

INDIANA  
STATE ETHICS COMMISSION

FEB 12 2021



**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

**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) Brockway	Name (first) Corie	Name (middle)
Name of office or agency Indiana Department of Transportation- Crawfordsville		Job title Construction Inspector
Address of office (number and street) 41 West 300 North		City Crawfordsville
		ZIP code 47933
Office telephone number ( 765 ) 365-4998	Office e-mail address (required) cbrockway@indot.in.gov	

Describe the conflict of interest:  
Corie Brockway is a Construction Inspector for the Indiana Department of Transportation (INDOT)- Crawfordsville District. Corie Brockway has entered employment negotiations with Lochmueller Group, Inc. ("Lochmueller"). Lochmueller has a business relationship with INDOT, including active contracts with the Department. Corie Brockway's employment negotiations with Lochmueller 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.

Corie Brockway is not subject to the mandatory cooling off period under IC 4-2-6-11(b) as a Construction Inspector. Corie Brockway is subject to the particular matter restriction in some instances and will not assist any future employer with a matter she personally and substantially participated in on behalf of INDOT.

This disclosure was provided to Corie Brockway's appointing authority, Commissioner Joe McGuinness, on February 9, 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 Corie Brockway from participating in any decision or vote in which Lochmueller has a financial interest. While Corie Brockway does not have requisite authority to subject her to the cooling off period, or to otherwise create a conflict of interest, a screen was executed as a precaution, and to prevent the appearance of conflict. Corie Brockway is, however, subject to the particular matter restriction with regard to some projects, and in turn has been screened from assisting future employers, including Lochmueller, with any matter in which she personally and substantially participated in while employed by INDOT.

The screen was executed on February 9, 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	<i>Corie Brockway</i>	Date signed (month, day, year)	February 9, 2021
Printed full name of state officer, employee or special state appointee		Corie Brockway	

**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	<i>[Signature]</i>	Date signed (month, day, year)	February 9, 2021
Printed full name of ethics officer		Christopher B. Serak	

**CONFLICT OF INTEREST SCREEN FOR CORIE BROCKWAY**

**February 9, 2021**

**I. RECITALS**

WHEREAS, Corie Brockway is a Construction Inspector for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Corie Brockway has accepted a position with Lochmueller Group, Inc. (“Lochmueller”); and

WHEREAS, Lochmueller has a business relationship with INDOT, including ongoing contracts with the Department; and

WHEREAS, as Construction Inspector for INDOT, it is possible that Corie Brockway could participate in matters involving Lochmueller as part of her regular duties; and

WHEREAS, Corie Brockway’s employment negotiations with Lochmueller created a potential decisions and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, Corie Brockway could be in some instances subject to the particular matter restriction under IC 4-2-6-11(a) and cannot assist future employers, including Lochmueller, with any matter she personally and substantially participated in while employed by INDOT.

NOW THEREFORE, Corie Brockway, a Construction Inspector for INDOT, for her remaining tenure with the Department, or until she discontinues employment negotiations with Lochmueller Group, Inc., agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Corie Brockway 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. Corie Brockway shall not participate in any decision or vote, or any matter related to such decision or vote, in which Lochmueller has a financial interest.
2. Corie Brockway should be screened from participating in any future contract or other matter involving Lochmueller, except those contracts on which she works with Lochmueller as a peer.
3. Corie Brockway shall not assist any future employers, including Lochmueller, with any matter she 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 Lochmueller Group, 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 Lochmueller Group, Inc., 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 9<sup>th</sup> day of February 2021, by:

*Corie Brockway*

Corie Brockway, Construction Inspector  
Indiana Department of Transportation

## Baker, Nathaniel P

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

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**From:** Serak, Chris (INDOT)  
**Sent:** Friday, February 12, 2021 1:17 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)>; Brockway, Corie <[CBrockway@indot.IN.gov](mailto:CBrockway@indot.IN.gov)>  
**Subject:** Executed COI Disclosure & Screen (Corie Brockway)

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 Corie Brockway. 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,**  
*Prequalification Director*  
*Ethics Officer*  
*Prequalification Committee (Chairman)*  
*Selection Review Committee (Member)*  
**Indiana Department of Transportation**  
**Office:** (317) 234-2115  
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