

# STATE OF ILLINOIS

## FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST

### VENDOR MANUAL

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#### **Purpose of Vendor Manual**

The State of Illinois' Chief Procurement Officer (CPO) for Capital Development Board, CPO for General Services, CPO for Higher Education, and CPO for Transportation provide this manual, which includes a section on Frequently Asked Questions (FAQ), to further inform vendors how to complete the Financial Disclosures and Conflicts of Interest form. This manual supplements but does not replace the instructions given in the Financial Disclosures and Conflicts of Interest form.

#### **Statutory Authority**

The general form of solicitation and contract documents shall be determined by the Chief Procurement Officer. 30 ILCS 500/10-5.

#### **General Information**

A Financial Disclosures and Conflicts of Interest form (form) is included with this manual. The form includes red text fields, e.g., [Click here to enter text](#). Vendor must click the text field to enter information. When Vendor clicks the text field, a prompt is provided. Included in each prompt is a "V." "V" indicates Vendor should complete the text field. If a particular text field is not applicable to Vendor, Vendor should type "N/A" or "Not Applicable" in the text field. If any red text fields remain after Vendor completes the form, the form is incomplete.

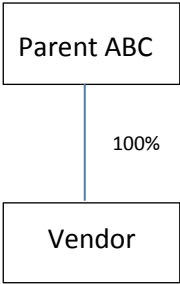
The form in this manual includes circled numbers referred to as callouts, such as ① and ②, next to certain text reserved for Vendor to complete. This manual is organized to correspond with each circled number in the form. This gives Vendor the ability to easily locate additional instructions for corresponding sections in the form. For example, ① in the template corresponds with ① in this manual.

[Balance of page left intentionally blank.]

**1 – Disclosure submitted for**

Vendor must always submit at least one form. If Vendor has a parent entity(ies) or utilizes subcontractors whose subcontract has an annual value of greater than \$50,000, additional forms must be submitted as further explained. Please select the box that correlates to the entity for which the disclosures are being submitted. Below are illustrative examples. Please note that there are many more:

**Example 1** – Vendor is wholly owned by Parent ABC. A separate form must be submitted for each **Vendor** and **Parent ABC** each.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

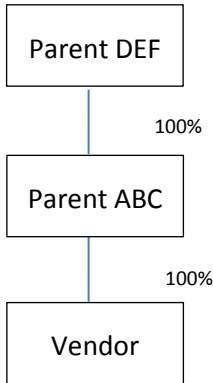
- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Parent ABC**, please select the box next to Vendor’s Parent Entity(ies) (100% ownership). The remainder of the form should be completed from the perspective of **Parent ABC**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

**Example 2** – Vendor is wholly owned by Parent ABC and Parent ABC is wholly owned by Parent DEF. A separate form must be submitted for Vendor, Parent ABC, and Parent DEF each.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Parent ABC**, please select the box next to Vendor’s Parent Entity(ies) (100% ownership). The remainder of the form should be completed from the perspective of **Parent ABC**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Parent DEF**, please select the box next to Vendor’s Parent Entity(ies). The remainder of the form should be completed from the perspective of **Parent DEF**, which should also be listed as the Disclosing Entity.

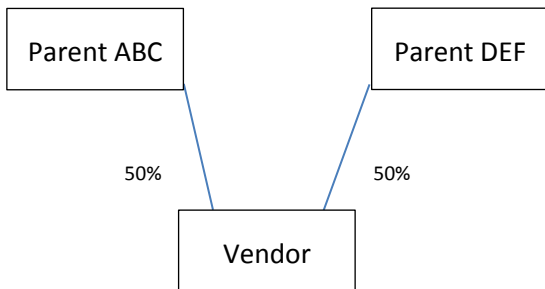
**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)

Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

**Example 3** – Vendor is owned by two parents, with each having less than 100% ownership (e.g., 50% each). No disclosure form is required for Parent ABC or Parent DEF, unless later requested by the Chief Procurement Office or Procurement Policy Board. A form must be submitted for Vendor, which should also be listed as the Disclosing Entity.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

