legal~~
14 ~~description). No time or demand deposit in a financial~~
15 ~~institution, nor any debt instrument need be listed.~~

16 ~~(2) Except for professional service entities, the~~
17 ~~name of any entity and any position held therein from~~
18 ~~which income in excess of \$1,200 was derived during the~~
19 ~~preceding calendar year if the entity does business~~
20 ~~with a unit of local government in relation to which~~
21 ~~the person is required to file. No time or demand~~
22 ~~deposit in a financial institution, nor any debt~~
23 ~~instrument need be listed.~~

24 ~~(3) The name of any entity and the nature of the~~
25 ~~governmental action requested by any entity which has~~
26 ~~applied to a unit of local government in relation to~~

1 ~~which the person must file for any license, franchise~~
2 ~~or permit for annexation, zoning or rezoning of real~~
3 ~~estate during the preceding calendar year if the~~
4 ~~ownership interest of the person filing is in excess of~~
5 ~~\$5,000 fair market value at the time of filing or if~~
6 ~~income or dividends in excess of \$1,200 were received~~
7 ~~by the person filing from the entity during the~~
8 ~~preceding calendar year.~~

9 ~~For the purposes of this Section, the unit of local~~
10 ~~government in relation to which a person required to file under~~
11 ~~item (c) of Section 4A-101 shall be the unit of local~~
12 ~~government that contributes to the pension fund of which such~~
13 ~~person is a member of the board.~~

14 (Source: P.A. 96-6, eff. 4-3-09; 97-754, eff. 7-6-12.)

15 (5 ILCS 420/4A-103) (from Ch. 127, par. 604A-103)

16 Sec. 4A-103. The statement of economic interests required
17 by this Article to be filed with the Secretary of State or
18 county clerk shall be ~~filled in by typewriting or hand~~
19 ~~printing, shall be~~ verified, dated, and signed by the person
20 making the statement and shall contain substantially the
21 following:

22 STATEMENT OF ECONOMIC INTERESTS

23 INSTRUCTIONS:

1 You may find the following documents helpful to you in
2 completing this form:

3 (1) federal income tax returns, including any related
4 schedules, attachments, and forms; and

5 (2) investment and brokerage statements.

6 To complete this form, you do not need to disclose specific
7 amounts or values or report interests relating either to
8 political committees registered with the Illinois State Board
9 of Elections or to political committees, principal campaign
10 committees, or authorized committees registered with the
11 Federal Election Commission.

12 The information you disclose will be available to the
13 public.

14 You must answer all 6 questions. Certain questions will ask
15 you to report any applicable assets or debts held in your name;
16 held jointly with your spouse; or held jointly by you with your
17 minor child. If you have any concerns about whether an interest
18 should be reported, please consult your department's ethics
19 officer, if applicable.

20 Please ensure that the information you provide is complete
21 and accurate. If you need more space than the form allows,
22 please attach additional pages for your response. If you are
23 subject to the State Officials and Employees Ethics Act, your
24 ethics officer must review your statement of economic interests
25 before you file it. Failure to complete the statement in good
26 faith and within the prescribed deadline may subject you to

1 finer, imprisonment, or both.

2 DEFINITIONS, EXAMPLES AND FURTHER INSTRUCTIONS:

3 As used in this form:

4 "Asset" means an item that is owned and has monetary value.

5 Assets include, but are not limited to: stocks, bonds (except
6 those issued by the federal, state or local governments),
7 sector mutual funds, sector exchange traded funds, commodity
8 futures, investment real estate and partnership interests.

9 "Asset" does not include: personal residences; personal
10 vehicles; savings or checking accounts; bonds, notes or
11 securities issued by any branch of federal, state or local
12 government; Medicare benefits; inheritances or bequests;
13 diversified mutual funds; diversified exchange traded funds;
14 annuities; pensions (including government pensions);
15 retirement accounts; college savings plans that are qualified
16 tuition plans; non-income producing trust holdings; or
17 tangible personal property.

18 "Creditor" means an individual, organization, or other
19 business entity to whom money or its equivalent is owed, no
20 matter whether that obligation is secured or unsecured, except
21 that if a filer makes a loan to members of his or her family, a
22 political committee registered with the Illinois State Board of
23 Elections, or a political committee, principal campaign
24 committee, or authorized committee registered with the Federal
25 Election Commission, then that filer does not, for the purposes

1 of this form, become a creditor of that individual or entity by
2 making such a loan.

