



## 100TH GENERAL ASSEMBLY

### State of Illinois

2017 and 2018

SB3403

Introduced 2/16/2018, by Sen. Kwame Raoul

#### SYNOPSIS AS INTRODUCED:

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-104	from Ch. 127, par. 604A-104

Amends the Illinois Governmental Ethics Act. Modifies the required statement of economic interests under the Act to include disclosure of income received from specified entities on which a person is required to report. Modifies the statement of economic interests forms to make conforming changes.

LRB100 20713 RJF 36181 b

1 AN ACT concerning 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 4A-102, 4A-103, and 4A-104 as follows:

6 (5 ILCS 420/4A-102) (from Ch. 127, par. 604A-102)

7 Sec. 4A-102. The statement of economic interests required  
8 by this Article shall include the economic interests of the  
9 person making the statement as provided in this Section. The  
10 interest (if constructively controlled by the person making the  
11 statement) of a spouse or any other party, shall be considered  
12 to be the same as the interest of the person making the  
13 statement. Campaign receipts shall not be included in this  
14 statement.

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

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

1 year;

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

11 (2.5) The name of each client from whom a person,  
12 or his or her business, received payments for services  
13 provided, if the filer's share of gross receipts was  
14 \$5,000 or more, unless disclosure would violate legal  
15 confidentiality.

16 (3) The identity (including the address or legal  
17 description of real estate), and the amount of income  
18 received from, ~~of~~ any capital asset from which a  
19 capital gain of \$5,000 or more was realized in the  
20 preceding calendar year.

21 (4) The name of any unit of government, and the  
22 amount of income received for services provided to that  
23 unit of government, which has employed the person  
24 making the statement during the preceding calendar  
25 year other than the unit or units of government in  
26 relation to which the person is required to file.

1           (5) The name of any entity from which a gift or  
2 gifts, or honorarium or honoraria, valued singly or in  
3 the aggregate in excess of \$500, was received during  
4 the preceding calendar year, and the monetary value of  
5 each gift or honorarium received from that entity.

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

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

19           (2) Except for professional service entities, the  
20 name of any entity and any position held therein from  
21 which income of in excess of \$1,200 was derived during  
22 the preceding calendar year, and the amount of income  
23 received from that entity, if the entity does business  
24 in the State of Illinois. No time or demand deposit in  
25 a financial institution, nor any debt instrument need  
26 be listed.

1           (3) The identity of any compensated lobbyist with  
2           whom the person making the statement maintains a close  
3           economic association, including the name of the  
4           lobbyist and specifying the legislative matter or  
5           matters which are the object of the lobbying activity,  
6           and describing the general type of economic activity of  
7           the client or principal on whose behalf that person is  
8           lobbying.

9           (c) The following interests shall also be listed by  
10          persons listed in items (g), (h), (i), and (o) of Section  
11          4A-101:

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

23           (2) Except for professional service entities, the  
24           name of any entity and any position held therein from  
25           which income in excess of \$1,200 was derived during the  
26           preceding calendar year, and the amount of income

1           received, if the entity does business with a unit of  
2           local government in relation to which the person is  
3           required to file. No time or demand deposit in a  
4           financial institution, nor any debt instrument need be  
5           listed.

6           (3) The name of any entity and the nature of the  
7           governmental action requested by any entity which has  
8           applied to a unit of local government in relation to  
9           which the person must file for any license, franchise  
10          or permit for annexation, zoning or rezoning of real  
11          estate during the preceding calendar year if the  
12          ownership interest of the person filing is in excess of  
13          \$5,000 fair market value at the time of filing or if  
14          income or dividends in excess of \$1,200 were received  
15          by the person filing from the entity during the  
16          preceding calendar year.

17          For the purposes of this Section, the unit of local  
18          government in relation to which a person required to file under  
19          item (o) of Section 4A-101 shall be the unit of local  
20          government that contributes to the pension fund of which such  
21          person is a member of the board.

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

23                 (5 ILCS 420/4A-103) (from Ch. 127, par. 604A-103)

24                 Sec. 4A-103. The statement of economic interests required  
25                 by this Article to be filed with the Secretary of State shall

1 be filled in by typewriting or hand printing, shall be  
2 verified, dated, and signed by the person making the statement  
3 and shall contain substantially the following:

4 STATEMENT OF ECONOMIC INTEREST

5 (TYPE OR HAND PRINT)

6 .....  
7 (name)

8 .....  
9 (each office or position of employment for which this statement  
10 is filed)

11 .....  
12 (full mailing address)

13 GENERAL DIRECTIONS:

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

18 Campaign receipts shall not be included in this statement.

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

21 1. List the name and instrument of ownership in any entity  
22 doing business in the State of Illinois, in which the ownership  
23 interest held by the person at the date of filing is in excess  
24 of \$5,000 fair market value or from which dividends in excess  
25 of \$1,200 were derived during the preceding calendar year. (In  
26 the case of real estate, location thereof shall be listed by

1 street address, or if none, then by legal description.) No time  
 2 or demand deposit in a financial institution, nor any debt  
 3 instrument need be listed.

