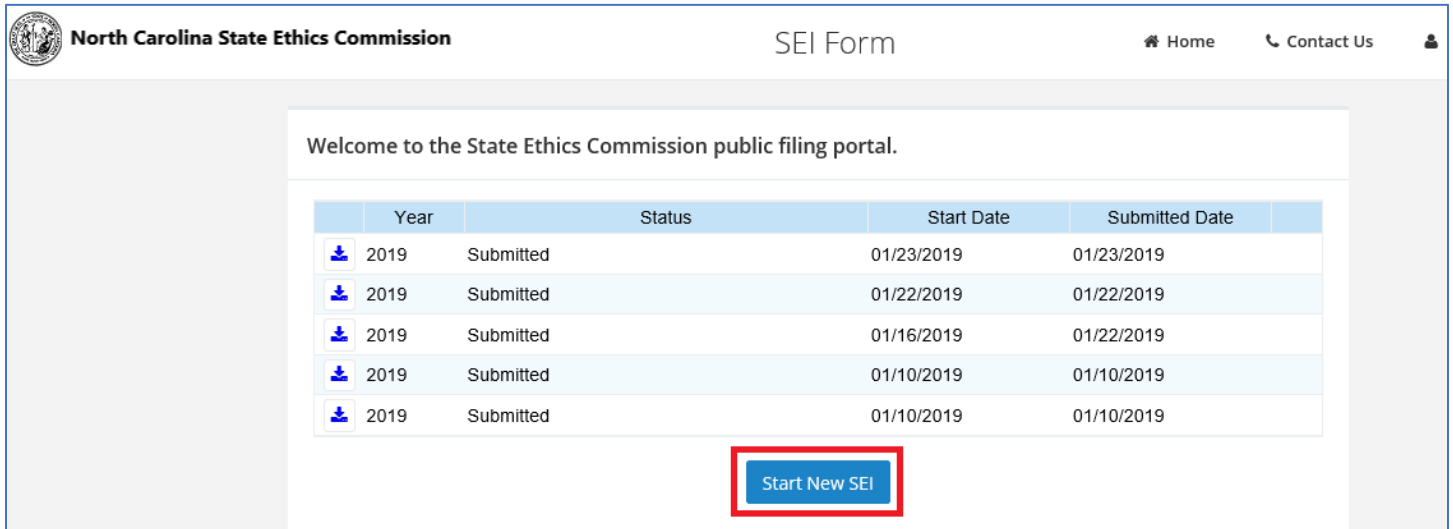
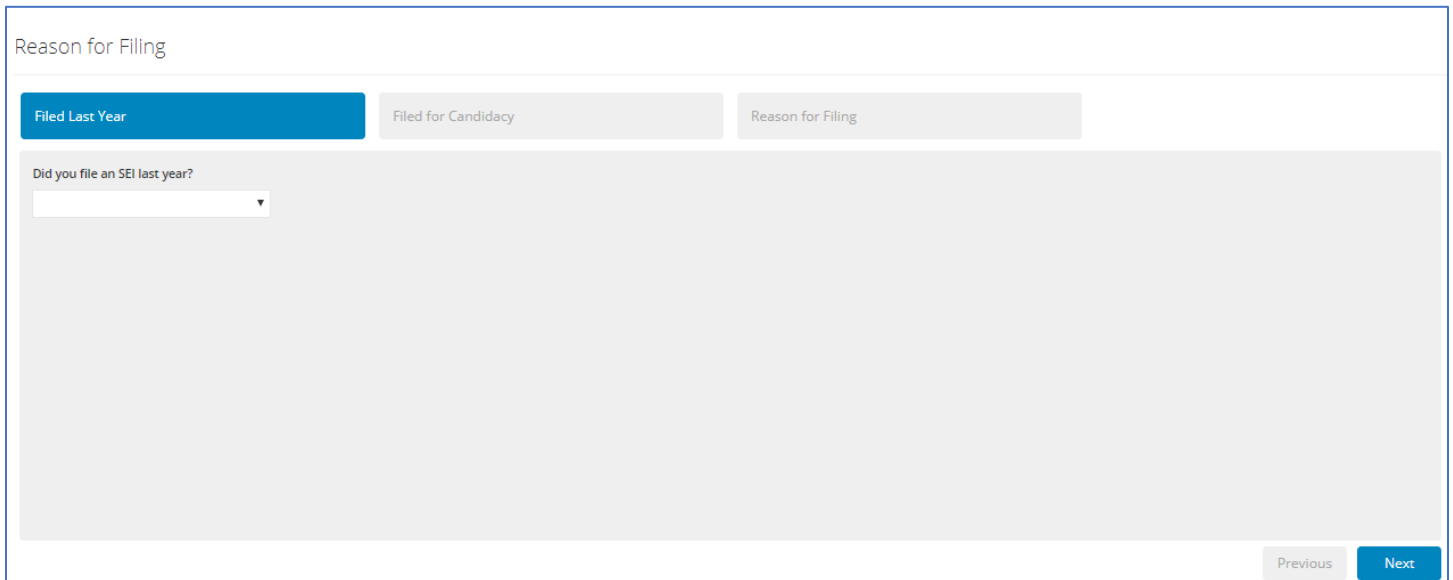


How to start your SEI Filing?

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.



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



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' (selected), 'Filed for Candidacy', and 'Reason for Filing'. Below the tabs, a series of questions are listed, each with a 'No' dropdown menu and a 'More Info' link. The questions are: 'Did you file an SEI last year?', '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' (selected), and 'Reason for Filing'. Below the tabs, a red-bordered box highlights a note: '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 the note, two questions are listed, each with a dropdown menu and a 'More Info' link: '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?'. At the bottom right, there are 'Previous' and 'Next' buttons.