3 "Debt" means any money or monetary obligation owed at any
4 time during the preceding calendar year to an individual,
5 company, or other organization, other than a loan that is from
6 a financial institution, government agency, or business entity
7 and that is granted on terms made available to the general
8 public. "Debt" includes, but is not limited to: personal loans
9 from friends or business associates, business loans made
10 outside the lender's regular course of business, and loans made
11 at below market rates. "Debt" does not include: (i) debts to or
12 from financial institutions or government entities, such as
13 mortgages, student loans, credit card debts, or loans secured
14 by automobiles, household furniture, or appliances, as long as
15 those loans were made on terms available to the general public
16 and do not exceed the purchase price of the items securing
17 them; or (ii) debts to or from political committees registered
18 with the Illinois State Board of Elections or political
19 committees, principal campaign committees, or authorized
20 committees registered with the Federal Election Commission.

21 "Diversified funds" are investment products, such as
22 mutual funds, exchange traded funds, or unit investment trusts,
23 that invest in a wide variety of securities.

24 "Economic opportunity" means any purchase, sale, lease,
25 contract, option or other transaction or arrangement involving
26 property or services wherein the filer may gain an economic

1 benefit. The term shall not include gifts.

2 "Economic relationship" means any relationship that
3 provides the filer with income or an economic opportunity.
4 Economic relationships include, but are not limited to,
5 ownership interests in family-owned businesses and
6 creditor-debtor relationships with third parties other than
7 commercial lending institutions.

8 "Family" means a filer's spouse, children, step-children,
9 parents, step-parents, siblings, step-siblings, half-siblings,
10 brothers-in-law, sisters-in-law, sons-in-law,
11 daughters-in-law, aunts, uncles, nieces, nephews, great-aunts,
12 great-uncles, first cousins, grandfathers, grandmothers,
13 grandsons, and granddaughters, as well as the father, mother,
14 grandfather, and grandmother of the filer's spouse.

15 "Income" means, for the purposes of Sections 4A-102 and
16 4A-103, income, from whatever source derived, required to be
17 reported on the filer's federal income tax return, including,
18 but not limited to: compensation received for services rendered
19 or to be rendered (as reported on any Internal Revenue Service
20 forms, including, but not limited to, W-2, 1099, or K-1);
21 earnings or capital gains from the sale of assets; profit;
22 interest or dividend income from all assets; revenue from
23 leases and rentals, royalties, prizes, awards or barter;
24 forgiveness of debt; and earnings annuities or trusts other
25 than testamentary trusts. "Income" does not include
26 compensation earned from service in the position that

1 necessitates the filing of the statement of economic interests
2 or income from the sale of a personal residence or personal
3 vehicle.

4 "Investment real estate" means any real property, other
5 than a filer's personal residences, purchased to produce a
6 profit, whether from income or resale.

7 "Lobbyist" means an individual who is required to be
8 registered to engage in lobbying activities pursuant to any
9 statute, regulation, or ordinance adopted by a unit of
10 government in the State of Illinois.

11 "Personal residence" means a filer's primary home
12 residence and any residential real property held by the filer
13 and used by the filer for residential rather than commercial or
14 income generating purposes.

15 "Sector funds" means mutual funds or exchange traded funds
16 invested in a particular industry or business.

17 "Spouse" means a party to a marriage, a party to a civil
18 union, or a registered domestic partner.

19 BASIC INFORMATION:

20 Name:

21 Job title:

22 Office, department, or agency that requires you to file this
23 form:

24 Other offices, departments, or agencies that require you to
25 file a Statement of Economic Interests form:

1 Full mailing address:

2 Preferred e-mail address (optional)

3 QUESTIONS:

4 1. If you have any single asset that was worth more than
5 \$10,000 as of the end of the preceding calendar year and is
6 held in your name, held jointly by you with your spouse, or
7 held jointly by you with your minor child, list such assets
8 below. If you do not have any such assets, list "none" below.

