



FINANCIAL DISCLOSURE STATEMENT

Slate Form 40876 (R13 / 1-17)
OFFICE OF THE INSPECTOR GENERAL
INDIANA
IC 4-2-6-8

For the calendar year 2020

STATE ETHICS COMMISSION

Check if this is an amendment to your current statement.

Please read guidelines on page 4.

MAR 10 2021

Form with fields for Name (last), Name (first), Name (middle), Spouse's name (last), Office address, City, ZIP code, Office telephone number, Office e-mail address.

I am filing this statement as a: (please select one)
Candidate for office
Incumbent officeholder
Appointing authority
Member of the INPRS
Individual with final purchasing authority

Office or agency: Attorney General
Job title: officeholder

EACH PART MUST BE ANSWERED. WORDS IN BOLD /ITALICS ARE INCLUDED IN THE DEFINITIONS

If you have information to report below, select YES. If no information, select NO.
Yes No

PART 1 - GIFTS

List the name and address of any person known to have a business relationship with the agency of the state officer or employee or the office sought by the candidate, and from whom the state officer, candidate, or the employee, or that individual's spouse or unemancipated children received a gift or gifts having a total fair market value in excess of one hundred dollars (\$100).

Table with 3 columns: Name (last), Address (city), ZIP code

If you have information to report below, select YES. If no information, select NO.
Yes No

PART 2 - REAL PROPERTY INTERESTS

List the location of all real property in which you, your spouse, or your unemancipated children have equitable or legal interest either amounting to five thousand dollars (\$5,000) or more or comprising ten percent (10%) of your net worth or the net worth of your spouse or your unemancipated children. You need not include your residence unless it also serves as income property.

Table with 1 column: Property and its location

If you have information to report below, select YES. If no information, select NO.
Yes No

PART 3 - NON-STATE EMPLOYERS

List the name of your employer(s) and the employer(s) of your spouse and the nature of each employer's business.

Table with 2 columns: Your employer, Spouse's employer, Nature of business

If you have information to report below, select YES. If no information, select NO. Yes No

PART 4 - SOLE PROPRIETORSHIP OR PROFESSIONAL PRACTICE

List any sole proprietorship owned or professional practice operated by you or your spouse and the nature of the business.

| | |
|--|--|
| Name of your business <i>Theodore E. Rokitch, ESQ</i> | Nature of business <i>Consulting and legal Practice</i> |
| Name of spouse's business | Nature of spouse's business |

Do any clients for these businesses listed above have a **business relationship** with your agency (or in the case of a candidate, with the office sought)?
 Yes No

List the name of any client or customer from whom you or your spouse received more than thirty-three percent (33%) of your (or your spouse's) non-state income in a year.
NONE

If you have information to report below, select YES. If no information, select NO. Yes No

PART 5 - PARTNERSHIPS

List any partnership in which you or your spouse is a member and the nature of the partnership business.

| | |
|---|---|
| Name of partnership <i>Hoosier Seneca, LLC</i> | Nature of partnership <i>AVIATION</i> |
| Name of spouse's partnership <i>SAME</i> | Nature of spouse's partnership <i>SAME</i> |

If you have information to report below, select YES. If no information, select NO. Yes No

PART 6 - OFFICER OR DIRECTOR OF CORPORATION

List the name of any corporation in which you or your spouse is an officer or director and the nature of the corporation's business. Churches need not be listed.

| | |
|---|---|
| Name of corporation <i>NANOURICIDES, INC.</i> | Nature of business <i>Pharmaceutical Development - Director</i> |
| Name of spouse's corporation <i>Angelman Syndrome Foundation, INC.</i> | Nature of spouse's business <i>NATIONAL non-Profit for Cure of Angelman Syndrome - President</i> |

If you have information to report below, select YES. If no information, select NO. Yes No

PART 7 - STOCKHOLDER OF CORPORATION

List the name of any corporation in which you, your spouse, or your unemancipated children own stock or stock options having a fair market value in excess of ten thousand dollars (\$10,000). A time or demand deposit in a financial institution or insurance policy need not be listed.

| Name of corporation | Yours | Spouse's | Children's |
|---------------------------------|----------|----------|------------|
| <i>Apex Benefits Group, Inc</i> | <i>X</i> | | |
| <i>Apple, Inc.</i> | | <i>X</i> | |
| | | | |

If you have information to report below, select YES. If no information, select NO. Yes No

PART 8 - MOST RECENT EMPLOYER

List the name and address of your most recent former employer.

| | |
|--|---|
| Name of your most recent former employer <i>U.S. Congress</i> | Street address (number and street) <i>U.S. CAPITOL</i> |
| | City <i>WASHINGTON</i> |
| | State <i>D.C.</i> |
| | ZIP code <i>20515</i> |

COMMENTS

Please place any comments in the fields below.

See ATTACHED SHEET.