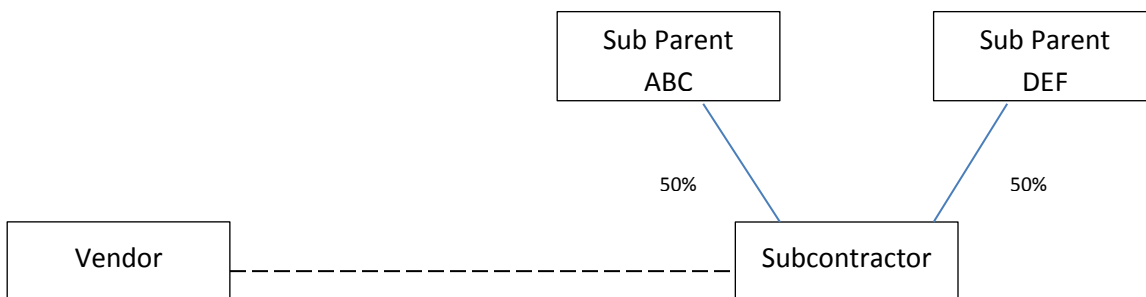
Vendor

Vendor's Parent Entity(ies) (100% ownership)

Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

**Example 4** – Vendor will utilize a subcontractor whose subcontract is greater than \$50,000 annually. A separate form must be submitted for Vendor and Subcontractor each. Subcontractor has two parents, Sub Parent ABC and Sub Parent DEF, who each own 50% of Subcontractor.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

Vendor

- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Subcontractor**, please check the box next to Subcontractor. The remainder of the form should be completed from the perspective of **Subcontractor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- No separate disclosure form is required for Sub Parent ABC or Sub Parent DEF unless later requested by the Chief Procurement Office or Procurement Policy Board.

**Example 5** – Vendor will utilize a subcontractor whose subcontract is greater than \$50,000 annually. Subcontractor is wholly owned by Sub Parent ABC. Sub Parent ABC is wholly owned by Sub Parent DEF. A separate form must be submitted for Vendor, Subcontractor, Sub Parent ABC, and Sub Parent DEF each.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Subcontractor**, please check the box next to Subcontractor. The remainder of the form should be completed from the perspective of **Subcontractor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

Vendor

Vendor's Parent Entity(ies) (100% ownership)

Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Sub Parent ABC**, please check the box next to Subcontractor's Parent Entity(ies) >\$50,000 (annual value). The remainder of the form should be completed from the perspective of **Sub Parent ABC**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

Vendor

Vendor's Parent Entity(ies) (100% ownership)

Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Sub Parent DEF**, please check the box next to Subcontractor's Parent Entity(ies) >\$50,000 (annual value). The remainder of the form should be completed from the perspective of **Sub Parent DEF**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

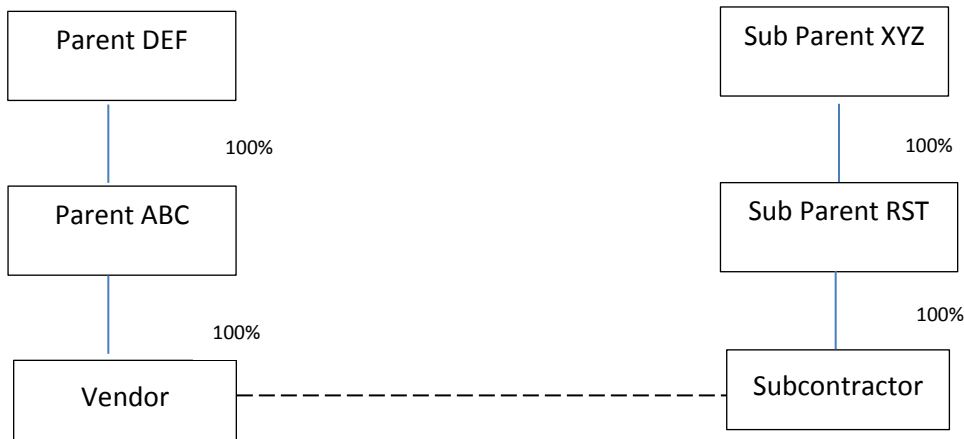
Vendor

Vendor's Parent Entity(ies) (100% ownership)

Subcontractor(s) >\$50,000 (annual value)

Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

**Example 6** – Vendor is wholly owned by Parent ABC and Parent ABC is wholly owned by Parent DEF. Vendor will utilize a subcontractor whose subcontract is greater than \$50,000 annually. Subcontractor is wholly owned by Sub Parent RST. Sub Parent RST is wholly owned by Sub Parent XYZ. A separate form must be submitted for Vendor, Subcontractor, Parent ABC, Parent DEF, Sub Parent RST, and Sub Parent XYZ each.



