

INDIANA  
STATE ETHICS COMMISSION

MAR 28 2018



**CONFLICTS OF INTEREST – CONTRACTS  
ETHICS DISCLOSURE STATEMENT**  
State Form 53345 (R2 / 6-15)  
OFFICE OF THE INSPECTOR GENERAL  
IC 4-2-6-10.5

FILED

Mail to:  
OFFICE OF INSPECTOR GENERAL  
315 West Ohio Street, Room 104  
Indianapolis, IN 46202  
Telephone: (317) 232-3850  
E-mail scanned copy to: [info@iq.in.gov](mailto:info@iq.in.gov)

Check if you are making a correction to a previously filed statement.

A state officer, employee, or special state appointee may not knowingly have a financial interest in a contract made by an agency. The term financial interest is defined in IC 4-2-6-1. This prohibition, however, does not apply to an officer, employee, or special state appointee who (1) does not participate in or have contracting responsibility for the contracting agency and (2) meets the criteria in IC 4-2-6-10.5(b)(2) and (c)(1)-(5). One criterion is that the officer, employee, or special state appointee must file a written statement with the Inspector General before the officer, employee, or special state appointee executes the contract with the state agency.

The foregoing consists only of excerpts from IC 4-2-6-10.5. Care should be taken to review IC 4-2-6-10.5 in its entirety to ensure compliance with all criteria set forth in the statute. This disclosure will be posted on the Inspector General's website.

**PART 1 – GENERAL INFORMATION**

Last name Thompson	First name John	Middle initial T.
Address of office ( <i>number and street, city, state, and ZIP code</i> ) Thompson Distribution, 2225 N. College Ave, Indianapolis, IN 46205		
Title or position within agency Board Member (special state appointee)	Name of agency Indiana Economic Development Corporation	

**PART 2 – CONTRACT**

List the name for each entity (*i.e. vendor, contractor, consultant, subcontractor, or subconsultant*) in which you have a financial interest that has a contract with a state agency. Also, list the name of the state agency the entity is contracting with (*use a different form for each contract*).

Business name of entity Central Indiana Corporate Partnership/Energy Systems Network	Name of entity contact person ( <i>first name and last name</i> ) Paul Mitchell
---	--

This contract was (*check one*):

- made after public notice and, if applicable, through competitive bidding; or  
 not subject to notice and bidding requirements

If the contract was not subject to notice and bidding requirements, please provide the basis for that conclusion here. IEDC grant agreements are not subject to public bidding requirements. See Indiana Code chapter 5-22-1-3(a)(8) and 5-28. This grant agreement, however, was subject to approval of the IEDC Board of Directors due to it being a direct investment of funds from the Indiana 21st Century Research & Technology Fund. This grant agreement was presented to the Board's Entrepreneurship Committee, wherein Mr. Thompson, as a committee member, recused himself and was screened from any discussion, decision or vote on the matter. Pursuant to IEDC policy and the Ethics Commission's Advisory Opinion 17-I-2, the matter was considered by the entire IEDC Board, and Mr. Thompson again recused himself and was completely screened from any discussion, decision, or vote related to the matter. Mr. Thompson's recusal will be noted in the minutes of both the Entrepreneurship Committee and full IEDC Board of Directors.

Description(s) of Contract(s): (*Describe the type of contract involved and the effective date and term of the contract if reasonably determinable.*)  
 Energy Systems Network (ESN), a sector initiative of the Central Indiana Corporate Partnership (CICP), submitted to the IEDC a request for grant funding from the Indiana 21st Century Research and Technology Fund. Mr. Thompson has identified that he serves on the CICP Board of Directors and that CICP may have an indirect financial interest that is related to the pending grant. The grant is projected to have a two (2) year term and begin during Q1 of 2018.

