



97TH GENERAL ASSEMBLY

State of Illinois

2011 and 2012

HB3604

Introduced 2/24/2011, by Rep. Pam Roth - Renée Kosel - Jason Barickman

SYNOPSIS AS INTRODUCED:

5 ILCS 420/4A-100 new	
5 ILCS 420/4A-102	from Ch. 127, par. 604A-102
5 ILCS 420/4A-102.5 new	
5 ILCS 420/4A-103	from Ch. 127, par. 604A-103
5 ILCS 420/4A-104	from Ch. 127, par. 604A-104
5 ILCS 420/4A-105	from Ch. 127, par. 604A-105
5 ILCS 420/4A-106	from Ch. 127, par. 604A-106

Amends the Illinois Governmental Ethics Act. With respect to statements of economic interests, makes changes concerning: interests of spouses and immediate family members living with the person required to file; development of forms by the Secretary of State that replicate federal forms; supplemental filings by board and commission appointees; electronic filing; posting of statements by the Secretary of State in a searchable database on the Internet; and training by the Secretary of State for ethics officers and persons required to file statements. Effective immediately.

LRB097 08054 JDS 48177 b

1 AN ACT concerning ethics.

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 4A-102, 4A-103, 4A-104, 4A-105, and 4A-106
6 and by adding Sections 4A-100 and 4A-102.5 as follows:

7 (5 ILCS 420/4A-100 new)

8 Sec. 4A-100. Definitions. As used in this Article:

9 (a) "Immediate family member" means a spouse, parent,
10 brother, sister, or child of the reporting individual sharing
11 the same household.

12 (b) "Income" means income derived from any source,
13 including but not limited to the following: (i) compensation
14 for services, including fees, commissions, and similar items;
15 (ii) gross income derived from business (and net income if the
16 person elects to include it); (iii) gains received from
17 dealings in property; (iv) interest; (v) rents; (vi) royalties;
18 (vii) dividends; (viii) annuities; (ix) income from life
19 insurance and endowment contracts; (x) pensions; (xi) income
20 from discharge of indebtedness; (xii) distributive share of
21 partnership income; and (xiii) income from an interest in an
22 estate or trust. "Income" does not include campaign receipts
23 reported on financial disclosure reports filed with the State

1 Board of Elections, unless such receipts are claimed for
2 personal use.

3 (c) "Category of value" means the following classification
4 system: (i) not more than \$1,000, (ii) greater than \$1,000 but
5 not more than \$2,500, (iii) greater than \$2,500 but not more
6 than \$5,000, (iv) greater than \$5,000 but not more than
7 \$15,000, (v) greater than \$15,000 but not more than \$50,000,
8 (vi) greater than \$50,000 but not more than \$100,000, (vii)
9 greater than \$100,000 but not more than \$1,000,000, (viii)
10 greater than \$1,000,000 but not more than \$5,000,000, or (ix)
11 greater than \$5,000,000.

12 (d) "Constructive control." An interest may be said to be
13 constructively controlled by the person filing the report if
14 the person filing the report is a trustee, proxy, guardian, or
15 advisor with regard to decisions to acquire, retain, or divest
16 all or any portion of an interest.

17 (5 ILCS 420/4A-102) (from Ch. 127, par. 604A-102)

18 Sec. 4A-102. The statement of economic interests required
19 by this Article shall include the economic interests of the
20 person making the statement as provided in this Section. The
21 interest ~~(if constructively controlled by the person making the~~
22 ~~statement)~~ of a spouse, or any other party if constructively
23 controlled by the person making the statement, shall be
24 considered to be the same as the interest of the person making
25 the statement. ~~Campaign receipts shall not be included in this~~

1 ~~statement.~~

2 (a) The following interests shall be listed by all persons
3 required to file:

4 (1) The source, type, and amount or value of income
5 (other than income referred in subsection (a)(2)) from any
6 source other than from current employment by the State of
7 Illinois.

8 (2) The source and type of income which consists of
9 income from dividends, rents, interest, trusts, and
10 capital gains, received during the preceding calendar year
11 which exceeds \$200 in amount or value, and an indication of
12 the appropriate category of value such item of income is
13 within.

14 (3) The source, date, and amount of payments made to
15 charitable organizations in lieu of honoraria with a
16 corresponding list of recipients of all such payments,
17 together with the dates and amounts of such payments.