- On the form submitted for **Vendor**, please check the box next to Vendor. The remainder of the form should be completed from the perspective of **Vendor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Parent ABC**, please select the box next to Vendor’s Parent Entity(ies) (100% ownership). The remainder of the form should be completed from the perspective of **Parent ABC**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Parent DEF**, please select the box next to Vendor’s Parent Entity(ies). The remainder of the form should be completed from the perspective of **Parent DEF**, which should also be listed as the Disclosing Entity.

**This disclosure is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Subcontractor**, please check the box next to Subcontractor. The remainder of the form should be completed from the perspective of **Subcontractor**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Sub Parent RST**, please check the box next to Subcontractor's Parent Entity(ies) >\$50,000. The remainder of the form should be completed from the perspective of **Sub Parent RST**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)

- On the form submitted for **Sub Parent XYZ**, please check the box next to Subcontractor's Parent Entity(ies) >\$50,000. The remainder of the form should be completed from the perspective of **Sub Parent XYZ**, which should also be listed as the Disclosing Entity.

**This form is submitted for:**

- Vendor
- Vendor's Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 (annual value)
- Subcontractor's Parent Entity(ies) (100% ownership) > \$50,000 (annual value)



## FAQS – Disclosure Submitted For

1. **Question** - When do I stop disclosing information about a parent entity?

**Answer** – Disclose information about all 100% parent entities up to a split in ownership (a person and/or a publicly traded entity that owns less than 100%).

2. **Question** - Is a disclosure form required for all parents?

**Answer** – No. A form for a parent entity is required only for 100% ownership parent(s) of the Vendor or subcontractor. If there are several layers of 100% ownership parents, a separate form for each 100% ownership parent is required. Although separate disclosure forms are not requested for Parent entities that own less than 100% of the Vendor or less than 100% of the subcontractor, the Chief Procurement Office or Procurement Policy Board may later request a disclosure form be completed for those entities.

3. **Question** – Is a disclosure form required for parent entities of subcontractors?

**Answer** – Yes. If there is a subcontractor whose subcontract value is greater than \$50,000 and if the subcontractor has any 100% ownership parent(s), a separate form must be submitted for each 100% ownership parent of the subcontractor.

4. **Question** – Is there a different form for subcontractor disclosures?

**Answer** – No. There is no separate template for the subcontractor disclosures. Subcontractors should use this form and mark that the form is submitted for a subcontractor or a subcontractor’s parent entity.

### 2 –Project Name

This refers to the project name found on the respective State procurement bulletin: Illinois Procurement Bulletin, Illinois Public Higher Education Procurement Bulletin, Illinois Transportation Procurement Bulletin, and Illinois Capital Development Board Procurement Bulletin.

### 3 –Illinois Procurement Bulletin Number

This refers to the procurement identifier number found on the respective State procurement bulletin: Illinois Procurement Bulletin, Illinois Public Higher Education Procurement Bulletin, Illinois Transportation Procurement Bulletin, and Illinois Capital Development Board Procurement Bulletin.

### 4 – Vendor Name

If the entity is registered with the Illinois Secretary of State, use the name of the entity exactly as it is registered with the Illinois Secretary of State.

### 5 – Disclosing Entity

This form should be answered from the perspective of the disclosing entity. Include the name of the disclosing entity. If Vendor is the disclosing entity, the Vendor’s name should be included in both the Vendor Name text field and the Disclosing Entity text field. If the parent is the disclosing entity, the name of the parent for whom

responses are being submitted should be listed in the Disclosing Entity text field. In the event subcontractor is the disclosing entity, include the name of the subcontractor here.

**Example:** Sample Vendor is wholly owned by Parent ABC. Vendor is utilizing Sample Subcontractor. Parent ABC is wholly owned by Parent DEF. These disclosures are submitted for Parent ABC. Parent ABC is specified as the Disclosing Entity. Parent ABC also states that it has a parent entity, Parent DEF.

