



Consultant's Disclosure Statement
RETURN WITH STATEMENT OF INTEREST

PTB #: \_\_\_\_\_

Form with fields: Consultant Name, Legal Address, City, State, Zip, Telephone Number, Email Address

The telephone number and email address supplied above must be a contact readily available if the Illinois Department of Transportation (IDOT) has questions.

The disclosures hereinafter made by the firm are each a material representation of fact upon which reliance is placed should IDOT enter into the contract with the firm.

Section 50-35 of the Illinois Procurement Code provides that all offers of more than \$50,000 and all subconsultant agreements with an annual value of more than \$50,000 shall be accompanied by disclosure of the financial interests of the firm.

Prime Consultant's Responsibility

The IDOT Chief Procurement Officer (CPO) may void the offer or contract if it is later determined that the prime or subconsultant rendered a false or erroneous disclosure.

Instructions

The following packet includes three sections that must be completed and returned with the Statement of Interest, or the firm may be considered nonresponsive and the Statement of Interest will not be accepted:

- 1. Qualifying Questions for Form A,
2. Form A: Financial Information & Potential Conflicts of Interest Disclosure, and
3. Form B: Other Contracts & Procurement-Related Information Disclosure.

Form A and Form B must be signed and dated by a person that is authorized to execute contracts for your organization. Photocopied or stamped signatures are not acceptable.

Checking the NOT APPLICABLE STATEMENT on Form A does not allow the firm to ignore Form B. Form B must be completed, checked, and dated.

**Form A: Financial Information & Potential Conflicts of Interest Disclosure**

Form A pertains to the individuals meeting the ownership or distributive share requirements as stated below.

The financial interests to be disclosed shall include:

- Any ownership or distributive income share that is in excess of 5% or an amount greater than 60% of the annual salary of the Governor, of the offering entity or its parent entity, whichever is less, **the current annual salary of the Governor is \$177,412.00.**
- If the firm is a publicly traded entity subject to Federal 10K reporting, in which case it may submit its 10K disclosure in place of the prescribed disclosure.
- If a firm is a privately held entity that is exempt from Federal 10K reporting, but has more than 100 shareholders, it may submit the information that Federal 10K companies are required to report and list the names of any person or entity holding any ownership share that is in excess of 5%.
  - *If this is true for your firm, check "Other" box on Form A and designate the firm is a 10K and supply the 10K documents as additional attachments within the disclosure.*
- The names, addresses, and dollar or proportionate share of ownership of each person making the disclosure, their instrument of ownership or beneficial relationship, and notice of any potential conflict of interest resulting from the current ownership or beneficial interest of each person making the disclosure having any of the relationships identified in Section 50-35 and on the disclosure form.

A button is supplied on Form A called "Add another Form A", which once clicked will copy Form A. Click the button as many times as you need to identify individuals who meet the above criteria.

**Form B: Other Contracts & Procurement-Related Information Disclosure**

The firm shall identify, by checking "Yes" or "No" on Form B any other current or pending contracts, proposals, leases, or other ongoing procurement relationships the offering entity has with IDOT and any other unit of state government and shall clearly identify the unit and the contract, proposal, lease, or other relationships.

If "Yes" is checked, the firm must identify each such relationship by listing the State of Illinois agency name and other descriptive information such as project number, title, contract, etc.

If "No" is checked, the firm only needs to check the box, sign and date at the bottom of Form B.

## Qualifying Questions for Form A

The following six questions *must* be answered in order to determine how Form A is to be completed. Answer all six questions before going on to Form A.

### Ownership Certification

The following clarifies the ownership structure of your firm for IDOT's review.

	Yes	No
1. Is your firm a Subsidiary and owned by a Parent entity(ies)?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is "Yes", please disclose the Parent entity(ies) on Form A.		
2. Will the individuals that will be submitted on Form A equal 100% ownership?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is "No", please answer the following question.		
a) Does any of the remaining ownership held by individuals receiving or holding less than 5% of the offering entity's or parent entity's total distributive income, or less than 60% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>

### Identifying Financial Information & Potential Conflicts of Interest

	Yes	No
3. Does anyone in your organization have a direct or beneficial ownership share of greater than 5% of the offering entity or parent entity?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does anyone in your organization have a direct or beneficial ownership share of less than 5%, but which has a value greater than 60% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does anyone in your organization receive more than 60% of the annual salary of the Governor of the offering entity's or parent entity's distributive income? (Note: Distributive income is, for these purposes, any type of distribution of profits. An annual salary is not distributive income.)	<input type="checkbox"/>	<input type="checkbox"/>
6. Does anyone in your organization receive greater than 5% of the offering entity's or parent entity's total distributive income, but which is less than 60% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to questions 3 – 6 are "Yes", the completion of Form A is required, and the APPLICABLE STATEMENT *must* be signed and dated.