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

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.

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

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

Want to submit an SEI?

- Once you have answered all questions on the “Reason for Filing” screen, click “Finish” button.
- This will bring you to the “SEI Filing” page as shown in the screenshot 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) Not Started

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

- 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.

Filer Information (Contact and Employer info)

To prefill your filer information from what you entered as part of your account profile, click this button. [Import from Profile](#)

* Required

Name/Birth Date

Title

First Name*

Middle Name

Last Name*

Suffix

Birth Date*

Phone/Email

Daytime Phone Number*

Alternate Phone Number

E-Mail Address*

Mailing Address

Street 1*

Street 2

City*

State*

Zip*

Residential Address

Same as mailing address?

Street 1

Street 2

City

State

Zip

Employment Information

Current Employer*

Job Title*

Nature of Business*

[Back](#) [Finish](#)

- 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”.

The screenshot shows the 'SEI Filing' dashboard. At the top, it says '2019 Statement of Economic Interest'. Below that, it indicates 'Filing Start Date: 01/17/2019' and 'Filing Type: New'. A list of sections follows, each with a status indicator: '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), and 'Add Attachments'. At the bottom, there are 'Review Forms' and 'Submit' buttons.

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

The screenshot shows the 'Family Information' screen. The main question is 'Do immediate family members reside in your household?' with a dropdown menu. Below the question is a note: '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.' A 'Finish' button is located at the bottom right.

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.

The screenshot shows the 'Family Information' screen with the 'Do immediate family members reside in your household?' question answered 'Yes'. Below the question is the same note as in the previous screenshot. An 'Add' button is visible. Below the 'Add' button is a table with the following columns: Relationship, First Name, Middle Name, Last Name, Name Suffix, Initials, and Is Unemancipated Minor. Below the table is a note: '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.' A 'Finish' button is located at the bottom right.

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.

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).

The screenshot shows the 'SEI Filing' page for the 'North Carolina State Ethics Commission'. 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 progress bar lists several sections: '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), and 'Other Disclosures' (Not Started). The 'Add Attachments' link is highlighted with a red border. At the bottom, there are 'Review Forms' and 'Submit' buttons.

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

The screenshot shows the 'Attachments' screen. It contains the following text: '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.' At the bottom, there are 'Finish' and 'Upload Attachment' buttons.

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.

The screenshot shows the North Carolina State Ethics Commission website. The header includes the commission's logo and name, a navigation menu with 'Home' and 'Contact Us', and a user profile icon. A red box highlights the title 'SEI Filing Confirmation - 01/24/2019'. The main content area, also highlighted with a red box, contains the title 'SEI Filing Confirmation - 01/24/2019', a horizontal line, and a message: 'Thank you for submitting your 2019 SEI filing. A copy of your SEI will be emailed to you. Please keep it for your records. You can also click [here](#) to download your 2019 SEI filing packet.'

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

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 portion of the SEI e-filing form. A red box highlights the question: "Are you currently serving or being considered to serve on a Board or Commission?". Below this question, the "Yes" option is selected, but the "Specify Board/Commission" dropdown menu is empty. A white error message box is overlaid on the form, stating "Please correct all errors." with an "OK" button. A red arrow points from the error message to the empty dropdown menu.

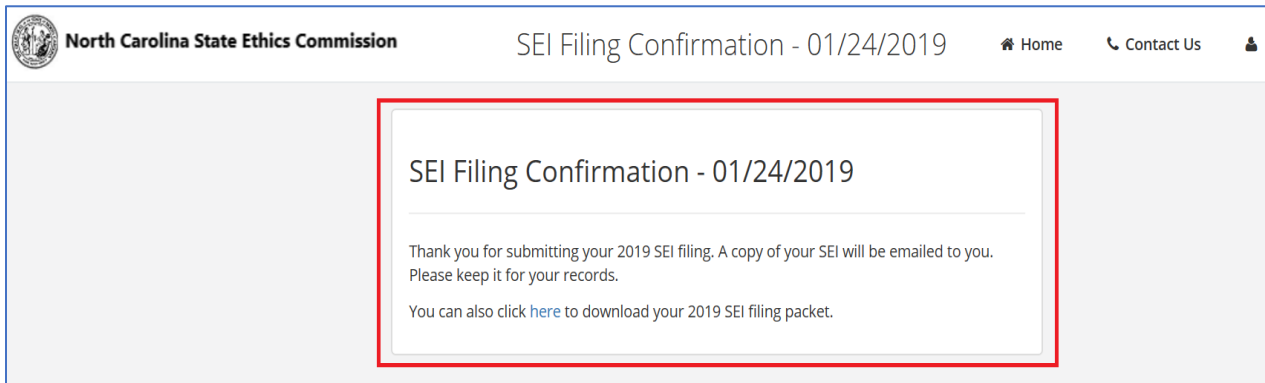
8. You can click on the “Review Forms” button to preview the information that you have provided.
9. After completing all SEI required sections, click the “Submit” button.

The screenshot shows the "SEI Filing" summary page for the "2019 Statement of Economic Interest". The page header includes the North Carolina State Ethics Commission logo and the text "SEI Filing". The main content area lists the following sections, each with a "Completed" status indicator:

- Filing Start Date: 01/24/2019
- Filing Type: New
- Reason for Filing
- Filer Information (Includes Contact and Employer)
- Family Information
- Property Interests (Includes RED)
- Financial Interests
- Professional and Civic Relationships
- Other Disclosures
- 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.