Project Name and Illinois Procurement Bulletin Number	Sample Project IPB # 1234567
Vendor Name	Sample Vendor
Doing Business As (DBA)	Sample Vendor
Disclosing Entity	Parent ABC
Disclosing Entity's Parent Entity	Parent DEF
Subcontractor	Sample Subcontractor
Instrument of Ownership or Beneficial Interest	Corporate Stock (C-Corporation, S-Corporation, Professional Corporation, Service Corporation) <input type="checkbox"/> If you selected Other, please describe: N/A

## 6 – Instrument of Ownership or Beneficial Interest

Although not exhaustive, the drop down list includes the most frequently selected organization types. If one of the drop-down selections does not describe your organization, select “Other” and then explain your organization ownership in the description box.

**Example:**

Instrument of Ownership or Beneficial Interest	Other <input checked="" type="checkbox"/> If you selected Other, please describe: Employee Stock Option Plan
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## 7 – Header

Each step in the document has a header that explains the general nature of the step and informs the Vendor and Subcontractor whether they need to complete the step.

**Example:**

**STEP 1**

**SUPPORTING DOCUMENTATION SUBMITTAL**

(All vendors complete regardless of annual bid, offer, or contract value)

(Subcontractors with subcontract annual value of more than \$50,000 must complete)

**8 – Step 1 – Option 1**

Vendor may provide the link to an electronic copy of the Federal 10-K or may submit a paper copy of the Federal 10-K.

**9 – Step 1 – Option 2**

Only for-profit corporations with more than 200 shareholders may select this option. If Vendor’s entity is a corporation with fewer than 200 shareholders or Vendor’s entity does not have shareholders, Vendor cannot use this option.

**Example:** Partnerships cannot use this option. Limited Liability Companies cannot use this option.

**10 – Step 1 – Option 3**

All United States private for-profit entities with fewer than 200 shareholders or whose owners are not shareholders, not including sole proprietorships, must select this option.

**Example:** A United States formed partnership must select this option.

**11 – Step 1 – Option 4**

Foreign entities, i.e., non-United States formed entities, must select this option.

**Example:** Foreign entities that file a Form 20-F or 40-F with the Securities and Exchange Commission (SEC) may use this option.

**12 – Step 2 – Option A**

Only for-profit entities complete this sub-step.

**Example:** Even if Vendor has a partnership agreement and claims the partnership agreement is private, State law requires this disclosure for all State government contracts.

**13 – Or**

**Example:** Vendor should disclose either percentage of ownership **or** value of ownership but not both.

**14 –** You can write “see attached” if your company includes a stand-alone document that lists all of the owners and provides the information requested by the table.

**15 – Table X**

If you disclose ownership share by completing Table X and this disclosure is inclusive of any person whose total distributive income percentage exceeds 5% of the total distributive income of the disclosing entity or whose dollar value of distributive income exceeds \$106,447.20, you do not need to complete Table Y.

## 16 – Remove lines in the Table

Click where it says [Click here to enter text.](#). Then press delete. Alternatively, you may select the entire row, and then press delete.

## 17 – Distributive Income

Distributable or distributive income means the income of a company after payment of all expenses, including employee salaries and bonuses, and retained earnings that is distributed to those entitled to receive a share of that income. In the case of a for-profit corporation, distributable income means “dividends.” When calculating entitlement to distributable income, the entitlement shall be determined at the end of the company’s most recent fiscal year.

## 18 – Table Y

If you disclose distributive income by Completing Table Y and this disclosure is inclusive of any person whose percentage of ownership exceeds 5% or whose dollar value of ownership exceeds \$106,447.20, you do not need to complete Table X.

If you never make any distributions and no one is entitled to distributive income, you may only complete Table X by disclosing only those persons whose percentage of ownership exceeds 5% or whose dollar value of ownership exceeds \$106,447.20.

## 19 – Step 3 Disclosure of Lobbyist or Agent

Only disclose those hired to assist you with obtaining a contract award for this procurement and who may assist you in the future with the bid or offer. You do not need to disclose a lobbyist **not** lobbying for this procurement or resulting contract. If your company has more than one lobbyist and you do not know which one will lobby for this procurement or any resulting contract, please list all of them.