If the answer to questions 3 - 6 are "No", then the NOT APPLICABLE STATEMENT of Form A *must* be signed and dated.

## Form A: Financial Information & Potential Conflicts of Interest Disclosure

Disclosure of the information contained in this form is required by Section 50-35 of the Illinois Procurement Code (30 ILCS 500). Firms desiring to enter into a contract with the State of Illinois must disclose the financial information and potential conflict of interest information as specified in this Disclosure Form.

### Disclosure of Financial Information

The individual named below has an interest in the FIRM (or its Parent) in terms of ownership or distributive income share that is in excess of 5%, or an interest which has a value of more than 60% of the annual salary of the Governor.

<b>FOR INDIVIDUAL</b>	
Name:	_____
Address:	_____ _____ _____
<input type="checkbox"/>	Stock with % or \$ value of ownership/distributable income share: _____
<input type="checkbox"/>	Employee Stock Ownership Plan (ESOP)
<input type="checkbox"/>	Other (explain): _____

### Disclosure of Potential Conflicts of Interest

Firm must check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If the answer to any question is "Yes", please describe and attach additional pages if needed.

	Yes	No
1. <b>State employment</b> , currently or in the previous three years, including contractual employment of services?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is "Yes", please answer each of the following questions.		
a) Are you currently an officer or employee of either the Capital Development Board or the Illinois State Toll Highway Authority?	<input type="checkbox"/>	<input type="checkbox"/>
b) Are you currently appointed to or employed by any agency of the State of Illinois? If you are currently appointed to or employed by any agency of the State of Illinois, and your annual salary exceeds 60% of the annual salary of the Governor, provide the name of the state agency for which you are employed and your annual salary:  _____	<input type="checkbox"/>	<input type="checkbox"/>
c) If you are currently appointed to or employed by any agency of the State of Illinois, and your annual salary exceeds 60% of the annual salary of the Governor, are you entitled to receive (i) more than 7 ½% of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of the salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
d) If you are currently appointed to or employed by any agency of the State of Illinois, and your annual salary exceeds 60% of the annual salary of the Governor, are you and your spouse or minor children entitled to receive (i) more than 15% in the aggregate of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of two times the salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>



	Yes	No
2. <b>State employment</b> of spouse, father, mother, son, or daughter, including contractual employment services in the previous two years?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is yes, please answer each of the following questions.		
a) Is your spouse or any minor children currently an officer or employee of the Capital Development Board or the Illinois State Toll Highway Authority?	<input type="checkbox"/>	<input type="checkbox"/>
b) Is your spouse or any minor children currently appointed to or employed by any agency of the State of Illinois? If your spouse or minor children is/are currently appointed to or employed by any agency of the State of Illinois, and his/her annual salary exceeds 60% of the annual salary of the Governor, provide the name of your spouse and/or minor children, the name of the state agency for which he/she is employed and his/her annual salary.	<input type="checkbox"/>	<input type="checkbox"/>
<hr/>		
c) If your spouse or any minor children is/are currently appointed to or employed by any agency of the State of Illinois, and his/her annual salary exceeds 60% of the annual salary of the Governor, are you entitled to receive (i) more than 7 ½% of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of 100% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
d) If your spouse or any minor children are currently appointed to or employed by any agency of the State of Illinois, and his/her annual salary exceeds 60% of the annual salary of the Governor, are you and your spouse or minor children entitled to receive (i) more than 15% in the aggregate of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of two times the salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
3. <b>Elective status:</b> the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois currently or in the previous three years?	<input type="checkbox"/>	<input type="checkbox"/>
4. Relationship to anyone holding elective office currently or in the previous two years: spouse, father, mother, son or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
5. <b>Appointive office:</b> the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of the expenses incurred in the discharge of that office currently or in the previous three years?	<input type="checkbox"/>	<input type="checkbox"/>
6. Relationship to anyone holding appointive office currently or in the previous two years: spouse, father, mother, son or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
7. Employment, currently or in the previous three years, as or by any registered lobbyist of the state government?	<input type="checkbox"/>	<input type="checkbox"/>
8. Relationship to anyone who is or was a registered lobbyist in the previous two years: spouse, father, mother, son, or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
9. Compensated employment, currently or in the previous three years, by any registered election or re-election committee registered with the Secretary of State or any county clerk of the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?	<input type="checkbox"/>	<input type="checkbox"/>