18 (4) The identity and category of value of any interest
19 in property held during the preceding calendar year in a
20 trade or business or for investment or production of
21 income, if the property has a fair market value in excess
22 of \$1,000 at the close of the preceding calendar year. This
23 item does not include any personal liability owed (i) to
24 the person filing the statement by his or her immediate
25 family members or (ii) to the spouse of the person filing
26 the statement. This item also does not include deposits

1 aggregating \$5,000 or less in a personal savings account,
2 including certificates of deposit and any other form of
3 deposit in a bank, savings and loan association, credit
4 union, or similar financial institution.

5 (5) The identity and category of value of the total
6 liabilities in excess of \$5,000 owed at any time during the
7 preceding calendar year to any creditor other than (i) an
8 immediate family member of the person filing the statement
9 or (ii) an immediate family member of the spouse of the
10 person filing the statement. This item does not include:

11 (A) Any mortgage secured by real property that is
12 the primary personal residence of the person filing the
13 statement.

14 (B) Any loan secured by a personal motor vehicle,
15 household furniture, appliances, or other similar
16 effect if the loan does not exceed the purchase price
17 of the item or items that secure it.

18 (C) Any debt owed by a political committee
19 associated with the person filing the statement,
20 provided that such debt is reported as required by
21 Article 9 of the Election Code.

22 With regard to revolving charge accounts, the person filing
23 the statement need report only his or her outstanding aggregate
24 liability across all accounts, and only if in excess of \$10,000
25 at the close of the preceding calendar year.

26 (6) A brief description, the date, and the category of

1 value of any purchase, sale, or exchange in excess of
2 \$1,000 during the preceding calendar year of (i) real
3 property other than real property used solely for the
4 primary personal residence of the person filing the
5 statement or his or her spouse or (ii) stocks, bonds,
6 commodity futures, and other forms of securities. This item
7 does not apply to transactions solely by and between the
8 person filing the statement and his or her immediate family
9 members.

10 (7) The identity of all positions held during the
11 preceding calendar year as an officer, director, trustee,
12 partner, proprietor, representative, employee, or
13 consultant of any corporation, company, firm, partnership,
14 other business enterprise, non-profit organization, labor
15 organization, or educational or other institution of the
16 State, a unit of government, a school district, or the
17 United States. This item does not apply to positions in
18 religious, social, fraternal, or political organizations
19 or positions of a solely honorary nature.

20 (8) The date of, the parties to, and a description of
21 the terms of any agreement or arrangement with respect to
22 (i) future employment; (ii) a leave of absence from the
23 unit of government in relation to which the person is
24 required to file the statement; (iii) contributions or
25 payments by a former employer other than the unit of
26 government in relation to which the person is required to

1 file the statement; and (iv) continuing participation in an
2 employee welfare or benefit plan with a former employer.

3 (9) The source, date, and amount of honoraria
4 aggregating \$200 or more during the preceding calendar
5 year.

6 (10) The source, date, and amount or value of any gift
7 or gifts (i) valued singularly or in the aggregate in
8 excess of \$500 during the preceding calendar year to the
9 person filing the statement or an immediate family member
10 of the person filing the statement, from any person other
11 than an immediate family member or (ii) from a prohibited
12 source as defined by the State Officials and Employees
13 Ethics Act, even if that source is also an immediate family
14 member, and within any of the following captioned items
15 listed in Section 10-15 of that Act, regardless of whether
16 the person filing the statement is otherwise subject to
17 that Act: educational materials and missions; and travel
18 expenses for a meeting to discuss State government.

19 ~~(1) The name, address and type of practice of any~~
20 ~~professional organization or individual professional~~
21 ~~practice in which the person making the statement was an~~
22 ~~officer, director, associate, partner or proprietor, or~~
23 ~~served in any advisory capacity, from which income in~~
24 ~~excess of \$1200 was derived during the preceding calendar~~
25 ~~year.~~

26 ~~(2) The nature of professional services (other than~~

1 ~~services rendered to the unit or units of government in~~
2 ~~relation to which the person is required to file) and the~~
3 ~~nature of the entity to which they were rendered if fees~~
4 ~~exceeding \$5,000 were received during the preceding~~
5 ~~calendar year from the entity for professional services~~
6 ~~rendered by the person making the statement.~~

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

11 (11) ~~(4)~~ The name of any unit of government which has
12 employed the person making the statement during the
13 preceding calendar year other than the unit or units of
14 government in relation to which the person is required to
15 file.