Even if you have a lobbyist, as long as they are not paid with proceeds from a resulting contract, you are not prohibited from receiving a contract award for this procurement.

## 20 – Step 4 Prohibited Conflicts of Interest

This step requires disclosure of elected State officers (specifically the Governor, Lieutenant Governor, Attorney General, Secretary of State, Comptroller, and Treasurer) and members of the General Assembly. It does not apply to elected officers in units of local government or in school districts.

## 21 – Step 5 Potential Conflicts of Interest Relating to Personal Relationships

This is a broader disclosure than Step 4 (discussed in callout 20). In this step, all persons holding an elected office, including those in units of local government or in school districts in the State of Illinois, offices of the State of Illinois, and office of the United States government, must be disclosed.

## 22 – Step 6 Explanation of Affirmative Responses

This step requires Vendor to explain any affirmative response in Step 4 or Step 5.

- For example, if you checked “Yes” in Step 5, No. 2 because your spouse worked for a state agency, your response in Step 6 might look like:

Step 5, No. 2: My wife, Jane Smith, works for the Illinois Department of Central Management Services as an attorney (Senior Public Service Administrator 1) in the Labor Relations Division. Her annual salary is \$75,250.

- Salary information is required if you answered “Yes” in Step 4 or Step 5. With regard to salary information, it can be provided as the exact dollar amount of the annual salary, or if the salary does not exceed \$106,447.20 in any year, as a statement that the annual salary did not exceed \$106,447.20 for any of the years at issue. If the salary did exceed \$106,447.20, the exact dollar amount of the salary for that year should be included.
- As another example, if you marked “Yes” in Step 5, No. 6 because your son was appointed to the Illinois Commerce Commission, your response in Step 6 might look like:

Step 5, No. 6: My son, John Smith, was appointed to the Illinois Commerce Commission as a commissioner until July 2011. His annual compensation from the appointment did not exceed \$106,447.20.

- With regard to the position title of the individual, this can be the personnel title but can also be the title within the division where the person works. It is usually more helpful to include the title from the division as it gives more insight into the person’s duties. Using the same examples above, while technically accurate, the following response gives little insight into what this person does for the State and may require additional information be supplied before your company’s disclosures can be approved:

Step 5, No. 2: My wife, Jane Smith, works for the Illinois Department of Central Management Services as a Senior Public Service Administrator 1. Her annual salary is \$75,250.

By contrast, the following response omits the personnel title but contains more specific information. It is a better submission because it provides a specific description of this person’s job:

Step 5, No. 2: My wife, Jane Smith, works for the Illinois Department of Central Management Services as an attorney in the Labor Relations Division. Her annual salary is \$75,250.

23

## – Step 7 Potential Conflicts of Interest Relating to Debarment and Legal Proceedings

This step must be completed for each person and/or entity disclosed in Step 2, Option A; for each person disclosed in Step 3; for the sole proprietor disclosed in Step 1; and for each entity named in this form prior to Step 1, in Step 2 and/or in Step 5 even if no entity is listed in Step 2. If a vendor submits a Federal 10-K, they must still answer the questions in this step, but they may state “See Federal 10-K” in the explanatory text field.

24

## – Step 8 Disclosure of Current and Pending Contracts

Only contracts, proposals, bids, subcontracts, leases, or other ongoing procurement relationships the bidding, proposing, offering, or subcontracting entity has with units of State of Illinois government should be listed. Do not list contracts, proposals, bids, subcontracts, leases, or other ongoing procurement relationships the bidding, proposing, offering, or subcontracting entity has with cities or local municipalities.

25

### – Step 9 Sign the Disclosure

Each form must be signed by either an authorized officer or employee on behalf of the bidder or offeror. If Vendor has a parent entity and that parent entity authorizes vendor to sign the form on its behalf, Vendor may sign the form.

