

How to start your SEI Filing?

1. Once you are logged in to the SEI e-Filing portal: <https://ethicssei.nc.gov/efile> you will see the screenshot below.
 - o Click the “Start New SEI” button.

North Carolina State Ethics Commission

SEI Form

Home Contact Us

Welcome to the State Ethics Commission public filing portal.

	Year	Status	Start Date	Submitted Date
	2019	Submitted	01/23/2019	01/23/2019
	2019	Submitted	01/22/2019	01/22/2019
	2019	Submitted	01/16/2019	01/22/2019
	2019	Submitted	01/10/2019	01/10/2019
	2019	Submitted	01/10/2019	01/10/2019

Start New SEI

2. You will see the “Reason for Filing” as shown below.

Reason for Filing

Filed Last Year Filed for Candidacy Reason for Filing

Did you file an SEI last year?

Previous Next

Want to submit an SEI?

3. A) If you did not file an SEI last year, select “No” for “Did you file an SEI last year?” question, and then click the “NEXT” button to advance to next tab. Note: you may have to scroll down the page to see the “Next” button.

OR

- B) If you select “Yes” for “Did you file an SEI last year?” question, additional questions will show on the screen as shown below.

The screenshot shows the 'Reason for Filing' screen with three tabs: 'Filed Last Year' (active), 'Filed for Candidacy', and 'Reason for Filing'. The 'Filed Last Year' tab contains a series of questions, each with a 'More Info' link and a dropdown menu. The questions are: 'Did you file an SEI last year?' (dropdown set to 'Yes'), 'Has there been a change in Marital Status?', 'Has there been a change in Employer Information?', 'Has there been a change in your Reason for Filing (change of position)?', 'Has there been a change in Family Information?', 'Has there been a change in Real Property Interests?', 'Has there been a change in Financial Interests?', and 'Has there been a change in Professional and Civic Relationships?'. At the bottom right, there are 'Previous' and 'Next' buttons.

Answer the questions on this screen and click the “Next” button to advance to next tab. Note: you may have to scroll down the page to see the “Next” button.

4. For off-year candidacy periods, “**Filed for Candidacy**” tab does not need to be completed. Hit "next."
o For on-year candidacy periods, you must answer questions and click the “Next” button to advance to next tab.

The screenshot shows the 'Reason for Filing' screen with three tabs: 'Filed Last Year', 'Filed for Candidacy' (active), and 'Reason for Filing'. The 'Filed for Candidacy' tab contains a red-bordered box with the following text: 'The candidacy question(s) is **ONLY** available once the filing period begins for an office that falls under the ethics act. Before or after the available time period, this question is not available as there should be no filings.' Below this, there are two questions: 'Have you filed to run for office in 2019 (are you a candidate)?' and 'Are you a candidate running for a position that you do NOT currently hold?'. Both questions have dropdown menus. At the bottom right, there are 'Previous' and 'Next' buttons.

5. You must answer all **Reason for Filing** questions below.

Reason for Filing

Filed Last Year Filed for Candidacy **Reason for Filing**

Judicial Officer
Are you currently a Judicial Officer?
▼

Legislator
Are you currently a Legislator?
▼

Employee of State Agency, University or Community College
Are you an employee of a State Government Agency?
▼
Are you an employee of a University?
▼
Are you an employee of a Community College?
▼

Board/Commission
Are you currently serving or being considered to serve on a Board or Commission?
▼

Trustee
Are you a trustee for a University?
▼
Are you a trustee for a Community College?
▼

Previous Finish

Note: As you answer these questions on the screen, additional questions can show up based on your responses.
For example:

- a) If you answer “Yes” for the question “Are you currently serving or being considered to serve on a Board or Commission?”, an additional question pops up as shown below.

Board/Commission

Are you currently serving or being considered to serve on a Board or Commission?
Yes ▼

Specify Board/Commission
▼

+

- b) You must click on the “+” button to specify Board/Commission. This will open a window with additional questions as shown below.

Board/Commission

Specify Board/Commission
▼

Were you serving in this position in 2018?
▼

Were you appointed to this position by the Governor or a Council of State member?
▼

Cancel Save

- c) Answer all questions and click the “Save” button.

Want to submit an SEI?

6. Once you have answered all questions on the “Reason for Filing” screen, click “Finish” button.
7. This will bring you to the “SEI Filing” page as shown in the screenshot below.

