

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

see attached

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

Date signed (month, day, year)



6/3/16

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

Ben Broadhead

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

Date signed (month, day, year)



6/3/16

Printed full name of ethics officer

Patrick Price

Procedures to ensure compliance with 42 IAC 1-5-6 and IC 4-2-6-9: Conflicts of Interest: decisions and voting:

Re: Ben Broadhead and John Broadhead, Ben's father

Ben Broadhead, Governor's Intern in the Internal Compliance Division, will not participate in any decision or vote if he, or the DOR management, have knowledge that John Broadhead, while employed by a tax services provider to Indiana entities (Individuals and businesses – both for-profit and not-for-profit) – currently Bamberger, Foreman, Oswald & Hahn, LLP (Bamberger) – has a financial interest in the outcome of the matter (i.e., assigned to provide advisory, preparation, or review services to an Indiana entity). To ensure compliance with the intent of this statement:

1. Inform all Indianapolis DOR legal employees of the potential perceived conflict of interest and ask them to remain alert of taxpayers represented by Bamberger. Any identified conflicts are to be reported via email to the Deputy Commissioner for Policy and Compliance.
2. Ben Broadhead is to report any knowledge of additional perceived conflicts involving John Broadhead's direct involvement on a taxpayer undergoing a DOR audit, legal protest, or tax court litigation to the Deputy Commissioner for Policy and Compliance.
3. Notify the Indianapolis legal staff of all known potential conflicts, instructing them not to involve Ben in any matter with a potential conflict of interest or to discuss such matters in Ben's presence.

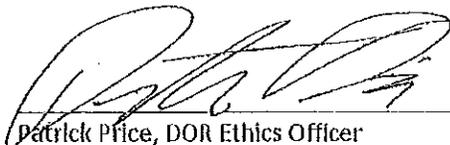
Any decision to diverge from these procedures will be brought to DOR's Ethics Advisor for approval.



Ben Broadhead

6/3/16

Date



Patrick Pfiere, DOR Ethics Officer

6/3/16

Date

Price, Patrick

From: Broadhead, Benjamin
Sent: Friday, June 03, 2016 11:42 AM
To: Kossack, Andrew
Cc: Price, Patrick
Subject: Ethics Screen
Attachments: CoI - Broadhead Screen.pdf; CoI - Ben Broadhead.pdf

Andrew,

I've prepared an ethics screen due to potential conflicts with my father's law firm. The required documents are attached to this email. Please let me know if you require any additional information from my end.

Thank you,
Ben Broadhead