26

### – FAQs – The examples below inform Vendor which steps to complete for common entity structures.

**Example 1 – U.S. Publicly Traded Corporations Submitting a 10K** – Complete the following:

- Cover Page
- Step 1 Option 1.B.
- Step 3
- Step 7
- Step 8
- Step 9

**Example 2 – U.S Publicly Traded Corporations NOT Submitting a 10K** – Complete the following:

- Cover page
- Step 1 Option 1.A.
- Step 2 Option A or Step 2 Option B (as appropriate)
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 3 – U.S. Private Corporations with More than 200 Shareholders** – Complete the following:

- Cover Page
- Step 1 Option 3.A.
- Step 2 Option A (if supplying information report required by 17 CFR 220.401) or Step 2 Option B
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 4 – U.S. Private Corporations with 200 or Fewer Shareholders** – Complete the following:

- Cover page
- Step 1 Option 3.A.
- Step 2 Option A or Step 2 Option B
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 5 – U.S. Limited Liability Companies** – Complete the following:

- Cover page
- Step 1 Option 3.A.
- Step 2 Option A or Step 2 Option B
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 6 – U.S. Partnerships** – Complete the following:

- Cover page
- Step 1 Option 3.A.
- Step 2 Option A or Step 2 Option B
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 7 – U.S. Trusts** – Complete the following:

- Cover page
- Step 1 Option 3.A.
- Step 2 Option A or Step 2 Option B
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 8 – Foreign Entities Submitting a 20F or 40-f (or equivalent approved by the SPO) – Complete the following:**

- Cover Page
- Step 1 Option 4.B.
- Step 3
- Step 7
- Step 8
- Step 9

**Example 9 – Foreign Entities NOT Submitting a 20F or 40F (or equivalent approved by the SPO) – Complete the following:**

- Cover page
- Step 1 Option 4.A.
- Step 2 Option A or Step 2 Option B (as appropriate)
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 10 – Not-for-Profit Corporations – Complete the following:**

- Cover Page
- Step 1 Option 5
- Step 2 Option B
- Step 3
- 
- Step 8
- Step 9

**Example 11 – Sole Proprietor – Complete the following:**

- Cover Page
- Step 1 Option 6
- Step 3
- Step 4
- Step 5
- Step 6 (if applicable)
- Step 7
- Step 8
- Step 9

**Example 12 – Entities that are 100% Owned Subsidiaries – Complete the following:**

- Cover Page
- Step 1 (pick option that applies)
- Step 2 Option A (list 100% parent)



- Step 3
- Step 7
- Step 8
- Step 9

# STATE OF ILLINOIS

## FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST






The Financial Disclosures and Conflicts of Interest form (“form”) must be accurately completed and submitted by the vendor, parent entity(ies), and subcontractors. There are **nine** steps to this form and each must be completed as instructed in the step heading and within the step. A bid, offer, or proposal that does not include this form shall be considered non-responsive. The Agency/University will consider this form when evaluating the bid, offer, or proposal or awarding the contract.

The requirement of disclosure of financial interests and conflicts of interest is a continuing obligation. If circumstances change and the disclosure is no longer accurate, then disclosing entities must provide an updated form.

Separate forms are required for the vendor, parent entity(ies), and subcontractors.

**This disclosure is submitted for:** 

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000 annual value
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000 annual value

Project Name	<a href="#">Click here to enter text.</a> 
Illinois Procurement Bulletin Number	<a href="#">Click here to enter text.</a> 
Contract Number	<a href="#">Click here to enter text.</a>
Vendor Name	<a href="#">Click here to enter text.</a> 
Doing Business As (DBA)	<a href="#">Click here to enter text.</a>
Disclosing Entity	<a href="#">Click here to enter text.</a> 
Disclosing Entity’s Parent Entity	<a href="#">Click here to enter text.</a>
Subcontractor	<a href="#">Click here to enter text.</a>
Instrument of Ownership or Beneficial Interest	Choose an item. <input type="checkbox"/> If you selected Other, please describe: <a href="#">Click here to enter text.</a> 

## STEP 1

### SUPPORTING DOCUMENTATION SUBMITTAL

(All vendors complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

7

You must select one of the six options below and select the documentation you are submitting. You must provide the documentation the applicable section requires with this form.

Option 1 – Publicly Traded Entities

- 1.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

8

OR

- 1.B.  Attach a copy of the Federal 10-K or provide a web address of an electronic copy of the Federal 10-K, and skip to Step 3.

9

Option 2 – Privately Held Entities with more than 200 Shareholders

- 2.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

OR

- 2.B.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership share in excess of 5% and attach the information Federal 10-K reporting companies are required to report under 17 CFR 229.401.

