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SEI Filing: Reminder & FAQs

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2014 SEI FILING: REMINDER & FREQUENTLY ASKED QUESTIONS

DEADLINE & WHO HAS TO FILE

- 1. WHAT IS THE FILING DEADLINE?** Completed SEIs must be filed on or before **April 15, 2014**.
- 2. WHO HAS TO FILE?** Public servants, legislators, and judicial officers (justices, judges, district attorneys, clerks of court). *However*, State employees who are covered by the State Government Ethics Act because of their State employment and make less than \$60,000 per year do not have to file an SEI.
- 3. DO I HAVE TO FILE AN SEI IF I AM NO LONGER IN OFFICE? YES.** Elected officers who were subject to the SEI filing requirements while in office (Constitutional Officers, Legislators, and Judicial Officers) **must file an SEI by April 15th the year after leaving office.** For additional information on this requirement, please contact the SEI Unit.
- 4. DO I STILL HAVE TO FILE IF MY TERM HAS ALREADY EXPIRED OR WILL EXPIRE ON OR BEFORE APRIL 15TH?** If your term has already expired or will expire on or before April 15, 2013 and **you have not been replaced or have not resigned prior to April 15th, you are still required to file an SEI on or before April 15, 2014.**
- 5. DO I NEED TO PROVIDE A HOME ADDRESS AS WELL AS A MAILING ADDRESS? YES,** if you are a person holding or seeking to hold an elected office with a residency requirement, with the exception of Judicial Officers. **Judicial Officers are only required to provide a mailing address.** Judicial Officers include justices or judges of the General Court of Justice, district attorneys and clerks of court.

FILING METHODS & FORMS

- 1. HOW DO I FILE?** You may choose to file by one of the following methods:
 - a. Manually.** You may complete the form by hand, sign and mail or hand-deliver it to the Commission.
 - b. Fillable.** You may complete the form online, print, sign and mail or hand-deliver it to the Commission. In order to access the fillable web form, you must obtain an NCID user id and password.
 - c. Electronic.** You may complete and file the form electronically. In order to access the electronic filing web form, you must obtain an NCID user id and password.
- 2. IS THERE A "NO CHANGE" FORM? Yes.**
 - a. 2014 SEI No Change Form.** If you filed a 2013 SEI *and* you have had **no changes** since your 2013 filing, you may file a No Change Form.
 - b. 2014 Long Form.** If either of the following apply to you, you **must** file a Long Form:
 - i.** You filed a 2013 SEI but you have had changes since your 2013 filing; or,
 - ii.** You are a first time filer or have been appointed to a new or additional position/board.

3. **WHERE DO I ACCESS THE FORM, INSTRUCTIONS & NCID INFORMATION?** All information is on our website at: <http://www.ethicscommission.nc.gov/sei/default.aspx>

COMPLETING THE FORM

1. **WHAT DATE DO I USE IN ANSWERING THE QUESTIONS?** December 31, 2013. Unless otherwise indicated in the particular question, your answers should be as of December 31st of the preceding year.
2. **DO I HAVE TO RESPOND TO EVERY QUESTION?** Yes. You **must** respond to **all** questions.
3. **WHO IS INCLUDED AS MY IMMEDIATE FAMILY?** Immediate family includes your spouse (unless legally separated), minor children, and members of your extended family (your and your spouse's adult children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those persons), **that reside in your household.**
4. **DO I HAVE TO INCLUDE MY CHILD WHO IS AWAY AT COLLEGE?** Yes. If you have a child who is 18 or older and temporarily resides away from home, that child is "residing in the household" for each year in which the child is claimed as a dependent on your Federal Income Tax Return.
5. **DO I INCLUDE MY HOUSE ON QUESTION 1?** Yes.
6. **I OWN A COMPANY OR I AM A PARTNER IN A COMPANY THAT OWNS REAL ESTATE. DO I LIST THOSE HOLDINGS ON QUESTION 1?** No. The question only asks for real estate owned directly by the filer, filer's spouse or member of the filer's immediate family. However, you do list the name of the company on either Question 5 (publicly held) or Question 6 (privately held).
7. **IS QUESTION 5 CUMULATIVE OR PER STOCK?** The threshold is per stock/per company. List only each company in which you or members of your immediate family own more than a \$10,000 interest.
8. **DO I LIST MUTUAL FUNDS, A 401K, OR AN INDEX FUND THROUGH A BROKER ON QUESTION 5?** No. These types of investments do not have to be listed because you do not control what stocks are purchased.
9. **IS QUESTION 8 CUMULATIVE OR PER DEBT?** Per debt. List each loan or debt over \$10,000.
10. **DO I LIST A SECOND MORTGAGE ON MY PRIMARY RESIDENCE IN QUESTION 8?** No. Like your first mortgage, this is a debt related to your primary personal residence and does not have to be listed.
11. **HOW DO I RESPOND TO QUESTION 10?** First, list income from the job you had last year (even though you already listed your employer on page 1). Second, list any other sources that paid you or members of your immediate family over \$5,000, except those specifically excluded by the question.

PENALTIES

1. **ARE THERE FINES FOR LATE OR NON-FILING?** Yes. The State Ethics Commission may levy a \$250.00 penalty for failure to timely file a complete SEI.
2. **ARE THERE CRIMINAL PENALTIES?** Yes. Knowingly concealing or failing to disclose information is a Class 1 misdemeanor. Knowingly providing false information is a Class H felony. In addition, knowingly concealing, failing to disclose, or providing false information may be used in prosecutions by other law enforcement agencies.

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