



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

INDIANA
 STATE ETHICS COMMISSION

Reset Form

DEC 13 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 (last) Moffatt | Name (first) Charles | Name (middle) David |
| Name of office or agency Indiana Department of Transportation | Job title Archaeologist- Environmental Services | |
| Address of office (number and street) 100 N. Senate Ave. | City Indianapolis | ZIP code 46204 |
| Office telephone number (317) 439-3337 | Office e-mail address (required) CMoffatt@indot.IN.gov | |

Describe the conflict of interest:
 Charles David Moffatt (hereinafter "David Moffatt") is an Archaeologist for the Indiana Department of Transportation (INDOT).

David Moffatt has accepted an employment position with Gray and Pape, Inc.

Gray and Pape has a business relationship with INDOT, including active contracts with the Department.

David Moffatt's employment negotiations with Gray and Pape created a potential decisions and voting conflict of interest under IC 4-2-6-9. This disclosure is therefore being filed in anticipation of that potential conflict.

David Moffatt is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to Gray and Pape.

David Moffatt is subject to the particular matter restriction and will not assist future employers, including Gray and Pape, with any matter he personally and substantially participated in on behalf of INDOT.

This disclosure was provided to David Moffatt's appointing authority, Commissioner Joe McGuinness, on December 13, 2021.

Evidence of said disclosure to Commissioner McGuinness is filed herewith pursuant to IC 4-2-6-9(b)(2)(D).

Pursuant to IC 4-2-6-9(b)(2), this disclosure was executed and filed with the SEC within seven days (7) of the potential conflict being identified by the below signed ethics officer.

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

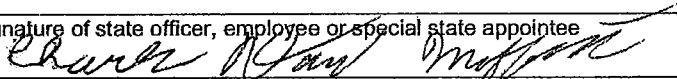
A formal screen was executed with INDOT's ethics officer preventing David Moffatt from working with Gray and Pape, Inc. in his capacity as an INDOT employee. Said screen prohibits David Moffatt from under taking any of his official duties or otherwise participating in any decision or vote, or matter related to such decision or vote, involving Gray and Pape or in which Gray and Pape has an interest. David Moffatt is further screened from assisting any future employer, including Gray and Pape with a matter in which he personally and substantially participated in while employed by INDOT.

The screen was executed on December 13, 2021, a copy of which was sent to Commissioner Joe McGuinness along with this disclosure.

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)*

December 13, 2021

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

Charles ("David") Moffatt

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

/s/ Christopher B. Serak

Date signed *(month, day, year)*

December 13, 2021

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR CHARLES "DAVID" MOFFATT

December 13, 2021

I. RECITALS

WHEREAS, David Moffatt is an Archaeologist for the Indiana Department of Transportation- Environmental Services ("INDOT" or "Department"); and

WHEREAS, David Moffatt has accepted a position with Gray and Pape, Inc.; and

WHEREAS, Gray and Pape has a business relationship with INDOT, including ongoing contracts with the Department; and

WHEREAS, as an Archaeologist for INDOT, it is possible that David Moffatt could be assigned to work with Gray and Pape or to participate in matters in which the company has an interest as part of his regular duties; and

WHEREAS, David Moffatt's employment negotiations with Gray and Pape created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, David Moffatt is subject to the particular matter restriction under IC 4-2-6-11(a) and cannot assist future employers, including Gray and Pape, with any matter he personally and substantially participated in while employed by INDOT.

NOW THEREFORE, David Moffatt, an Archaeologist- Environmental Services, for his remaining tenure with the Department, or until he discontinues employment negotiations with Gray and Pape, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. David Moffatt must adhere to term three (3) regarding the particular matter restriction in perpetuity, for the life of each particular matter.

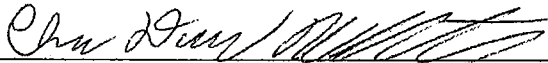
II. CONFLICT OF INTEREST SCREEN

1. David Moffatt shall not participate in any decision or vote, or any matter related to such decision or vote, in which Gray and Pape has a financial interest.
2. David Moffatt should be screened from participating in any present or future contract or other matter involving Gray and Pape.
3. David Moffatt shall not assist any future employers, including Gray and Pape, with any matter he personally and substantially participated in while employed by INDOT. This restriction applies in perpetuity, for the life of the particular matter.

III. EMPLOYEE AFFIRMATION

I have read and understand the terms of the foregoing Conflict of Interest Screen, and will in all ways follow, adhere to, and satisfy the above stated restrictions on my participation in any decision or vote in which Gray and Pape has a financial interest. I understand that the first two (2) terms of this screen terminate upon my leaving the Department or the discontinuation of negotiations with Gray and Pape, whichever occurs first. I further understand that term three (3) concerning the particular matter restrict applies in perpetuity, for the life of the matter. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor.

Executed and agreed this 13th day of December 2021, by:



David Moffatt, Archaeologist

Indiana Department of Transportation- Environmental Services

Baker, Nathaniel P

To: Serak, Chris (INDOT)
Subject: RE: Executed COI Disclosure & Screen (David Moffatt)

From: Serak, Chris (INDOT)
Sent: Monday, December 13, 2021 1:23 PM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Kennedy, Heather <HKennedy@indot.IN.gov>; Moffatt, Charles D <CMoffatt@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (David Moffatt)

Commissioner McGuinness-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure and internal screen executed by employee David Moffatt. The disclosure will be filed with the Indiana Ethics Commission in satisfaction of the same.

Please let me know if you have any questions.

Thank you.

Chris

Christopher B. Serak,
Director of Prequalification & Construction Compliance
Ethics Officer
Prequalification Committee (Chairman)
Selection Review Committee (Member)
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