10

Option 3 – All other Privately Held Entities, not including Sole Proprietorships

- 3.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

11

Option 4 – Foreign Entities

- 4.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

OR

- 4.B.  Attach a copy of the Securities Exchange Commission Form 20-F or 40-F and skip to Step 3.

Option 5 – Not-for-Profit Entities

- Complete Step 2, Option B.

Option 6 – Sole Proprietorships

- Skip to Step 3.

## STEP 2

### DISCLOSURE OF FINANCIAL INTEREST OR BOARD OF DIRECTORS

(All vendors, except sole proprietorships, must complete regardless of annual bid, offer, or contract value)  
 (Subcontractors with subcontract annual value of more than \$50,000 must complete)

Complete **either** Option A (for all entities other than not-for-profits) or Option B (for not-for-profits). Additional rows may be inserted into the tables or an attachment may be provided if needed.

#### OPTION A – Ownership Share and Distributive Income 12

**Ownership Share** – If you selected Option 1.A., 2.A., 2.B., 3.A., or 4.A. in Step 1, provide the name and address of each individual or entity and their percentage of ownership if said percentage exceeds 5%, or the dollar value of their ownership if said dollar value exceeds \$106,447.20. 13

Check here if including an attachment with requested information in a format substantially similar to the format below. 14

15 16

TABLE – X			
Name	Address	Percentage of Ownership	\$ Value of Ownership
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

**Distributive Income** – If you selected Option 1.A., 2.A., 3.A., or 4.A. in Step 1, provide the name and address of each individual or entity and their percentage of the disclosing vendor’s total distributive income if said percentage exceeds 5% of the total distributive income of the disclosing entity, or the dollar value of their distributive income if said dollar value exceeds \$106,447.20. 17

Check here if including an attachment with requested information in a format substantially similar to the format below.

18

TABLE – Y			
Name	Address	% of Distributive Income	\$ Value of Distributive Income
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Please certify that the following statements are true.

I have disclosed all individuals or entities that hold an ownership interest of greater than 5% or greater than \$106,447.20.

Yes  No

I have disclosed all individuals or entities that were entitled to receive distributive income in an amount greater than \$106,447.20 or greater than 5% of the total distributive income of the disclosing entity.

Yes  No

### OPTION B – Disclosure of Board of Directors (Not-for-Profits)

If you selected Option 5 in Step 1, list members of your board of directors. Please include an attachment if necessary.

TABLE – Z	
Name	Address
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>

## STEP 3

### DISCLOSURE OF LOBBYIST OR AGENT

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

Yes  No. Is your company represented by or do you employ a lobbyist required to register under the Lobbyist Registration Act (lobbyist must be registered pursuant to the Act with the Secretary of State) or other agent who is not identified through Step 2, Option A above and who has communicated, is communicating, or may communicate with this State/Public University officer or employee concerning the bid or offer? If yes, please identify each lobbyist and agent, including the name and address below.

If you have a lobbyist that does not meet the criteria, then you do not have to disclose the lobbyist's information.

Name	Address	Relationship to Disclosing Entity
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>

Describe all costs/fees/compensation/reimbursements related to the assistance provided by each representative lobbyist or other agent to obtain this Agency/University contract: [Click here to enter text.](#)

## STEP 4

### PROHIBITED CONFLICTS OF INTEREST

(All vendors must complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

20

Step 4 must be completed for each person disclosed in Step 2, Option A and for sole proprietors identified in Step 1, Option 6 above. Please provide the name of the person for which responses are provided: [Click here to enter text.](#)

1. Do you hold or are you the spouse or minor child who holds an elective office in the State of Illinois or hold a seat in the General Assembly?  Yes  No
2. Have you, your spouse, or minor child been appointed to or employed in any offices or agencies of State government and receive compensation for such employment in excess of 60% (\$106,447.20) of the salary of the Governor?  Yes  No
3. Are you or are you the spouse or minor child of an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority?  Yes  No
4. Have you, your spouse, or an immediate family member who lives in your residence currently or who lived in your residence within the last 12 months been appointed as a member of a board, commission, authority, or task force authorized or created by State law or by executive order of the Governor?  Yes  No
5. If you answered yes to any question in 1-4 above, please answer the following: Do you, your spouse, or minor child receive from the vendor more than 7.5% of the vendor's total distributable income or an amount of distributable income in excess of the salary of the Governor (\$177,412.00)?  Yes  No
6. If you answered yes to any question in 1-4 above, please answer the following: Is there a combined interest of self with spouse or minor child more than 15% (\$354,824.00) in the aggregate of the vendor's distributable income or an amount of distributable income in excess of two times the salary of the Governor?  Yes  No

21

## STEP 5

### POTENTIAL CONFLICTS OF INTEREST RELATING TO PERSONAL RELATIONSHIPS

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

Step 5 must be completed for each person disclosed in Step 2, Option A and for sole proprietors identified in Step 1, Option 6 above.