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

20 (b) The following interests shall also be listed by persons
21 listed in items (a) through (f), item (l), and item (n) of
22 Section 4A-101:

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

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

7 (2) (Blank.) ~~Except for professional service entities,~~
8 ~~the name of any entity and any position held therein from~~
9 ~~which income of in excess of \$1,200 was derived during the~~
10 ~~preceding calendar year, if the entity does business in the~~
11 ~~State of Illinois. No time or demand deposit in a financial~~
12 ~~institution, nor any debt instrument need be listed.~~

13 (3) The identity of any compensated lobbyist with whom
14 the person making the statement maintains a close economic
15 or personal relationship association, including the name
16 of the lobbyist and specifying the ~~legislative~~ matter or
17 matters which are the object of the lobbying activity, ~~and~~
18 ~~describing the general type of economic activity of the~~
19 ~~client or principal on whose behalf that person is~~
20 ~~lobbying.~~

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

23 (1) The name and instrument of ownership in any entity
24 doing business with a unit of local government in relation
25 to which the person is required to file if the ownership
26 interest of the person filing is greater than \$5,000 fair

1 market value as of the date of filing or if dividends in
2 excess of \$1,200 were received from the entity during the
3 preceding calendar year. (In the case of real estate,
4 location thereof shall be listed by street address, or if
5 none, then by legal description). No time or demand deposit
6 in a financial institution, nor any debt instrument need be
7 listed.

8 (2) (Blank.) ~~Except for professional service entities,~~
9 ~~the name of any entity and any position held therein from~~
10 ~~which income in excess of \$1,200 was derived during the~~
11 ~~preceding calendar year if the entity does business with a~~
12 ~~unit of local government in relation to which the person is~~
13 ~~required to file. No time or demand deposit in a financial~~
14 ~~institution, nor any debt instrument need be listed.~~

15 (3) The name of any entity and the nature of the
16 governmental action requested by any entity which has
17 applied to a unit of local government in relation to which
18 the person must file for any license, franchise or permit
19 for annexation, zoning or rezoning of real estate during
20 the preceding calendar year if the ownership interest of
21 the person filing is in excess of \$5,000 fair market value
22 at the time of filing or if income or dividends in excess
23 of \$1,200 were received by the person filing from the
24 entity during the preceding calendar year.

25 For the purposes of this Section, the unit of local
26 government in relation to which a person required to file under

1 item (o) of Section 4A-101 shall be the unit of local
2 government that contributes to the pension fund of which such
3 person is a member of the board.

4 (Source: P.A. 96-6, eff. 4-3-09.)

5 (5 ILCS 420/4A-102.5 new)

6 Sec. 4A-102.5. Appointee supplemental statement. Persons
7 filing statements of economic interests as a result of their
8 nomination to a board or commission shall also, at the same
9 time and in the same manner, file a supplement to the statement
10 containing the following information:

11 (1) Any contributions, in excess of \$150 in the
12 aggregate, to any political committee organized under the
13 Election Code made since the end of the last preceding
14 semi-annual disclosure period and the date the person files
15 the statement of economic interests, including the amount
16 of the contribution, the date, and the recipient.

17 (2) Any contribution made to a legal defense fund since
18 the filing of the last previous statement of economic
19 interests or, if the person is filing his or her first
20 statement of economic interests, in the 12 months preceding
21 the filing date.

22 (3) The name of any immediate family member who is
23 registered as a lobbyist with any State or federal agency
24 or office.

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

Sec. 4A-103. The statement of economic interests required by this Article to be filed with the Secretary of State shall be ~~filled in by typewriting or hand printing,~~ shall be verified, dated, ~~and~~ signed by manual or electronic means as appropriate by the person making the statement, and made in a form prescribed by the Secretary of State that shall, in paper and electronic formats, substantially replicate the design of the 2002 Public Financial Disclosure Report forms employed by the United States Congress for purposes of complying with the Ethics in Government Act of 1978. ~~and shall contain substantially the following:~~

~~STATEMENT OF ECONOMIC INTEREST~~

~~(TYPE OR HAND PRINT)~~

.....

~~(name)~~

.....

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

.....