9
10
11
12
13

14 2. Excluding the position for which you are required to
15 file this form, list the source of any income in excess of
16 \$2,500 in income as reported on your federal income tax return
17 covering the preceding calendar year. If you sold an asset that
18 produced more than \$2,500 in capital gains in the preceding
19 calendar year, list the name of the asset and the transaction
20 date on which the sale or transfer took place. If you had no
21 other sources of income exceeding \$2,500, list "none" below.

22 Source of Income / Name of Date Sold (if applicable)

23 Asset

24

1
.....

2
.....

3 3. Excluding debts incurred on terms available to the
4 general public, such as mortgages, student loans, and credit
5 card debts, if you owed any single debt in the preceding
6 calendar year exceeding \$5,000, list the creditor of the debt
7 below. If you had no such debts, list "none" below.

8 List the creditor for all applicable debts owed by you,
9 owed jointly by you with your spouse, or owed jointly by you
10 with your minor child. In addition to the types of debts listed
11 above, you do not need to report any debts to or from financial
12 institutions or government agencies, such as debts secured by
13 automobiles, household furniture or appliances, as long as the
14 debt was made on terms available to the general public and does
15 not exceed the purchase price of the item securing the loan,
16 debts to members of your family, or debts to or from a
17 political committee registered with the Illinois State Board of
18 Elections or any political committee, principal campaign
19 committee, or authorized committee registered with the Federal
20 Election Commission.

21
.....

22
.....

23
.....

24
.....

25 4. Excluding debts owed to you by members of your family or
26 by a political committee, if there is any entity or person who

1 owed any debt to you in the preceding calendar year exceeding
 2 \$5,000, list the debtor below. If no such debts were owed to
 3 you, list "none" below.

4 List the debtor for all applicable debts owed to you, owed
 5 jointly to you with your spouse, or owed jointly to you with
 6 your minor child. You do not need to report loans made to
 7 members of your family or to a political committee registered
 8 with the Illinois State Board of Elections or any political
 9 committee, principal campaign committee, or authorized
 10 committee registered with the Federal Election Commission.

11
 12
 13

14 5. If you maintain an economic relationship with a lobbyist
 15 or if a member of your family is a lobbyist registered with any
 16 unit of government in the State of Illinois, list the name of
 17 the lobbyist below and identify the nature of your relationship
 18 with the lobbyist. If you do not have an economic association
 19 with a lobbyist, list "none" below.

<u>Name of Lobbyist</u>	<u>Relationship to Filer</u>
.....
.....
.....

24 6. List the name of any person, organization, or entity
 25 that was the source of a gift or gifts, or honorarium or

1 honoraria, valued singly or in the aggregate in excess of
2 \$1,000 received during the preceding calendar year.

3

4

5

6 VERIFICATION:

7 "I declare that this statement of economic interests
8 (including any attachments) has been examined by me and to the
9 best of my knowledge and belief is a true, correct and complete
10 statement of my economic interests as required by the Illinois
11 Governmental Ethics Act. I understand that the penalty for
12 willfully filing a false or incomplete statement is a fine not
13 to exceed \$2,500 or imprisonment in a penal institution other
14 than the penitentiary not to exceed one year, or both fine and
15 imprisonment."

16 Printed Name of Filer

17 Date

18 Signature

19 If this statement of economic interests requires ethics officer
20 review prior to filing, the applicable ethics officer must
21 complete the following:

22 CERTIFICATION OF ETHICS OFFICER REVIEW:

23 "In accordance with law, as Ethics Officer, I reviewed this

1 statement of economic interests prior to its filing."

2 Printed Name of Ethics Officer

3 Date

4 Signature.....

5 ~~STATEMENT OF ECONOMIC INTEREST~~

6 ~~(TYPE OR HAND PRINT)~~

7

8 ~~(name)~~

9

10 ~~(each office or position of employment for which this statement~~
11 ~~is filed)~~

12

13 ~~(full mailing address)~~

14 ~~GENERAL DIRECTIONS:~~

15 ~~The interest (if constructively controlled by the person~~
16 ~~making the statement) of a spouse or any other party, shall be~~
17 ~~considered to be the same as the interest of the person making~~
18 ~~the statement.~~

19 ~~Campaign receipts shall not be included in this statement.~~

20 ~~If additional space is needed, please attach supplemental~~
21 ~~listing.~~

22 ~~1. List the name and instrument of ownership in any entity~~
23 ~~doing business in the State of Illinois, in which the ownership~~
24 ~~interest held by the person at the date of filing is in excess~~
25 ~~of \$5,000 fair market value or from which dividends in excess~~

1 ~~of \$1,200 were derived during the preceding calendar year. (In~~
 2 ~~the case of real estate, location thereof shall be listed by~~
 3 ~~street address, or if none, then by legal description.) No time~~
 4 ~~or demand deposit in a financial institution, nor any debt~~
 5 ~~instrument need be listed.~~

Business Entity	Instrument of Ownership
.....
.....
.....
.....

