

NOV 23 2021

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**ETHICS DISCLOSURE STATEMENT  
CONFLICTS OF INTEREST – DECISIONS AND VOTING**  
State Form 55660 (R / 10-15)  
OFFICE OF THE INSPECTOR GENERAL  
IC 4-2-6-9

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) Pfeiffer	Name (first) Nate	Name (middle)	
Name of office or agency Indiana Department of Transportation		Job title Field Engineer	
Address of office (number and street) 100 N. Senate Ave.		City Indianapolis	ZIP code 46204
Office telephone number ( 317 ) 486-9933	Office e-mail address (required) npfeiffer@indot.in.gov		

Describe the conflict of interest:  
Nate Pfeiffer is a Field Engineer for the Indiana Department of Transportation (INDOT)- Construction Management.  
Nate Pfeiffer has accepted an employment position with Butler, Fairman & Seufert Civil Engineers (BF&S).  
BF&S has a business relationship with INDOT, including active contracts with the Department.  
Nate Pfeiffer's employment negotiations with BF&S 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.  
Nate Pfeiffer is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to BF&S.  
Nate Pfeiffer is subject to the particular matter restriction and will not assist future employers, including BF&S, with any matter he personally and substantially participated in on behalf of INDOT.  
This disclosure was provided to Nate Pfeiffer's appointing authority, Commissioner Joe McGuinness, on November 23, 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 Nate Pfeiffer from working with BF&S

In his capacity as an INDOT employee. Said screen prohibits Nate Pfeiffer 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 BF&S

or in which BF&S has an interest. Nate Pfeiffer is further screened from assisting any future

employer, including BF&S with a matter in which he personally and substantially participated in while

employed by INDOT.

The screen was executed on November 23, 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

*Nate Pfeiffer*

Date signed *(month, day, year)*

November 23, 2021

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

Nate Pfeiffer

#### 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 Bradley Serak*

Date signed *(month, day, year)*

November 23, 2021

Printed full name of ethics officer

Christopher B. Serak

**CONFLICT OF INTEREST SCREEN FOR NATE PFEIFFER**

November 23, 2021

**I. RECITALS**

WHEREAS, Nate Pfeiffer is a Field Engineer for the Indiana Department of Transportation- Construction Management ("INDOT" or "Department"); and

WHEREAS, Nate Pfeiffer has accepted a position with Butler, Fairman & Seufert Civil Engineers ("BF&S"); and

WHEREAS, BF&S has a business relationship with INDOT, including ongoing contracts with the Department; and

WHEREAS, as a Field Engineer for INDOT, it is possible that Nate Pfeiffer could be assigned to work with BF&S or to participate in matters in which the company has an interest as part of his regular duties; and

WHEREAS, Nate Pfeiffer's employment negotiations with BF&S created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

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

NOW THEREFORE, Nate Pfeiffer, a Field Engineer, for his remaining tenure with the Department, or until he discontinues employment negotiations with Butler, Fairman & Seufert Civil Engineers ("BF&S"), agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Nate Pfeiffer must adhere to term three (3) regarding the particular matter restriction in perpetuity, for the life of each particular matter.

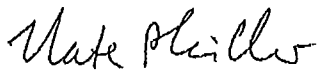
**II. CONFLICT OF INTEREST SCREEN**

1. Nate Pfeiffer shall not participate in any decision or vote, or any matter related to such decision or vote, in which BF&S has a financial interest.
2. Nate Pfeiffer should be screened from participating in any present or future contract or other matter involving BF&S.
3. Nate Pfeiffer shall not assist any future employers, including BF&S, 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 Butler, Fairman & Seufert Civil Engineers ("BF&S") 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 BF&S, 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 23<sup>rd</sup> day of November 2021, by:



Nate Pfeiffer, Field Engineer

Indiana Department of Transportation- Construction Management



**Baker, Nathaniel P**

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**To:** Serak, Chris (INDOT)  
**Subject:** RE: Executed COI Disclosure & Screen (Nate Pfeiffer)

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**From:** Serak, Chris (INDOT)  
**Sent:** Tuesday, November 23, 2021 1:36 PM  
**To:** McGuinness, Joe <[JMcGuinness@indot.IN.gov](mailto:JMcGuinness@indot.IN.gov)>  
**Cc:** Kennedy, Heather <[HKennedy@indot.IN.gov](mailto:HKennedy@indot.IN.gov)>; Pfeiffer, Nathaniel <[NPFEIFFER@indot.IN.gov](mailto:NPFEIFFER@indot.IN.gov)>  
**Subject:** Executed COI Disclosure & Screen (Nate Pfeiffer)

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 Nate Pfeiffer. 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)*  
**Indiana Department of Transportation**  
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