~~(full mailing address)~~

~~GENERAL DIRECTIONS:~~

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

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

2 ~~If additional space is needed, please attach supplemental~~
3 ~~listing.~~

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

13 Business Entity	Instrument of Ownership
14
15
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18 ~~2. List the name, address and type of practice of any~~
19 ~~professional organization in which the person making the~~
20 ~~statement was an officer, director, associate, partner or~~
21 ~~proprietor or served in any advisory capacity, from which~~
22 ~~income in excess of \$1,200 was derived during the preceding~~
23 ~~calendar year.~~

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

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

13
14

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

22	Lobbyist	Legislative Matter	Client or Principal
23
24

25 ~~6. List the name of any entity doing business in the State~~
26 ~~of Illinois from which income in excess of \$1,200 was derived~~

1 ~~during the preceding calendar year other than for professional~~
 2 ~~services and the title or description of any position held in~~
 3 ~~that entity. (In the case of real estate, location thereof~~
 4 ~~shall be listed by street address, or if none, then by legal~~
 5 ~~description). No time or demand deposit in a financial~~
 6 ~~institution nor any debt instrument need be listed.~~

Entity	Position Held
.....
.....
.....

7
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9
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11 ~~7. List the name of any unit of government which employed~~
 12 ~~the person making the statement during the preceding calendar~~
 13 ~~year other than the unit or units of government in relation to~~
 14 ~~which the person is required to file.~~

15
 16

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

21

22 **VERIFICATION:**

23 ~~"I declare that this statement of economic interests~~
 24 ~~(including any accompanying schedules and statements) has been~~
 25 ~~examined by me and to the best of my knowledge and belief is a~~
 26 ~~true, correct and complete statement of my economic interests~~

1 ~~as required by the Illinois Governmental Ethics Act. I~~
 2 ~~understand that the penalty for willfully filing a false or~~
 3 ~~incomplete statement shall be a fine not to exceed \$1,000 or~~
 4 ~~imprisonment in a penal institution other than the penitentiary~~
 5 ~~not to exceed one year, or both fine and imprisonment."~~

6 ~~.....~~ ~~.....~~
 7 ~~(date of filing)~~ ~~(signature of person making the statement)~~
 8 (Source: P.A. 95-173, eff. 1-1-08.)

9 (5 ILCS 420/4A-104) (from Ch. 127, par. 604A-104)

10 Sec. 4A-104. The statement of economic interests required
 11 by this Article to be filed with the county clerk shall be
 12 ~~filled in by typewriting or hand printing, shall be~~ verified,
 13 dated, ~~and~~ signed by manual or electronic means as appropriate
 14 by the person making the statement, and made on a form
 15 prescribed by the Secretary of State that shall substantially
 16 replicate the design of the 2002 Public Financial Disclosure
 17 Report forms employed by the United States Congress for
 18 purposes of complying with the Ethics in Government Act of
 19 1978. shall contain substantially the following:

20 ~~STATEMENT OF ECONOMIC INTERESTS~~

21 ~~(TYPE OR HAND PRINT)~~

22 ~~.....~~
 23 ~~(Name)~~

24 ~~.....~~
 25 ~~(each office or position of employment for which this statement~~

1 ~~is filed)~~

2 ~~(full mailing address)~~

3 ~~GENERAL DIRECTIONS:~~

4 ~~The interest (if constructively controlled by the person~~
5 ~~making the statement) of a spouse or any other party, shall be~~
6 ~~considered to be the same as the interest of the person making~~
7 ~~the statement.~~

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

9 ~~If additional space is needed, please attach supplemental~~
10 ~~listing.~~

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

Business	Instrument of	Position of
Entity	Ownership	Management
.....
.....
.....

26 ~~2. List the name, address and type of practice of any~~

1 ~~professional organization in which the person making the~~
 2 ~~statement was an officer, director, associate, partner or~~
 3 ~~proprietor, or served in any advisory capacity, from which~~
 4 ~~income in excess of \$1,200 was derived during the preceding~~
 5 ~~calendar year.~~

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

10 ~~3. List the nature of professional services rendered (other~~
 11 ~~than to the unit or units of local government in relation to~~
 12 ~~which the person is required to file) to each entity from which~~
 13 ~~income exceeding \$5,000 was received for professional services~~
 14 ~~rendered during the preceding calendar year by the person~~
 15 ~~making the statement.~~

16

17

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

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25 ~~5. List the name of any entity and the nature of the~~
 26 ~~governmental action requested by any entity which has applied~~