11 ~~2. List the name, address and type of practice of any~~
 12 ~~professional organization in which the person making the~~
 13 ~~statement was an officer, director, associate, partner or~~
 14 ~~proprietor or served in any advisory capacity, from which~~
 15 ~~income in excess of \$1,200 was derived during the preceding~~
 16 ~~calendar year.~~

Name	Address	Type of Practice
.....
.....
.....

21 ~~3. List the nature of professional services rendered (other~~
 22 ~~than to the State of Illinois) to each entity from which income~~
 23 ~~exceeding \$5,000 was received for professional services~~
 24 ~~rendered during the preceding calendar year by the person~~
 25 ~~making the statement.~~

26 ~~.....~~

1
2

3 ~~4. List the identity (including the address or legal~~
4 ~~description of real estate) of any capital asset from which a~~
5 ~~capital gain of \$5,000 or more was realized during the~~
6 ~~preceding calendar year.~~

7
8

9
10

11 ~~5. List the identity of any compensated lobbyist with whom~~
12 ~~the person making the statement maintains a close economic~~
13 ~~association, including the name of the lobbyist and specifying~~
14 ~~the legislative matter or matters which are the object of the~~
15 ~~lobbying activity, and describing the general type of economic~~
16 ~~activity of the client or principal on whose behalf that person~~
17 ~~is lobbying.~~

18	Lobbyist	Legislative Matter	Client or Principal
19
20

21 ~~6. List the name of any entity doing business in the State~~
22 ~~of Illinois from which income in excess of \$1,200 was derived~~
23 ~~during the preceding calendar year other than for professional~~
24 ~~services and the title or description of any position held in~~
25 ~~that entity. (In the case of real estate, location thereof~~
26 ~~shall be listed by street address, or if none, then by legal~~
~~description). No time or demand deposit in a financial~~
~~institution nor any debt instrument need be listed.~~

Entity Position Held

1
 2
 3

4 ~~7. List the name of any unit of government which employed~~
 5 ~~the person making the statement during the preceding calendar~~
 6 ~~year other than the unit or units of government in relation to~~
 7 ~~which the person is required to file.~~

8
 9

10 ~~8. List the name of any entity from which a gift or gifts,~~
 11 ~~or honorarium or honoraria, valued singly or in the aggregate~~
 12 ~~in excess of \$500, was received during the preceding calendar~~
 13 ~~year.~~

14

15 ~~VERIFICATION:~~

16 ~~"I declare that this statement of economic interests~~
 17 ~~(including any accompanying schedules and statements) has been~~
 18 ~~examined by me and to the best of my knowledge and belief is a~~
 19 ~~true, correct and complete statement of my economic interests~~
 20 ~~as required by the Illinois Governmental Ethics Act. I~~
 21 ~~understand that the penalty for willfully filing a false or~~
 22 ~~incomplete statement shall be a fine not to exceed \$1,000 or~~
 23 ~~imprisonment in a penal institution other than the penitentiary~~
 24 ~~not to exceed one year, or both fine and imprisonment."~~

25
 26

~~(date of filing) (signature of person making the statement)~~

1 (Source: P.A. 95-173, eff. 1-1-08.)