Description of the Financial Interest: *(Describe in what manner the state officer, employee, or special state appointee expects to derive a financial interest from or otherwise has a pecuniary interest in, the above contract. State the approximate dollar value of the interest if reasonably determinable. Attach extra pages if additional space is needed.)*  
 On March 21, 2018, the Indiana Economic Development Corporation ("IEDC") Board of Directors and its Entrepreneurship Committee considered a request from Energy Systems Network ("ESN") for grant funding from the Indiana 21st Century Research and Technology Fund. Mr. Thompson is a member of the IEDC Board of Directors and also serves as a member of the Entrepreneurship Committee. ESN is a Central Indiana Corporate Partnership ("CICP") sector initiative that includes a number of corporate partners that share a common interest in developing improvements in energy technology. The CICP is governed by a board of directors that includes Central Indiana's corporate, philanthropic and higher education leaders. Prior to the meeting, Mr. Thompson notified the IEDC's General Counsel & Ethics Officer that he serves on the CICP Board of Directors. Mr. Thompson, by virtue of his board position, and the fact that ESN is a sector initiative of the CICP, has a financial interest (as defined in Indiana Code section 4-2-6-1(a)(11)), in ESN's funding request to the IEDC.

The approximate dollar value of the financial interest to CICP related to the pending grant is not discernible. However, funding from the Indiana 21st Century Research and Technology Fund to ESN is not expected to exceed \$5,152,789.00. In the interests of transparency and out of an abundance of caution, Mr. Thompson has taken the appropriate steps to recuse himself and be completely screened from any discussion, decision, and vote on the pending grant agreement.

**ONLY COMPLETE PART 3 IF CONTRACT IS FOR PROFESSIONAL SERVICES**

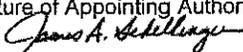
**PART 3 – AGENCY CERTIFICATION**

Approval of appointing authority

Being the \_\_\_\_\_ Secretary of Commerce \_\_\_\_\_ of \_\_\_\_\_ the Indiana Economic Development Corporation  
*(Title of Appointing Authority)* *(Name of Contracting Agency)*

I hereby affirm that no other state officer, employee, or special state appointee of \_\_\_\_\_ the Indiana Economic Development Corporation  
*(Name of the Contracting Agency)*

is available to perform those services as part of the regular duties of the state officer, employee, or special state appointee.

Signature of Appointing Authority 	James A. Schellinger cn=James A. Schellinger, o=Indiana Economic Development Corporation, ou=Secretary of Commerce, email=JSchellinger@iedc.in.gov, c=US	Date signed (month, day, year)
--	---	--------------------------------

Name of Appointing Authority James A. Schellinger	2018.03.28 16:14:25 -04'00'
--	-----------------------------

**PART 4 – AFFIRMATION**

I submit this statement to the Inspector General pursuant to 42 IAC 1-5-7 (IC 4-2-6-10.5) to disclose my financial interest in a contract with an agency. This contract can be performed without compromising the performance of my official duties and responsibilities as a state officer, employee or special state appointee. I affirm that I do not participate in or have contracting responsibility for the contracting agency. I further affirm that the contract was made after public notice or competitive bidding, if applicable. I also affirm, under penalty of perjury, the truth and completeness of the statements made above and that I am the above named state officer, employee, or special state appointee.

Signature 	Date signed (month, day, year) 3/28/2018
--	---

## Croft, Celeste

---

**From:** Cooper, Jennifer  
**Sent:** Thursday, March 29, 2018 8:36 AM  
**To:** Croft, Celeste  
**Subject:** Fw: I.C. 4-2-6-10.5 Disclosure from the IEDC  
**Attachments:** J. Thompson\_IC 4-2-6-10.5\_Disclosure (FINAL).pdf

---

**From:** Huang, John Z  
**Sent:** Wednesday, March 28, 2018 11:19:02 PM  
**To:** Cooper, Jennifer  
**Cc:** Cotterill, Chris W; Kimmick, Matthew; Gaddis, Kyle (IEDC)  
**Subject:** I.C. 4-2-6-10.5 Disclosure from the IEDC

Jen,

Please find attached a filing on behalf of IEDC board member John Thompson in compliance with IC 4-2-6-10.5. We understand that this filing will be posted on the IG website.

Best,

**John Z. Huang**  
General Counsel and Vice President

Indiana Economic Development Corporation  
1 North Capitol Avenue, Suite 700  
Indianapolis, IN 46204  
t 317.233.4459  
m 317.619.3855



Powered by Buzair