10. Relationship to anyone; spouse, father, mother, son, or daughter; who was a compensated employee in the last two years by any registered election or re-election committee registered with the Secretary of State or any county clerk of the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections? Yes No

11. Communication Disclosure. Disclose the name and address of each lobbyist and other agent of the firm or offeror who is not identified in Form A, who has communicated, is communicating, or may communicate, with any state officer or employee concerning the statement of interest, bid or offer. This disclosure is a continuing obligation and must be promptly supplemented for accuracy throughout the process and throughout the term of the contract. If yes, supply name and address of person(s) below:

Three horizontal lines for providing name and address of lobbyist.

12. Suspension or Debarment Disclosure. For each of the persons identified under Form A, disclose whether any of the following has occurred within the previous 10 years: suspension or debarment from contracting with any governmental entity; professional licensure discipline; bankruptcies; adverse civil judgments and administrative findings; and criminal felony convictions. This disclosure is a continuing obligation and must be promptly supplemented for accuracy throughout the procurement process and term of the contract, if the bid or offer is successful. If yes, supply information below:

Form fields for Name of person(s), Nature and date of disclosure.

If the answers to questions 3 - 6 are "Yes" under "Qualifying Questions for Form A", check the box, sign and date below under "Applicable Statement":

Applicable Statement

This Disclosure Form A is submitted on behalf of the INDIVIDUAL named on previous page. Under penalty of perjury, I certify the contents of this disclosure to be true and accurate to the best of my knowledge.

Completed by: [Signature Line] [Date Line]
Signature of Individual or Authorized Officer Date

If the answers to questions 3 - 6 are all "No", under "Qualifying Questions for Form A", check the box, sign and date below under "Not Applicable Statement":

Not Applicable Statement

Under penalty of perjury, I have determined that no individuals associated with this organization meet the criteria that would require the completion of this Form A.

This Disclosure Form A is submitted on behalf of the FIRM listed on the first page.

Completed by: [Signature Line] [Date Line]
Signature of Individual or Authorized Officer Date

The firm has a continuing obligation to supplement these disclosures under Sec. 50-35 of the Procurement Code.

**Form B: Other Contracts & Procurement-Related Information Disclosure**

Disclosure of the information contained in this form is required by Section 50-35 of the Illinois Procurement Code (30 ILCS 500). This information shall become part of the publicly available contract file. This Form B must be completed for Statements of Interest in excess of \$50,000, and for all open-ended contracts. This Form B must also be completed for subconsultant agreements with an annual value of more than \$50,000 from subconsultants identified in Section 20-120 in the Illinois Procurement Code and for all open-ended subconsultant agreements.

**Disclosure of Other Contracts and Procurement-Related Information**

Answer the following question.

	<b>Yes</b>	<b>No</b>
1. Does the firm have any pending contracts (including leases), statements of interest, bids, proposals, or other ongoing procurement relationship with IDOT or any other State of Illinois agency?	<input type="checkbox"/>	<input type="checkbox"/>

If your answer is "No", the firm only needs to complete the signature box on the bottom of this page.

If your answer is "Yes", identify each such relationship by showing the agency name, PTB/PSB if applicable, Project name and the role of your firm as either a Prime or Sub (attach additional pages as necessary).

AGENCY	PTB/PSB	PROJECT NAME	ROLE (PRIME/ SUB FIRM)

Add A Row

**This Disclosure Form B is submitted on behalf of the INDIVIDUAL named on previous pages. Under penalty of perjury, I certify the contents of this disclosure to be true and accurate to the best of my knowledge.**

Completed by:  \_\_\_\_\_ Date \_\_\_\_\_

Signature of Individual or Authorized Representative