2 (5 ILCS 420/4A-108)

3 Sec. 4A-108. Internet-based systems of filing; required
4 training for ethics officers.

5 (a) Notwithstanding any other provision of this Act or any
6 other law, the Secretary of State and county clerks are a
7 ~~county clerk is~~ authorized to institute an Internet-based
8 system for the filing of statements of economic interests in
9 their offices his or her office. With respect to county clerk
10 systems, the ~~The~~ determination to institute such a system shall
11 be in the sole discretion of the county clerk and shall meet
12 the requirements set out in this Section. With respect to a
13 Secretary of State system, the determination to institute such
14 a system shall be in the sole discretion of the Secretary of
15 State and shall meet the requirements set out in this Section
16 and those Sections of the State Officials and Employees Ethics
17 Act requiring ethics officer review prior to filing. The system
18 shall include a means to amend a statement of economic
19 interest. When this Section does not modify or remove the
20 requirements set forth elsewhere in this Article, those
21 requirements shall apply to any system of Internet-based filing
22 authorized by this Section. When this Section does modify or
23 remove the requirements set forth elsewhere in this Article,
24 the provisions of this Section shall apply to any system of
25 Internet-based filing authorized by this Section.

1 (b) In any system of Internet-based filing of statements of
2 economic interests instituted by the Secretary of State or a
3 county clerk:

4 (1) Any filing of an Internet-based statement of
5 economic interests shall be the equivalent of the filing of
6 a verified, written statement of economic interests as
7 required by Section 4A-101 and the equivalent of the filing
8 of a verified, dated, and signed statement of economic
9 interests as required by Section 4A-103 ~~4A-104~~.

10 (2) The Secretary of State and county clerks who
11 institute ~~A county clerk who institutes~~ a system of
12 Internet-based filing of statements of economic interests
13 shall establish a password-protected website ~~web site~~ to
14 receive the filings of such statements. A website
15 established under this Section shall set forth and provide
16 a means of responding to the form's questions ~~items~~ set
17 forth in Section 4A-103 ~~4A-102~~ that are required of a
18 person who files a statement of economic interests with
19 that officer. A website established under this Section
20 shall set forth and provide a means for generating a
21 printable receipt page, acknowledging filing.

22 (3) The times for the filing of statements of economic
23 interests set forth in Section 4A-105 shall be followed in
24 any system of Internet-based filing of statements of
25 economic interests; provided that a candidate for elective
26 office who is required to file a statement of economic

1 interests in relation to his or her candidacy pursuant to
2 Section 4A-105(a) ~~shall not use the Internet to file his or~~
3 ~~her statement of economic interests but shall file his or~~
4 ~~her statement of economic interests in a written or printed~~
5 ~~form and~~ shall receive a written or printed receipt for his
6 or her filing.

7 (4) In the first year of the implementation of a system
8 of Internet-based filing of statements of economic
9 interests, each person required to file such a statement is
10 to be notified in writing of his or her obligation to file
11 his or her statement of economic interests ~~and the option~~
12 ~~to file~~ by way of the Internet-based system ~~or by way of~~
13 ~~standardized form~~. If access to the web site requires a
14 code or password, this information shall be included in the
15 notice prescribed by this paragraph.

16 (5) When a person required to file a statement of
17 economic interests has supplied the Secretary of State or a
18 county clerk, as applicable, with an email address for the
19 purpose of receiving notices under this Article by email, a
20 notice sent by email to the supplied email address shall be
21 the equivalent of a notice sent by first class mail, as set
22 forth in Section 4A-106. A person who has supplied such an
23 email address shall notify the Secretary of State or county
24 clerk, as applicable, when his or her email address changes
25 or if he or she no longer wishes to receive notices by
26 email.

1 (6) If any person who is required to file a statement
2 of economic interests and who has chosen to receive notices
3 by email fails to file his or her statement by May 10, then
4 the Secretary of State or county clerk, as applicable,
5 shall send an additional email notice on that date,
6 informing the person that he or she has not filed and
7 describing the penalties for late filing and failing to
8 file. This notice shall be in addition to other notices
9 provided for in this Article.

10 (7) Each county clerk who institutes a system of
11 Internet-based filing of statements of economic interests
12 may also institute an Internet-based process for the filing
13 of the list of names and addresses of persons required to
14 file statements of economic interests by the chief
15 administrative officers of units of local government that
16 must file such information with that county clerk pursuant
17 to Section 4A-106. Whenever a county clerk institutes such
18 a system under this paragraph, every unit of local
19 government must use the system to file this information.

20 (8) The Secretary of State and any ~~Any~~ county clerk who
21 institutes a system of Internet-based filing of statements
22 of economic interests shall post the contents of such
23 statements filed with him or her available for inspection
24 and copying on a publicly accessible website. Such postings
25 shall not include the addresses of the filers.