4 Business Entity	Instrument of Ownership
5 .....	.....
6 .....	.....
7 .....	.....
8 .....	.....

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

15 Name	Address	<u>Income</u>	Type of Practice
16 .....	.....	<u>.....</u>	.....
17 .....	.....	<u>.....</u>	.....
18 .....	.....	<u>.....</u>	.....
19 .....	.....	<u>.....</u>	.....

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

26 .....



1 .....

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

6 .....

7 .....

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

Lobbyist	Legislative Matter	Client or Principal
.....	.....	.....
.....	.....	.....

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

1	Entity	<u>Income</u>	Position Held
2	.....	<u>.....</u>	.....
3	.....	<u>.....</u>	.....
4	.....	<u>.....</u>	.....

5           7. List the name of any unit of government, and the amount  
6 of income received for services provided to that unit of  
7 government, which employed the person making the statement  
8 during the preceding calendar year other than the unit or units  
9 of government in relation to which the person is required to  
10 file.

11 .....  
12 .....

13           8. List the name of any entity from which a gift or gifts,  
14 or honorarium or honoraria, valued singly or in the aggregate  
15 in excess of \$500, was received during the preceding calendar  
16 year, and the monetary value of each gift or honorarium  
17 received from that entity.

18 .....

19           9. List the name of each client from whom a person, or his  
20 or her business, received payments for services provided, if  
21 the filer's share of gross receipts was \$5,000 or more, unless  
22 disclosure would violate legal confidentiality.

23 .....

24 VERIFICATION:

25           "I declare that this statement of economic interests  
26 (including any accompanying schedules and statements) has been

1 examined by me and to the best of my knowledge and belief is a  
 2 true, correct and complete statement of my economic interests  
 3 as required by the Illinois Governmental Ethics Act. I  
 4 understand that the penalty for willfully filing a false or  
 5 incomplete statement shall be a fine not to exceed \$1,000 or  
 6 imprisonment in a penal institution other than the penitentiary  
 7 not to exceed one year, or both fine and imprisonment."

8 .....

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

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

11 (5 ILCS 420/4A-104) (from Ch. 127, par. 604A-104)

12 Sec. 4A-104. The statement of economic interests required  
 13 by this Article to be filed with the county clerk shall be  
 14 filled in by typewriting or hand printing, shall be verified,  
 15 dated, and signed by the person making the statement and shall  
 16 contain substantially the following:

17 STATEMENT OF ECONOMIC INTERESTS

18 (TYPE OR HAND PRINT)

19 .....

20 (Name)

21 .....

22 (each office or position of employment for which this statement  
 23 is filed) .....

24 (full mailing address)

25 GENERAL DIRECTIONS:

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

5           Campaign receipts shall not be included in this statement.

6           If additional space is needed, please attach supplemental  
 7 listing.

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

18	Business	Instrument of	Position of
19	Entity	Ownership	Management
20	.....	.....	.....
21	.....	.....	.....
22	.....	.....	.....

23           2. List the name, address, amount of income received from,  
 24 and type of practice of any professional organization in which  
 25 the person making the statement was an officer, director,  
 26 associate, partner or proprietor, or served in any advisory

1 capacity, from which income in excess of \$1,200 was derived  
2 during the preceding calendar year.

3	Name	Address	<u>Income</u>	Type of Practice
4	.....	.....	<u>.....</u>	.....
5	.....	.....	<u>.....</u>	.....
6	.....	.....	<u>.....</u>	.....

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

14 .....  
15 .....

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

20 .....  
21 .....  
22 .....

23 5. List the name of any entity and the nature of the  
24 governmental action requested by any entity which has applied  
25 to a unit of local government in relation to which the person  
26 must file for any license, franchise or permit for annexation,

1 zoning or rezoning of real estate during the preceding calendar  
 2 year if the ownership interest of the person filing is in  
 3 excess of \$5,000 fair market value at the time of filing or if  
 4 income or dividends in excess of \$1200 were received by the  
 5 person filing from the entity during the preceding calendar  
 6 year.

7 .....  
 8 .....  
 9 .....

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

18 .....  
 19 .....

20 7. List the name of any unit of government, and the amount  
 21 of income received for services provided to that unit of  
 22 government, which employed the person making the statement  
 23 during the preceding calendar year other than the unit or units  
 24 of government in relation to which the person is required to  
 25 file.

26 .....

1 .....

2 8. List the name of any entity from which a gift or gifts,  
3 or honorarium or honoraria, valued singly or in the aggregate  
4 in excess of \$500, was received during the preceding calendar  
5 year, and the monetary value of each gift or honorarium  
6 received from that entity.

7 .....

8 9. List the name of each client from whom a person, or his  
9 or her business, received payments for services provided, if  
10 the filer's share of gross receipts was \$5,000 or more, unless  
11 disclosure would violate legal confidentiality.

12 .....

13 VERIFICATION:

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

23 .....

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

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