Please provide the name of the person for which responses are provided: [Click here to enter text.](#)

1. Do you currently have, or in the previous 3 years have you had State employment, including contractual employment of services?  Yes  No
2. Has your spouse, father, mother, son, or daughter, had State employment, including contractual employment for services, in the previous 2 years?  Yes  No
3. Do you hold currently or have you held in the previous 3 years elective office of the State of Illinois, the government of the United States, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois?  Yes  No
4. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding elective office currently or in the previous 2 years?  Yes  No
5. Do you hold or have you held in the previous 3 years any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office?  Yes  No
6. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding appointive office currently or in the previous 2 years?  Yes  No
7. Do you currently have or in the previous 3 years had employment as or by any registered lobbyist of the State government?  Yes  No
8. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) that is or was a registered lobbyist?  Yes  No
9. Do you currently have or in the previous 3 years had compensated employment by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?  Yes  No
10. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) who is or was a compensated employee of any registered election or reelection committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?  Yes  No

22

## STEP 6

### EXPLANATION OF AFFIRMATIVE RESPONSES

(All vendors must complete regardless of annual bid, offer, or contract value)  
 (Subcontractors with subcontract annual value of more than \$50,000 must complete)

If you answered “Yes” in Step 4 or Step 5, please provide on an additional page a detailed explanation that includes, but is not limited to the name, salary, State agency or university, and position title of each individual.

## STEP 7

### POTENTIAL CONFLICTS OF INTEREST RELATING TO DEBARMENT & LEGAL PROCEEDINGS

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

23

This step must be completed for each person disclosed in Step 2, Option A, Step 3, and for each entity and sole proprietor disclosed in Step 1.

Please provide the name of the person or entity for which responses are provided: [Click here to enter text.](#)

1. Within the previous ten years, have you had debarment from contracting with any governmental entity?  Yes  No
2. Within the previous ten years, have you had any professional licensure discipline?  Yes  No
3. Within the previous ten years, have you had any bankruptcies?  Yes  No
4. Within the previous ten years, have you had any adverse civil judgments and administrative findings?  Yes  No
5. Within the previous ten years, have you had any criminal felony convictions?  Yes  No

If you answered "Yes", please provide a detailed explanation that includes, but is not limited to the name, State agency or university, and position title of each individual. [Click here to enter text.](#)

## STEP 8

### DISCLOSURE OF CURRENT AND PENDING CONTRACTS

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

If you selected Option 1, 2, 3, 4, 5, or 6 in Step 1, do you have any contracts, pending contracts, bids, proposals, subcontracts, leases, or other ongoing procurement relationships with units of State of Illinois government?  Yes  No.

If "Yes", please specify below. Attach an additional page in the same format as provided below, if desired.

24

Agency/University	Project Title	Status	Value	Contract Reference/P.O./Illinois Procurement Bulletin #
<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>	<a href="#">Click here to enter text.</a>

Please explain the procurement relationship: [Click here to enter text.](#)



## STEP 9 SIGN THE DISCLOSURE

(All vendors must complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

This disclosure is signed, and made under penalty of perjury for all for-profit entities, by an authorized officer or employee on behalf of the bidder or offeror pursuant to Sections 50-13 and 50-35 of the Illinois Procurement Code. This disclosure information is submitted on behalf of:

25

Name of Disclosing Entity: [Click here to enter text.](#)

Signature: \_\_\_\_\_

Date: [Click here to enter text.](#)

Printed Name: [Click here to enter text.](#)

Title: [Click here to enter text.](#)

Phone Number: [Click here to enter text.](#)

Email Address: [Click here to enter text.](#)