AFFIRMATION

I swear or affirm, under the penalty of perjury, that the facts as presented on this Financial Disclosure Statement are true, complete, and correct to the best of my knowledge and belief.

I understand that I may file an amended statement upon discovery of additional information required to be reported.

I acknowledge awareness of Indiana Code 4-2-6-8(d) under which a failure to file in a timely manner or filing a deficient statement is subject to a civil penalty at the rate of not more than ten dollars (\$10) for each day the statement remains delinquent or deficient. The maximum penalty under this subsection is one thousand dollars (\$1,000). I also acknowledge awareness of Indiana Code 4-2-6-8(e) under which a person who intentionally or knowingly files a false statement commits a class A infraction.

Personal signature



Date signed (month, day, year)

3/8/21

Mail or deliver to the following address:

Office of the Inspector General
315 West Ohio Street, Room 104
Indianapolis IN 46202-3210
Telephone: (317) 232-3850

Theodore E. Rokita/Kathleen D. Rokita

CY 2020 Financial Disclosure Statement

COMMENTS (following Part 8 of the state form)

Part 4 (continued)

Although none of the following cy 2020 clients make up more than 33% of non-state income, and therefore do not have to be reported according to the law and guidance from the office of the inspector general, they are being reported for transparency. Each involves business advisory board membership and associated duties:

Acel360, Inc.—business accelerator

Merchandise Warehouse, Inc.—transportation/logistics

Sonnet BioTherapeutics, Inc.—pharmaceutical development

Part 6 (continued)

Aircraft Owners and Pilots Association (AOPA) Foundation, Inc.—non-profit dedicated to the development of high school STEM curriculum and other endeavors in furtherance of general aviation.

Part 7 (continued)

The following companies have been invested in, but according to their bylaws, operating agreements, private placement memoranda or other documents, there is no "market" to establish a fair market value. They are being provided for transparency.

Marley's Chains, LLC

WishBone Medical, Inc.

INSTRUCTIONS

Each part must be answered. Incomplete statements will be returned. Please note that the statement must be affirmed and signed. Complete the form by printing legibly or typing. ***Bold Italicized*** words in the form are defined below. Financial Disclosure Statements filed with the Office of Inspector General are available for public inspection, photocopying, and possible access on the agency Web site [www.in.gov/ig].

WHO MUST FILE THIS FORM, AND WHEN

- 1) The Governor, Lieutenant Governor, Secretary of State, Auditor of State, Treasurer of State, Attorney General, and Superintendent of Public Instruction, any person who is the appointing authority of an agency, the director of each division of the Department of Administration, any purchasing agent within the Procurement Division of the Department of Administration, the chief investment officer employed by the Indiana public retirement system, any employee of the Indiana public retirement system whose duties include those described in IC 4-2-6-8(A)-(D), any agency employee, special state appointee, former agency employee, or former special state appointed with final purchasing authority or an employee required to do so by rule adopted by the Inspector General must file this financial disclosure form no later than February 1 of every year.
- 2) Candidates for Governor, Lieutenant Governor, Secretary of State, Auditor of State, Treasurer of State, Attorney General, and Superintendent of Public Instruction must file this disclosure before filing a declaration of candidacy under IC 3-8-2, petition of nomination under IC 3-8-6, or declaration of intent to be a write-in candidate under IC 3-8-2-2.5, or before a certificate of nomination is filed under IC 3-8-7-8.
- 3) The persons listed in (1) above, must file not later than sixty (60) days after employment or taking office, unless the previous employment or office required the filing of a statement under this section.
- 4) The same persons required to file in (1) above must file not later than thirty (30) days after leaving employment or office, unless the subsequent employment or office requires the filing of a statement under this section.

DEFINITIONS OF TERMS USED IN THIS FORM

- 1) **"Business relationship"** includes the following:
 - (A) Dealings of a person with an agency seeking, obtaining, establishing, maintaining, or implementing:
 - (i) a pecuniary interest in a contract or purchase with the agency; or
 - (ii) a license or permit requiring the exercise of judgement or discretion by the agency.
 - (B) The relationship a lobbyist has with an agency.
 - (C) The relationship an unregistered lobbyist has with an agency.
- 2) **"Employer"** means any person from whom a state officer or employee or the officer's or employee's spouse received compensation.
- 3) **"Gift"** means the transfer or promise of a transfer of something of value regardless of the form without adequate and lawful consideration or consideration less than that required of others who are not state officers or employees, including the full or partial forgiveness of indebtedness, which is not extended to others who are not state employees on the same terms and conditions. However, "gift" does not include gifts from relatives of less than two hundred fifty dollars (\$250) or campaign contributions subject to IC 3-9-2.
- 4) **"Person"** means any individual, proprietorship, partnership, unincorporated association, trust, business trust, group, limited liability company, or corporation, whether or not operated for profit, or governmental agency or political subdivision.