26 (c) Each person serving as an ethics officer under the

1 State Officials and Employees Ethics Act shall, within 6 months
2 after the effective date of this amendatory Act of the 98th
3 General Assembly, successfully complete an electronic training
4 curriculum to be developed by the Secretary of State and
5 thereafter successfully complete an annual training program.
6 Thereafter, whenever a new ethics officer is designated under
7 the State Officials and Employees Ethics Act, that person shall
8 successfully complete the electronic training curriculum
9 within 30 days after assuming the position. Successful
10 completion of the required training curriculum within the
11 periods provided shall be a prerequisite to continue serving as
12 an ethics officer.

13 (Source: P.A. 96-1336, eff. 1-1-11; 97-212, eff. 7-28-11.)

14 (5 ILCS 420/4A-104 rep.)

15 Section 10. The Illinois Governmental Ethics Act is amended
16 by repealing Sections 4A-104.

17 Section 15. The Lobbyist Registration Act is amended by
18 changing Section 6 as follows:

19 (25 ILCS 170/6) (from Ch. 63, par. 176)

20 Sec. 6. Reports.

21 (a) Lobbyist reports. Except as otherwise provided in this
22 Section, every lobbyist registered under this Act who is solely
23 employed by a lobbying entity shall file an affirmation,

1 verified under oath pursuant to Section 1-109 of the Code of
2 Civil Procedure, with the Secretary of State attesting to the
3 accuracy of any reports filed pursuant to subsection (b) as
4 those reports pertain to work performed by the lobbyist. Any
5 lobbyist registered under this Act who is not solely employed
6 by a lobbying entity shall personally file reports required of
7 lobbying entities pursuant to subsection (b). A lobbyist may,
8 if authorized so to do by a lobbying entity by whom he or she is
9 employed or retained, file lobbying entity reports pursuant to
10 subsection (b) provided that the lobbying entity may delegate
11 the filing of the lobbying entity report to only one lobbyist
12 in any reporting period.

13 (b) Lobbying entity reports. Every lobbying entity
14 registered under this Act shall report expenditures related to
15 lobbying. The report shall itemize each individual expenditure
16 or transaction and shall include the name of the official on
17 whose behalf the expenditure was made, the name of the client
18 if the expenditure was made on behalf of a client, the total
19 amount of the expenditure, a description of the expenditure,
20 the vendor or purveyor to whom the expenditure was made
21 (including the address or location of the expenditure), the
22 date on which the expenditure occurred and the subject matter
23 of the lobbying activity, if any. For those expenditures made
24 on behalf of a client, if the client is a client registrant,
25 the report shall also include the name and address of the
26 client or clients of the client registrant or the official or

1 officials on whose behalf the expenditure ultimately was made.
2 Each expenditure required to be reported shall include all
3 expenses made for or on behalf of an official or his or her
4 immediate family member living with the official.

5 (b-1) The report shall include any change or addition to
6 the client list information, required in Section 5 for
7 registration, since the last report, including the names and
8 addresses of all clients who retained the lobbying entity
9 together with an itemized description for each client of the
10 following: (1) lobbying regarding executive action, including
11 the name of any executive agency lobbied and the subject
12 matter; (2) lobbying regarding legislative action, including
13 the General Assembly and any other agencies lobbied and the
14 subject matter; and (3) lobbying regarding administrative
15 action, including the agency lobbied and the subject matter.
16 Registrants who made no reportable expenditures during a
17 reporting period shall file a report stating that no
18 expenditures were incurred.

19 (b-2) Expenditures attributable to lobbying officials
20 shall be listed and reported according to the following
21 categories:

22 (1) Travel and lodging on behalf of others, including,
23 but not limited to, all travel and living accommodations
24 made for or on behalf of State officials during sessions of
25 the General Assembly.

26 (2) Meals, beverages and other entertainment.

1 (3) Gifts (indicating which, if any, are on the basis
2 of personal friendship).

3 (4) Honoraria.

4 (5) Any other thing or service of value not listed
5 under categories (1) through (4), setting forth a
6 description of the expenditure. The category travel and
7 lodging includes, but is not limited to, all travel and
8 living accommodations made for or on behalf of State
9 officials in the State capital during sessions of the
10 General Assembly.