1 ~~to a unit of local government in relation to which the person~~
 2 ~~must file for any license, franchise or permit for annexation,~~
 3 ~~zoning or rezoning of real estate during the preceding calendar~~
 4 ~~year if the ownership interest of the person filing is in~~
 5 ~~excess of \$5,000 fair market value at the time of filing or if~~
 6 ~~income or dividends in excess of \$1200 were received by the~~
 7 ~~person filing from the entity during the preceding calendar~~
 8 ~~year.~~

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12 ~~6. List the name of any entity doing business with a unit~~
 13 ~~of local government in relation to which the person is required~~
 14 ~~to file from which income in excess of \$1,200 was derived~~
 15 ~~during the preceding calendar year other than for professional~~
 16 ~~services and the title or description of any position held in~~
 17 ~~that entity. No time or demand deposit in a financial~~
 18 ~~institution nor any debt instrument need be listed.~~

19
 20

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

25
 26

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

5

6 ~~VERIFICATION:~~

7 ~~"I declare that this statement of economic interests~~
8 ~~(including any accompanying schedules and statements) has been~~
9 ~~examined by me and to the best of my knowledge and belief is a~~
10 ~~true, correct and complete statement of my economic interests~~
11 ~~as required by the Illinois Governmental Ethics Act. I~~
12 ~~understand that the penalty for willfully filing a false or~~
13 ~~incomplete statement shall be a fine not to exceed \$1,000 or~~
14 ~~imprisonment in a penal institution other than the penitentiary~~
15 ~~not to exceed one year, or both fine and imprisonment."~~

16

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

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

19 (5 ILCS 420/4A-105) (from Ch. 127, par. 604A-105)

20 Sec. 4A-105. Time for filing. Except as provided in
21 Section 4A-106.1, by May 1 of each year a statement must be
22 filed by each person whose position at that time subjects him
23 to the filing requirements of Section 4A-101 unless he has
24 already filed a statement in relation to the same unit of
25 government in that calendar year.

1 Statements must also be filed as follows:

2 (a) A candidate for elective office shall file his
3 statement not later than the end of the period during which
4 he can take the action necessary under the laws of this
5 State to attempt to qualify for nomination, election, or
6 retention to such office if he has not already filed a
7 statement in relation to the same unit of government during
8 that same calendar year ~~within a year preceding such~~
9 ~~action.~~

10 (b) A person whose appointment to office is subject to
11 confirmation by the Senate shall file his statement at the
12 time his name is submitted to the Senate for confirmation.

13 (b-5) A special government agent, as defined in item
14 (1) of Section 4A-101 of this Act, shall file a statement
15 within 30 days after making the first ex parte
16 communication and each May 1 thereafter if he or she has
17 made an ex parte communication within the previous 12
18 months.

19 (c) Any other person required by this Article to file
20 the statement shall file a statement at the time of his or
21 her initial appointment or employment in relation to that
22 unit of government if appointed or employed by May 1.

23 If any person who is required to file a statement of
24 economic interests fails to file such statement by May 1 of any
25 year, the officer with whom such statement is to be filed under
26 Section 4A-106 of this Act shall, within 7 days after May 1,

1 notify such person by certified mail of his or her failure to
2 file by the specified date. Except as may be prescribed by rule
3 of the Secretary of State, such person shall file his or her
4 statement of economic interests on or before May 15 with the
5 appropriate officer, together with a \$15 late filing fee. Any
6 such person who fails to file by May 15 shall be subject to a
7 penalty of \$100 for each day from May 16 to the date of filing,
8 which shall be in addition to the \$15 late filing fee specified
9 above. Failure to file by May 31 shall result in a forfeiture
10 in accordance with Section 4A-107 of this Act.

11 Any person who takes office or otherwise becomes required
12 to file a statement of economic interests within 30 days prior
13 to May 1 of any year may file his or her statement at any time
14 on or before May 31 without penalty. If such person fails to
15 file such statement by May 31, the officer with whom such
16 statement is to be filed under Section 4A-106 of this Act
17 shall, within 7 days after May 31, notify such person by
18 certified mail of his or her failure to file by the specified
19 date. Such person shall file his or her statement of economic
20 interests on or before June 15 with the appropriate officer,
21 together with a \$15 late filing fee. Any such person who fails
22 to file by June 15 shall be subject to a penalty of \$100 per day
23 for each day from June 16 to the date of filing, which shall be
24 in addition to the \$15 late filing fee specified above. Failure
25 to file by June 30 shall result in a forfeiture in accordance
26 with Section 4A-107 of this Act.

