



**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

MAR 28 2022

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.

FILED

Name (last) Underhill	Name (first) Travis	Name (middle)	
Name of office or agency Indiana Department of Transportation		Job title Deputy Commissioner	
Address of office (number and street) 100 S. Senate Ave.		City Indianapolis	ZIP code 46204
Office telephone number (317) 234-5136	Office e-mail address (required) TUnderhill@indot.in.gov		

Describe the conflict of interest:
Travis Underhill is a Deputy Commissioner for the Indiana Department of Transportation (INDOT). Travis Underhill recently entered employment negotiations with Avenew, LLC, a start-up company partially financed by Heritage Group. Avenew does not have a business relationship with INDOT, however, Heritage Group is the parent company to several INDOT vendors, including Milestone Contractors, Champaign Asphalt, and Pavement Maintenance Systems. Travis Underhill's employment negotiations with Avenew therefore created a potential decisions and voting conflict of interest under IC 4-2-6-9 with regard to Heritage Group. This disclosure is therefore being filed in anticipation of that potential conflict.

Travis Underhill is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to Avenew, LLC.

Travis Underhill is subject to the particular matter restriction and will not assist future employers, including Avenew, with any matter he personally and substantially participated in on behalf of INDOT.

This disclosure was provided to Travis Underhill's appointing authority, Commissioner Michael J. Smith, on March 24, 2022.

Evidence of said disclosure to Commissioner Smith 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.

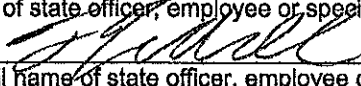
Describe the screen established by your ethics officer: *(Attach additional pages as needed.)*

A formal screen was executed with INDOT's ethics officer preventing Travis Underhill from working with Heritage Group or Avenew, LLC as an INDOT employee. Said screen prohibits Mr. Underhill 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 Heritage Group or Avenew, or in which Heritage Group or Avenew has an interest. Travis Underhill is further screened from assisting any future employer, including Heritage Group and Avenew, LLC, with any matter in which he personally and substantially participated while employed by INDOT. The screen applies until Mr. Underhill ceases negotiations with Avenew or leaves INDOT employment, whichever occurs first.

The screen was executed on March 25, 2022, a copy of which was sent to Commissioner Michael J. Smith with this disclosure.

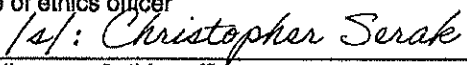
AFFIRMATION

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) March 25, 2022
Printed full name of state officer, employee or special state appointee Travis Underhill	

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) March 25, 2022
Printed full name of ethics officer Christopher B. Serak	

CONFLICT OF INTEREST SCREEN FOR TRAVIS UNDERHILL

March 25, 2022

I. RECITALS

WHEREAS, Travis Underhill is a Deputy Commissioner for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Travis Underhill has entered employment negotiations with Avenew, LLC, a startup company partially funded by the Heritage Group; and

WHEREAS, Avenew does not have a business relationship with INDOT, but the Heritage Group is the parent company to several INDOT vendors, including Milestone Contractors, Champaign Asphalt, and Pavement Maintenance Systems, each of which have a business relationship with INDOT; and

WHEREAS, as an INDOT Deputy Commissioner, it is possible that Travis Underhill could, in the future, work with Heritage Group companies or participate in matters in which said companies have an interest; and

WHEREAS, Travis Underhill’s employment negotiations with Avenew created a potential decision and voting conflict of interest under IC 4-2-6-9 with regard to Heritage Group companies requiring disclosure and formal screen; and

WHEREAS, Travis Underhill may have learned or had access to confidential information in his position with INDOT and is prohibited from disclosing, relying upon, or otherwise benefiting from such information in his future employment¹; and

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

NOW THEREFORE, Travis Underhill, INDOT Deputy Commissioner, for his remaining tenure with the Department, or until he discontinues employment negotiations with Avenew, LLC, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Travis Underhill must adhere to terms three (3) and four (4) regarding the particular matter restriction and protection of confidential information in perpetuity.

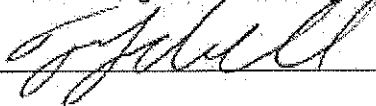
II. CONFLICT OF INTEREST SCREEN

1. Travis Underhill shall not participate in any decision or vote, or any matter related to such decision or vote, in which any Heritage Group company or Avenew, LLC has a financial interest.
2. Travis Underhill should be screened from participating in any present or future contract or other matter involving a Heritage Group company or Avenew, LLC.
3. Travis Underhill shall not assist any future employers, including Avenew, LLC, with any matter he personally and substantially participated in while employed by INDOT.
4. Travis Underhill shall not divulge, rely upon, or otherwise benefit from confidential information obtained through his employment with the Indiana Department of Transportation.

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 any Heritage Group company and/or Avenew, LLC 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 Avenew, LLC, whichever occurs first. I further understand that terms three (3) and four (4) concerning the particular matter restriction and confidential information apply in perpetuity. I have shared and discussed this Conflict of Interest Screen with my supervisor.

Executed and agreed this 25th day of March 2022, by:



Travis Underhill, Deputy Commissioner
Indiana Department of Transportation

¹ State employees have an affirmative duty under Ind. Code §5-14-3-10 to protect from disclosure and to refrain from relying upon information defined as confidential under Ind. Code §5-14-3-4.

Baker, Nathaniel P

To: Serak, Chris (INDOT)
Subject: RE: Executed COI Disclosure & Screen- Travis Underhill

From: Serak, Chris (INDOT)
Sent: Friday, March 25, 2022 4:29 PM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Underhill, Travis J <TUnderhill@indot.in.gov>; Kennedy, Heather <HKennedy@indot.IN.gov>
Subject: Executed COI Disclosure & Screen- Travis Underhill

Commissioner Smith-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure and internal screen executed by INDOT Deputy Commissioner Travis Underhill. 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)
Risk Advisory Board (Member)
Indiana Department of Transportation
Office: (317) 234-2115
Email: chserak@indot.in.gov
Location: *IGCN, 100 N Senate, N658-PQ*