11 (b-3) If expenditures are ~~Expenditures~~ incurred for
12 hosting receptions, benefits, and other large gatherings held
13 for purposes of goodwill or otherwise to influence executive,
14 legislative, or administrative action and if the total number
15 of State officials invited to such an event is equal to or
16 greater than the number of State legislators in the smaller
17 minority caucus of either the House of Representatives or the
18 Senate, as defined in the rules of those chambers, then ~~to~~
19 ~~which there are 25 or more State officials invited shall be~~
20 ~~reported listing~~ only the total amount of the expenditure, the
21 date of the event, and the estimated number of officials in
22 attendance shall be reported.

23 (b-5) The report must include a description of any business
24 or familial relationship, or both, that a registrant has with
25 an official who he or she is registered to lobby under this
26 Act. For the purposes of this subsection, "familial

1 relationship" includes those people related to the registrant
2 as spouse, as defined in the Illinois Governmental Ethics Act,
3 child, step-child, parent, step-parent, sibling, step-sibling,
4 half-sibling, parent-in-law, brother-in-law, sister-in-law,
5 son-in-law, daughter-in-law, aunt, uncle, niece, nephew,
6 great-aunt, great-uncle, first cousin, grandfather,
7 grandmother, grandson and granddaughter, as well as the father,
8 mother, grandfather and grandmother of the filer's spouse.

9 (b-7) Matters excluded from reports. The following items
10 need not be included in the report:

11 (1) Reasonable and bona fide expenditures made by the
12 registrant who is a member of a legislative or State study
13 commission or committee while attending and participating
14 in meetings and hearings of such commission or committee.

15 (2) Reasonable and bona fide expenditures made by the
16 registrant for personal sustenance, lodging, travel,
17 office expenses and clerical or support staff.

18 (3) Salaries, fees, and other compensation paid to the
19 registrant for the purposes of lobbying.

20 (4) Any contributions required to be reported under
21 Article 9 of the Election Code.

22 (5) Expenditures made by a registrant on behalf of an
23 official that are returned or reimbursed prior to the
24 deadline for submission of the report.

25 (c) A registrant who terminates employment or duties which
26 required him or her to register under this Act shall give the

1 Secretary of State, within 30 days after the date of such
2 termination, written notice of such termination and shall
3 include therewith a report of the expenditures described
4 herein, covering the period of time since the filing of his or
5 her last report to the date of termination of employment. Such
6 notice and report shall be final and relieve such registrant of
7 further reporting under this Act, unless and until he or she
8 later takes employment or assumes duties requiring him or her
9 to again register under this Act.

10 (d) Failure to file any such report within the time
11 designated or the reporting of incomplete information shall
12 constitute a violation of this Act.

13 A registrant shall preserve for a period of 2 years all
14 receipts and records used in preparing reports under this Act.

15 (e) Within 30 days after a filing deadline or as provided
16 by rule, the lobbyist shall notify each official on whose
17 behalf an expenditure has been reported. Notification shall
18 include the name of the registrant, the total amount of the
19 expenditure, a description of the expenditure, the date on
20 which the expenditure occurred, and the subject matter of the
21 lobbying activity.

22 (f) A report for the period beginning January 1, 2010 and
23 ending on June 30, 2010 shall be filed no later than July 15,
24 2010, and a report for the period beginning July 1, 2010 and
25 ending on December 31, 2010 shall be filed no later than
26 January 15, 2011. Beginning January 1, 2011, reports shall be

1 filed semi-monthly as follows: (i) for the period beginning the
2 first day of the month through the 15th day of the month, the
3 report shall be filed no later than the 20th day of the month
4 and (ii) for the period beginning on the 16th day of the month
5 through the last day of the month, the report shall be filed no
6 later than the 5th day of the following month. A report filed
7 under this Act is due in the Office of the Secretary of State
8 no later than the close of business on the date on which it is
9 required to be filed.

10 (g) All reports filed under this Act shall be filed in a
11 format or on forms prescribed by the Secretary of State.

12 (Source: P.A. 98-459, eff. 1-1-14.)

13 Section 99. Effective date. This Act takes effect January
14 1, 2016.