The screenshot shows the 'SEI Filing' page. At the top, it says '2019 Statement of Economic Interest'. Below that, it shows 'Filing Start Date: 01/17/2019' and 'Filing Type: New'. There are two progress bars: 'Reason for Filing' which is marked as 'Completed' in a green box, and 'Filer Information (Includes Contact and Employer)' which is marked as 'Not Started' in a pink box. At the bottom left is a 'Review Forms' button, and at the bottom right is a 'Submit' button.

8. Click on the row with “Filer Information (Includes Contact and Employer) - Not Started. This will bring you to the “Filer Information (Contact and Employer)” screen as shown below. Enter all the required fields (shown with a red asterisk). You can click the “Import from Profile” button to pre-populate some of your information that you had provided during your Account creation/registration process.

The screenshot shows the 'Filer Information (Contact and Employer info)' form. At the top, it says 'To prefill your filer information from what you entered as part of your account profile, click this button.' followed by an 'Import from Profile' button. Below this, there are several sections of form fields. The 'Name/Birth Date' section includes fields for Title, First Name*, Middle Name, Last Name*, Suffix, and Birth Date*. The 'Phone/Email' section includes fields for Daytime Phone Number*, Alternate Phone Number, and E-Mail Address*. The 'Mailing Address' section includes fields for Street 1*, Street 2, City*, State*, and Zip*. The 'Residential Address' section includes a checkbox for 'Same as mailing address?', and fields for Street 1, Street 2, City, State, and Zip. The 'Employment Information' section includes fields for Current Employer*, Job Title*, and Nature of Business*. At the bottom left is a 'Back' button, and at the bottom right is a 'Finish' button. A red border highlights the entire form area.

- o Once you have filled in all the required fields, click on the “Finish” button.

Want to submit an SEI?

9. This will bring you back to the “SEI Filing” page as shown in the screenshot below. You will notice additional rows have now been added to this page. You can clearly see the particular sections that you have “Completed” and the sections that you have “Not Started”.

SEI Filing

2019 Statement of Economic Interest

Filing Start Date: 01/17/2019
Filing Type: New

Reason for Filing	Completed
Filer Information (Includes Contact and Employer)	Completed
Family Information	Not Started
Property Interests (Includes RED)	Not Started
Financial Interests	Not Started
Professional and Civic Relationships	Not Started
Other Disclosures	Not Started
Add Attachments	

Review Forms
Submit

10. Click on the row with “Family Information” - Not Started. This will bring you to the “Family Information” screen as shown below.

Family Information

Do immediate family members reside in your household?

Note: The term **Immediate family** includes your spouse (unless legally separated). It also includes members of your extended family (your and your spouse's children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those persons) **who reside in your household**.

Finish

11. If you answer “Yes” to the “Do immediate family members reside in your household?” question, additional items get added on the screen as shown below.

Family Information

Do immediate family members reside in your household?

Note: The term **Immediate family** includes your spouse (unless legally separated). It also includes members of your extended family (your and your spouse's children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those persons) **who reside in your household**.

Add

Relationship	First Name	Middle Name	Last Name	Name Suffix	Initials	Is Unemancipated Minor

Note: The full name of each minor child is NOT public record. It will not be available to the public and will **ONLY** appear on the Confidential Unemancipated Children Form generated at the end of this SEI filing.

Finish

12. Click on the “Add” button to add a family member.

13. This opens a screen as shown below.

14. Complete all the fields and click the “Save” button.

15. You can add additional family members by repeating Steps 13-15.

16. Once information for all family members has been provided, click the “Finish” button on the page.

17. **Property Interests** section must be completed.

- o Tabs include Ownership, Lease or Rent and Sell or Buy.

Owner Of Real Estate	% Ownership	City	County
rob test - Self	22.00%	test	Wake

18. **Financial Interests** section must be completed.

- o Tabs include Stock, Options, Interests in Non-public Owned Companies, Vested Trusts, Liabilities and Income Sources.

Financial Interests

Stock Stock Options Interests in a Non-publicly owned Company Vested Trusts Liabilities Sources of Income

As of December 31, 2018, did you or any members of your immediate family own any stock in a publicly owned company valued at \$10,000 or more?

▼

Note: Do **NOT** list ownership interests in a widely held investment fund (including mutual funds, regulated investment companies, or pension or deferred compensation plans) if:

- (i) the fund is publicly traded or its assets are widely diversified; and
- (ii) neither you nor an immediate family member are able to control the assets held in the mutual fund, investment company, or pension or deferred compensation plan.