1 All late filing fees and penalties collected pursuant to
2 this Section shall be paid into the General Revenue Fund in the
3 State treasury, if the Secretary of State receives such
4 statement for filing, or into the general fund in the county
5 treasury, if the county clerk receives such statement for
6 filing. The Attorney General, with respect to the State, and
7 the several State's Attorneys, with respect to counties, shall
8 take appropriate action to collect the prescribed penalties.

9 Failure to file a statement of economic interests within
10 the time prescribed shall not result in a fine or ineligibility
11 for, or forfeiture of, office or position of employment, as the
12 case may be; provided that the failure to file results from not
13 being included for notification by the appropriate agency,
14 clerk, secretary, officer or unit of government, as the case
15 may be, and that a statement is filed within 30 days of actual
16 notice of the failure to file.

17 Beginning with statements required to be filed on or after
18 May 1, 2009, the officer with whom a statement is to be filed
19 may, in his or her discretion, waive the late filing fee, the
20 monetary late filing penalty, and the ineligibility for or
21 forfeiture of office or position for failure to file when the
22 person's late filing of a statement or failure to file a
23 statement is due to his or her (i) serious or catastrophic
24 illness that renders the person temporarily incapable of
25 completing the statement or (ii) military service.

26 (Source: P.A. 96-550, eff. 8-17-09.)

1 (5 ILCS 420/4A-106) (from Ch. 127, par. 604A-106)

2 Sec. 4A-106. Notification; electronic filing.

3 (a) The statements of economic interests required of
4 persons listed in items (a) through (f), item (j), item (l),
5 and item (n) of Section 4A-101 shall be filed with the
6 Secretary of State. The Secretary of State shall by rule
7 provide for the electronic filing of statements as follows:

8 Beginning January 1, 2012, or as soon thereafter as the
9 Secretary of State has provided adequate software to persons
10 required to file under this Article, all Statements filed under
11 this Article shall be filed in electronic format. The Secretary
12 shall promptly upon verification make all statements filed
13 under this Article publicly available by means of a searchable
14 database that is accessible through the World Wide Web.
15 "Searchable" means, for the purpose of this Section, that any
16 person may query each question for any proper names and
17 addresses. The Secretary of State shall provide all software
18 necessary to comply with this Section and shall implement a
19 plan to provide computer access and assistance to persons
20 required to file by this Article.

21 (b) The statements of economic interests required of
22 persons listed in items (g), (h), (i), (k), and (o) of Section
23 4A-101 shall be filed with the county clerk of the county in
24 which the principal office of the unit of local government with
25 which the person is associated is located. If it is not

1 apparent which county the principal office of a unit of local
2 government is located, the chief administrative officer, or his
3 or her designee, has the authority, for purposes of this Act,
4 to determine the county in which the principal office is
5 located.

6 (c) On or before February 1 annually, ~~(1)~~ the chief
7 administrative officer of any State agency in the executive,
8 legislative, or judicial branch employing persons required to
9 file under item (f) or item (l) of Section 4A-101 and the chief
10 administrative officer of a board described in item (n) of
11 Section 4A-101 shall certify to the Secretary of State the
12 names and mailing addresses of those persons. The State Board
13 of Elections shall, within 14 days after the proclamation of
14 the results of a general primary pursuant to Section 7-58 of
15 the Election Code, provide the Secretary of State with a true
16 alphabetical listing of the names and related information,
17 including their addresses and the office they are seeking, of
18 candidates who were nominated in a general primary election.
19 ~~and (2)~~

20 (d) On or before February 1 annually, the chief
21 administrative officer, or his or her designee, of each unit of
22 local government with persons described in items (h), (i) and
23 (k) and a board described in item (o) of Section 4A-101 shall
24 certify to the appropriate county clerk a list of names and
25 addresses of persons described in items (h), (i), (k), and (o)
26 of Section 4A-101 that are required to file. In preparing the

1 lists, each chief administrative officer, or his or her
2 designee, shall set out the names in alphabetical order. Any
3 local election authority shall within 14 days after
4 proclamation of the results of a primary election, provide the
5 county clerk with a true alphabetical listing of the names and
6 related information, including their addresses and the office
7 they are seeking, of candidates who nominated in a general
8 primary election. Any county clerk who makes available in his
9 or her principal offices terminals by means of which the
10 general public may access statements of economic interest filed
11 with the Secretary of State's office and posted to the
12 Secretary of State's website may waive the requirement that a
13 person file a paper form with that county clerk with respect to
14 persons whose forms have been electronically filed with the
15 Secretary of State's office.

