



**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

APR 14 2022

**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) Wilcoxon	Name (first) Stephen	Name (middle)
Name of office or agency Indiana Department of Transportation	Job title Innovation/Valuation Specialist	
Address of office (number and street) 100 N Senate Ave.	City Indianapolis	ZIP code 46204
Office telephone number ( 317 ) 233-4456	Office e-mail address (required) SWilcoxon@indot.IN.gov	

Describe the conflict of interest:  
 Stephen Wilcoxon is an Innovation/Valuation Specialist for the Indiana Department of Transportation.  
 Stephen Wilcoxon recently entered employment negotiations with Hanson Professional Services, Inc. ("Hanson").  
 Hanson has a business relationship with INDOT, including active contracts with the Department.  
 Stephen Wilcoxon's employment negotiations with Hanson therefore 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.  
 Stephen Wilcoxon is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to Hanson.  
 Stephen Wilcoxon is subject to the particular matter restriction and will not assist future employers, including Hanson, with any matter he personally and substantially participated in on behalf of INDOT.  
 This disclosure was provided to Stephen Wilcoxon's appointing authority, Commissioner Michael J. Smith, on April 14, 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 Stephen Wilcoxon from working with Hanson in his capacity as an INDOT employee. Said screen prohibits Stephen Wilcoxon 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 Hanson, or in which Hanson has an interest. Stephen Wilcoxon is further screened from assisting any future employer, including Hanson, with any matter in which he personally and substantially participated in while employed by INDOT.

The screen was executed on April 14, 2022, a copy of which was sent to Commissioner Michael J. Smith 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

*Stephen Wilcoxon*

Date signed (month, day, year)

April 14, 2022

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

Stephen Wilcoxon

**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

*cf: Christopher Serak*

Date signed (month, day, year)

April 14, 2022

Printed full name of ethics officer

Christopher B. Serak

**CONFLICT OF INTEREST SCREEN FOR STEPHEN WILCOXON**

April 14, 2022

**I. RECITALS**

WHEREAS, Stephen Wilcoxon is an Innovation/Valuation Specialist for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Stephen Wilcoxon has entered employment negotiations with Hanson Professional Services, Inc. (“Hanson”); and

WHEREAS, Hanson has a business relationship with INDOT, including active contracts; and

WHEREAS, as an Innovation/Valuation Specialist for INDOT, it is possible that Stephen Wilcoxon could participate in matters in which Hanson has an interest as part of his regular duties; and

WHEREAS, Stephen Wilcoxon’s employment negotiations with Hanson created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, Stephen Wilcoxon is subject to the particular matter restriction (IC 4-2-6-11(a)) and cannot assist future employers, including Hanson, with any matter he personally and substantially participated in for INDOT; and

WHEREAS, Stephen Wilcoxon may have obtained confidential information in the course of his employment with INDOT and has an affirmative duty to protect such information from disclosure and to refrain from relying on such information for the benefit of himself or future employers.<sup>1</sup>

NOW THEREFORE, Stephen Wilcoxon, an Innovation/Valuation Specialist for INDOT, for his remaining tenure with INDOT, or until he discontinues employment negotiations with Hanson Professional Services, Inc., agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Stephen Wilcoxon must adhere to terms three (3) and four (4) regarding the particular matter restriction and confidential information in perpetuity.

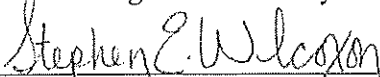
**II. CONFLICT OF INTEREST SCREEN**

1. Stephen Wilcoxon shall not participate in any decision or vote, or any matter related to such decision or vote, in which Hanson has a financial interest.
2. Stephen Wilcoxon is screened from participating in any present or future contract or other matter involving Hanson.
3. Stephen Wilcoxon shall not assist any future employers, including Hanson, 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.
4. Pursuant to his duty under Ind. Code §5-14-3-10, Stephen Wilcoxon shall not disclose or otherwise rely upon information classified as confidential under Ind. Code §5-14-3-4. This restriction applies in perpetuity, so long as the subject information is deemed confidential.

**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 Hanson Professional Services, Inc. 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 Hanson, whichever occurs first. I further understand that terms three (3) and four (4) regarding particular matters and confidential information respectively, apply in perpetuity, for the life of each matter and so long as the subject information is deemed confidential. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor.

Executed and agreed this 14<sup>th</sup> day of April 2022, by:



Stephen Wilcoxon, Innovation/Valuation Specialist  
Indiana Department of Transportation

<sup>1</sup> 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**

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

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**From:** Serak, Chris (INDOT)  
**Sent:** Thursday, April 14, 2022 9:17 AM  
**To:** Smith, Michael J <[Michael.Smith@indot.IN.gov](mailto:Michael.Smith@indot.IN.gov)>  
**Cc:** Wilcoxon, Stephen <[SWilcoxon@indot.IN.gov](mailto:SWilcoxon@indot.IN.gov)>; Creighton, Chris (INDOT) <[CCreighton@indot.IN.gov](mailto:CCreighton@indot.IN.gov)>  
**Subject:** Executed COI Disclosure & Screen (Stephen Wilcoxon)

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 employee Stephen Wilcoxon. 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](mailto:chserak@indot.in.gov)  
Location: *IGCN, 100 N Senate, N658-PQ*