Previous Next

19. **Professional and Civic Relationships** section must be completed.

- o Tabs include Non-Profit Info, Civic, Prof Relationship, Legal Fees, Prof Consulting Fees, Board Relationship and Lobbyist.

Professional and Civic Relationships

Nonprofit Information Civic Organization Information Professional Relationship Legal Fees Professional/Consulting Fees Board Relationship Information Lobbyist Information

During 2018, were you or any members of your immediate family a director, officer, governing board member, employee, independent contractor, or registered lobbyist of a nonprofit corporation or organization operating in the State of North Carolina primarily for religious, charitable, scientific, literary, public health and safety, or educational purposes?

▼

Note: Do **NOT** list State boards or entities, or entities created by a political subdivision of the State.

Note: Do **NOT** list organizations of which you are a mere member.

Previous Next

20. **Other Disclosures** section must be completed.

- o Tabs include Gifts, Scholarships, Contributions, Felony Convictions, Other Information.

Other Disclosures

Gifts
Scholarships
Contributions
Felony Convictions
Other Information

During 2018 after you were appointed, employed, or filed or were nominated as a candidate, did you:



- receive any "gift(s)" exceeding \$200 per quarter from a person or group of persons acting together,
- when both you and those person(s) were outside North Carolina, at the time you accepted the gift(s),
- under circumstances that would lead a reasonable person to conclude that gifts were given for lobbying?

To answer Yes, all three conditions must apply.

Note: Do NOT report gifts given by members of your extended family.
Note: Do NOT report gifts you have previously reported on the "Expense Report for Exempted Persons."

Previous
Next

21. After you successfully complete all SEI sections, SEI Filing home page shown below lists status for each section.

 **North Carolina State Ethics Commission** SEI Filing [Home](#) [Contact Us](#) 

2019 Statement of Economic Interest

Filing Start Date: 01/24/2019
Filing Type: New

Reason for Filing	Completed
Filer Information (Includes Contact and Employer)	Completed
Family Information	Completed
Property Interests (Includes RED)	Completed
Financial Interests	Completed
Professional and Civic Relationships	Completed
Other Disclosures	Completed
Add Attachments	

Review Forms
Submit

22. How to add attachments

- o You can add attachments when editing an SEI.
- o Note: Once an SEI is submitted, attachments cannot be added; this would require submitting an SEI Supplemental.
- o Screenshot below shows “Add Attachment” link on SEI public e-filing portal Home Page (admin screen).

North Carolina State Ethics Commission SEI Filing Home Contact Us

2019 Statement of Economic Interest

Filing Start Date: 01/24/2019
Filing Type: New

Reason for Filing	Completed
Filer Information (Includes Contact and Employer)	Completed
Family Information	Not Started
Property Interests (Includes RED)	Not Started
Financial Interests	Not Started
Professional and Civic Relationships	Not Started
Other Disclosures	Not Started
Add Attachments	

[Review Forms](#) [Submit](#)

- o After you click on “Add Attachments” link, the Attachment screen is displayed.
- o Attachment screen contains upload instructions, limitations and important notes.

NORTH CAROLINA SEI Filing Home Contact Us

Attachments

- **Upload instructions:**
Click on Upload Attachment.
Select the File you want to upload.
- **Limitations:**
Only PDF files may be uploaded.
File size is limited to 10MB.
Name of file cannot exceed 50 characters.
- **IMPORTANT:**
Uploaded documents are publicly available!
Please disclose only information required by each question of the report.
Please redact from any attachment all identifying information, including but not limited to Social Security numbers, account numbers, and any other numbers or information that can be used to access a person's financial resources.

[Finish](#) [Upload Attachment](#)

23. Click the “Submit” button to submit your SEI.

North Carolina State Ethics Commission SEI Filing [Home](#) [Contact Us](#)

2019 Statement of Economic Interest

Filing Start Date: 01/24/2019
Filing Type: New

Reason for Filing	Completed
Filer Information (Includes Contact and Employer)	Completed
Family Information	Completed
Property Interests (Includes RED)	Completed
Financial Interests	Completed
Professional and Civic Relationships	Completed
Other Disclosures	Completed
Add Attachments	

[Review Forms](#) [Submit](#)

24. You will now see the “SEI Affirmation” screen as shown below.

- o Check the affirmation checkbox towards the bottom and then click the “Submit” button.