16 (e) On or before April 1 annually, the Secretary of State
17 shall notify (1) all persons whose names have been certified to
18 him under items (f), (l), and (n) of Section 4A-101, and (2)
19 all persons described in items (a) through (e) and item (j) of
20 Section 4A-101, together, in even-numbered years, with the
21 names of candidates nominated at the most recent general
22 primary, other than candidates for office who have filed their
23 statements with their nominating petitions, of the
24 requirements for filing statements of economic interests. A
25 person required to file with the Secretary of State by virtue
26 of more than one item among items (a) through (f) and items

1 (j), (l), and (n) shall be notified of and is required to file
2 only one statement of economic interests relating to all items
3 under which the person is required to file with the Secretary
4 of State.

5 (f) On or before April 1 annually, the county clerk of each
6 county shall notify all persons whose names have been certified
7 to him under items (g), (h), (i), (k), and (o) of Section
8 4A-101, ~~other than candidates for office who have filed their~~
9 ~~statements with their nominating petitions,~~ of the
10 requirements for filing statements of economic interests. A
11 person required to file with a county clerk by virtue of more
12 than one item among items (g), (h), (i), (k), and (o) shall be
13 notified of and is required to file only one statement of
14 economic interests relating to all items under which the person
15 is required to file with that county clerk.

16 (g) Except as provided in Section 4A-106.1, the notices
17 provided for in this Section shall be in writing and deposited
18 in the U.S. Mail, properly addressed, first class postage
19 prepaid, on or before the day required by this Section for the
20 sending of the notice. Alternatively, a county clerk may send
21 the notices electronically to all persons whose names have been
22 thus certified to him under item (h), (i), or (k) of Section
23 4A-101. A certificate executed by the Secretary of State or
24 county clerk attesting that he or she has sent the notice by
25 the means permitted by this Section constitutes prima facie
26 evidence thereof.

1 (h) From the lists certified to him under this Section of
2 persons described in items (g), (h), (i), (k), and (o) of
3 Section 4A-101, the clerk of each county shall compile an
4 alphabetical listing of persons required to file statements of
5 economic interests in his office under any of those items. As
6 the statements are filed in his office, the county clerk shall
7 cause the fact of that filing to be indicated on the
8 alphabetical listing of persons who are required to file
9 statements. Within 30 days after the due dates, the county
10 clerk shall mail to the State Board of Elections a true copy of
11 that listing showing those who have filed statements.

12 (i) The county clerk of each county shall note upon the
13 alphabetical listing the names of all persons required to file
14 a statement of economic interests who failed to file a
15 statement on or before May 1. It shall be the duty of the
16 several county clerks to give notice as provided in Section
17 4A-105 to any person who has failed to file his or her
18 statement with the clerk on or before May 1.

19 (j) Any person who files or has filed a statement of
20 economic interest under this Act is entitled to receive from
21 the Secretary of State or county clerk, as the case may be, a
22 receipt indicating that the person has filed such a statement,
23 the date of such filing, and the identity of the governmental
24 unit or units in relation to which the filing is required. A
25 county clerk shall issue such receipt either on proof that the
26 person has filed with the Secretary of State in electronic

1 format or upon receipt of a paper form.

2 (k) The Secretary of State may employ such employees and
3 consultants as he considers necessary to carry out his duties
4 hereunder, and may prescribe their duties, fix their
5 compensation, and provide for reimbursement of their expenses.

6 (l) The Secretary of State shall provide training, through
7 the Secretary of State's website, for ethics officers appointed
8 under the State Officers and Employees Ethics Act and through
9 the Secretary of State's website, for persons required to file
10 statements of economic interests.

11 (m) All statements of economic interests filed under this
12 Section shall be available for examination and copying by the
13 public at all reasonable times. Not later than 12 months after
14 the effective date of this amendatory Act of the 93rd General
15 Assembly, beginning with statements filed in calendar year
16 2004, the Secretary of State shall make statements of economic
17 interests filed with the Secretary available for inspection and
18 copying via the Secretary's website.

19 (Source: P.A. 96-6, eff. 4-3-09; 96-1336, eff. 1-1-11.)

20 Section 99. Effective date. This Act takes effect upon
21 becoming law.