

INDIANA  
STATE ETHICS COMMISSION



**ETHICS DISCLOSURE STATEMENT  
CONFLICTS OF INTEREST – DECISIONS AND VOTING**  
State Form 55860 (R / 10-15)  
OFFICE OF THE INSPECTOR GENERAL  
IC 4-2-6-9

DEC 15 2021

**FILED**

In accordance with IC 4-2-6-9, you must file your disclosure with the State Ethics Commission no later than seven (7) days after the conduct that gives rise to the conflict. You must also include a copy of the notification provided to your agency appointing authority and ethics officer when filing this disclosure. This disclosure will be posted on the Inspector General's website.

Name ( <i>last</i> ) Ballard	Name ( <i>first</i> ) Kim	Name ( <i>middle</i> )
Name of office or agency Indiana Utility Regulatory Commission (IURC)		Job title Senior Utility Analyst
Address of office ( <i>number and street</i> ) 101 W. Washington St., Suite 1500 E		City Indianapolis
Office telephone number ( 317 ) 234-2617		ZIP code 46204
Office e-mail address ( <i>required</i> ) KBallard1@urc.IN.gov		
Describe the conflict of interest: As part of her job duties with the IURC, Kim Ballard is assigned to cases and provides analysis and advice on those cases to the IURC Commissioners, who make decisions and vote on those cases through issuing orders. As a result, Ms. Ballard's work on those cases is related to a decision or vote. The cases at the IURC involve regulated utilities, include Duke Energy Indiana, LLC ("Duke"), an electric utility. Ms. Ballard was assigned to cases involving Duke. On October 24, 2021, Ms. Ballard submitted an employment application to Duke for a possible job position. On November 15, 2021, Duke contacted Ms. Ballard via email to set up an interview. On November 18, 2021, Ms. Ballard had her first interview with Duke, discussing information about the potential job position and Ms. Ballard's qualifications. On December 2, 2021, Duke contacted Ms. Ballard via email to set up a second interview On December 3, 2021, Ms. Ballard accepted the calendar invite for the second interview, which was scheduled for December 9, 2021. On December 8, 2021, Ms. Ballard emailed IURC Chairman James F. Huston and IURC Ethics Officer Beth Heline, providing notice of the upcoming interview with Duke on December 9, 2021. Upon request by Ms. Heline, Ms. Ballard provided additional information and the dates of communication with Duke. Ms. Ballard had a potential conflict of interest, because she was working on cases relating to a decision or vote regarding Duke while she was negotiating for employment with Duke.		

Describe the screen established by your ethics officer: *(Attach additional pages as needed.)*

Upon receipt of Ms. Ballard's email on December 8, 2021, Ms. Heline immediately implemented the following

screen: Ms. Heline contacted Ms. Ballard's supervisor, Energy Division Director Jane Steinhauer, and informed her of Ms. Ballard's potential conflict of interest. Ms. Steinhauer then removed Ms. Ballard from any cases involving Duke. Ms. Heline emailed Ms. Ballard, informing her that she was removed from any cases involving Duke and that she was not to discuss any Duke cases with any of her co-workers. Ms. Heline also informed IURC Chief of Staff Ryan Heater of Ms. Ballard's potential conflict of interest and the screen put into place.

The screen of Ms. Ballard from IURC cases involving Duke shall remain in place until such time as Duke issues a denial of her employment application or Ms. Ballard leaves IURC employment, whichever happens first.

**AFFIRMATION**

Your signature below affirms that your disclosures on this form are true, complete, and correct to the best of your knowledge and belief. In addition to this form, you have attached a copy of your written disclosure to your agency appointing authority and ethics officer.

Signature of state officer, employee or special state appointee

*Kim Ballard*

Date signed (month, day, year)

*12-15-2021*

Printed full name of state officer, employee or special state appointee

Kim Ballard

**FOR ETHICS OFFICER USE ONLY**

Your signature below affirms that you have reviewed this disclosure form and that it is true, complete, and correct to the best of your knowledge and belief. You also attest that your agency has implemented the screen described above.

Signature of ethics officer

*Beth E. Heline*

Date signed (month, day, year)

*12/15/2021*

Printed full name of ethics officer

Beth E. Heline

**Heline, Beth E.**

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**From:** Ballard, Kim  
**Sent:** Wednesday, December 8, 2021 3:02 PM  
**To:** Huston, James (IURC); Heline, Beth E.  
**Subject:** FYI

Chairman Huston and Beth,

I was out of the office yesterday and did not attend the ethics training. However in hearing some information from co-workers, I would like to inform you that I had I have an interview scheduled for tomorrow. I view my role as in an advisory capacity and do not have decision making responsibilities so I did not think there would be restrictions on employment with utilities such as Duke Energy. At any rate, I would appreciate some guidance on what I should do next since I want to ensure I am in compliance with any applicable policies.

Respectfully,  
Kim Ballard

Kim Ballard  
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