North Carolina State Ethics Commission SEI Affirmation [Home](#) [Contact Us](#)

SEI Affirmation

The information provided in this Statement of Economic Interest and any attachments are true, complete, and accurate to the best of my knowledge and belief.

I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments except for the Confidential Form regarding Unemancipated Children are public records.

I have read and understand the following statutes:

N.C.G.S. § 138A-26. Concealing or failing to disclose material information.
A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest . . . shall be guilty of a Class 1 misdemeanor and subject to disciplinary action under G.S. 163A-415.

N.C.G.S. § 138A-27. Penalty for false information.
A filing person who provides false information on a statement of economic interest . . . knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 163A-415.

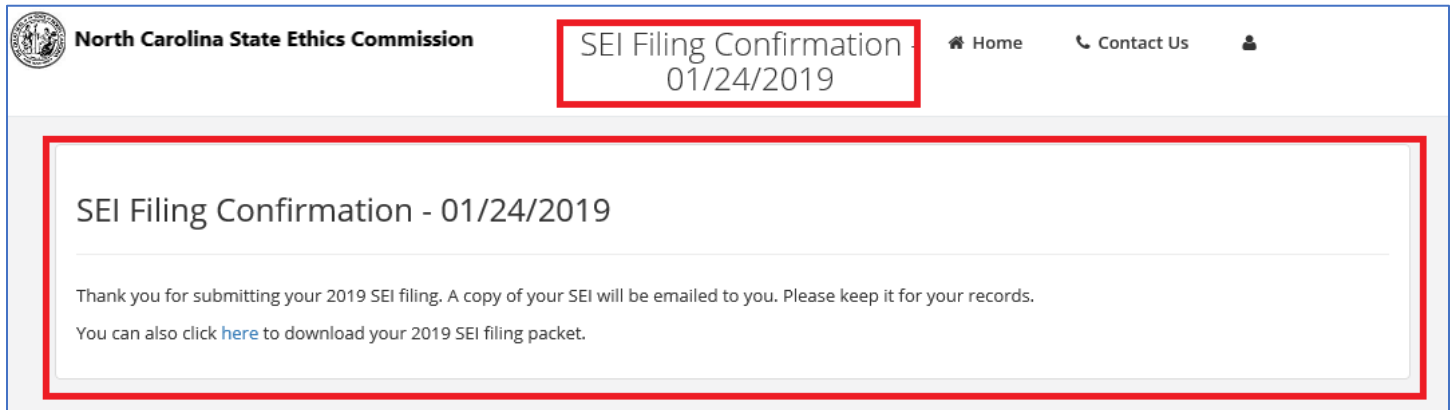
I affirm that I have reviewed my most recently filed 2018 Statement of Economic Interest and that as of December 31, 2018, my responses continue to be true, correct, and complete to the best of my knowledge and belief.

I affirm under penalty of perjury that the foregoing is true and correct.

☒ It is my intention that this check box constitutes my electronic signature. By checking this box, I certify that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

[Submit](#)

25. You will receive a confirmation screen as shown below after you have successfully submitted your SEI.



Quick Notes about the new system

1. At any given time, you can only have one SEI submission in-progress. Once you have submitted an SEI, you can create an additional SEI for the given period.
2. You can delete an "In-Progress" SEI, by clicking on the trash icon in right-most column. Note: You cannot delete an SEI which has been submitted.
3. All successfully submitted SEI's will appear in "SEI Form" home page with a submitted date.
4. While you are in progress of filling in the details for the SEI and have to step away, the system will retain/save the information that you have filled in so far. The next time you log back in, the system will allow you to pick up where you left off by clicking on "Continue In-Progress SEI" button as shown in the screen below.

North Carolina State Ethics Commission

SEI Form

Home Contact Us

Welcome to the State Ethics Commission public filing portal.

	Year	Status	Start Date	Submitted Date	
	2019	New (In-Progress)	01/24/2019		
	2019	Submitted	01/24/2019	01/24/2019	
	2019	Submitted	01/23/2019	01/23/2019	
	2019	Submitted	01/22/2019	01/22/2019	
	2019	Submitted	01/16/2019	01/22/2019	
	2019	Submitted	01/10/2019	01/10/2019	
	2019	Submitted	01/10/2019	01/10/2019	

Continue In-Progress SEI

5. You will be required to complete all SEI sections as shown in the screen below.

SEI Filing

2019 Statement of Economic Interest

Filing Start Date: 01/17/2019
Filing Type: New

Reason for Filing	Completed
Filer Information (Includes Contact and Employer)	Completed
Family Information	Not Started
Property Interests (Includes RED)	Not Started
Financial Interests	Not Started
Professional and Civic Relationships	Not Started
Other Disclosures	Not Started
Add Attachments	

Review Forms Submit

Want to submit an SEI?

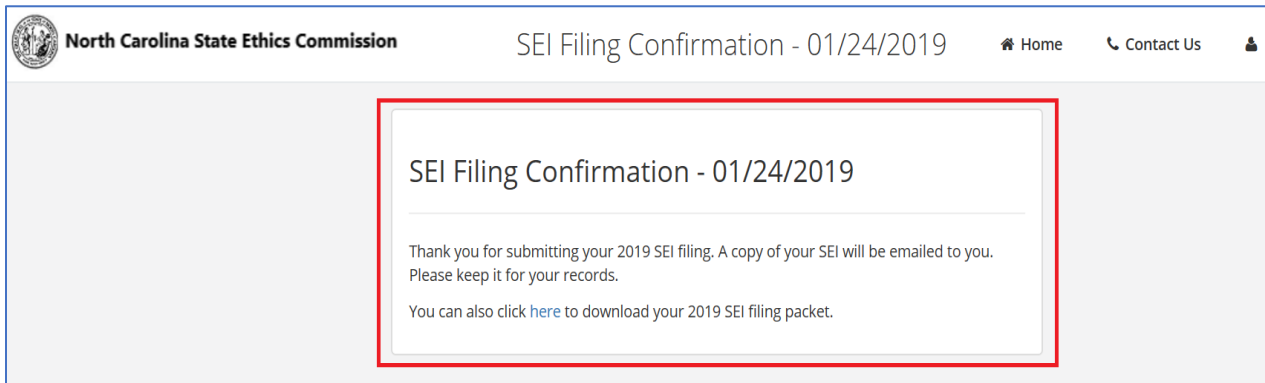
6. You can click on any row that is “Completed” to update that section. Likewise, you can click on any row that is “Not Started” to complete that section of the SEI.
7. SEI e-filing form supports “Required Fields” functionality
 - o When creating or editing an existing SEI (In-Progress), you will receive “Please correct all errors.” message if you attempt to move to the next screen without entering a value for field that is required.
 - o In the example below, if you select:
 - o Yes for “Are you currently serving or being considered to serve on a Board or Commission?” field and do not select a value from Specify Board/Commission drop-down list then ...
 - o You will receive “**Please correct all errors.**” message until a value is selected from Specify Board/Commission drop-down list.

The screenshot displays a web form for the North Carolina State Ethics Commission. A red box highlights a section titled "Are you currently serving or being considered to serve on a Board or Commission?". Inside this box, the "Yes" option is selected, but the "Specify Board/Commission" dropdown menu is empty. A red arrow points from this empty dropdown to a white modal dialog box in the center of the screen. The dialog box contains the text "Please correct all errors." and an "OK" button. The background form shows various other questions with dropdown menus, such as "Are you currently a Judicial Officer?", "Are you currently a Legislator?", "Are you an employee of a State Agency, University, or Community College?", "Are you an employee of a University?", and "Are you an employee of a Community College?".

8. You can click on the “Review Forms” button to preview the information that you have provided.
9. After completing all SEI required sections, click the “Submit” button.

The screenshot shows the "SEI Filing" page on the North Carolina State Ethics Commission website. The page title is "2019 Statement of Economic Interest". Below the title, it shows "Filing Start Date: 01/24/2019" and "Filing Type: New". A list of sections is displayed, each with a "Completed" status: "Reason for Filing", "Filer Information (Includes Contact and Employer)", "Family Information", "Property Interests (Includes RED)", "Financial Interests", "Professional and Civic Relationships", "Other Disclosures", and "Add Attachments". At the bottom of the page, there are two buttons: "Review Forms" and "Submit". The "Submit" button is highlighted with a red box.

10. You will receive a confirmation screen as shown below after you have successfully submitted your SEI.



11. You will also receive an email confirmation after successfully submitting an SEI. As shown in the screenshot below, this email will include your SEI packet as a PDF attachment.

