

JUL 06 2020

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**ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST - DECISIONS AND VOTING**
State Form 56880 (R / 10-16)
OFFICE OF THE INSPECTOR GENERAL
IC 4-2-6-9

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) Culbertson | Name (first) James | Name (middle) |
| Name of office or agency Indiana Department of Transportation- Construction Management | Job title Field Engineer | |
| Address of office (number and street) 100 N. Senate Avenue | City Indianapolis | ZIP code 46204 |
| Office telephone number (317) 232-7758 | Office e-mail address (required) jculbertson@indot.in.gov | |

Describe the conflict of interest:
 James Culbertson is a Field Engineer for the Indiana Department of Transportation (INDOT)- Construction Management. James Culbertson has entered employment negotiations with HNTB Corporation ("HNTB"). HNTB has a business relationship with INDOT, including ongoing contracts with the Department. As such, James Culbertson's employment negotiations with HNTB 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.

James Culbertson is not subject to the cooling off period under IC 4-2-6-11(b). James Culbertson is subject to the particular matter restriction (IC 4-2-6-11(a)) and may not work on any matter he participated in while with INDOT. This disclosure was provided to James Culbertson's appointing authority, INDOT Commissioner Joe McGuinness, on July 2, 2020. Evidence of said disclosure to Commissioner McGuinness is filed herewith per 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 virtue of the advise of 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 James Culbertson from doing work with HNTB in his capacity as an INDOT employee. Said screen prohibits James Culbertson from undertaking any of his official duties or otherwise participating in any decision or vote, or matter related to such decision or vote, involving HNTB or in which HNTB has an interest. Said screen further prevents James Culbertson from assisting HNTB or any future employer with matters he personally and substantially participated in while employed by INDOT.

The screen was executed on July 2, 2020, 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

Date signed (month, day, year)

July 2, 2020

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

James Culbertson

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)

July 2, 2020

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR JAMES CULBERTSON

July 2, 2020

I. RECITALS

WHEREAS, James Culbertson is a Field Engineer for the Indiana Department of Transportation, Construction Management Division ("INDOT" or "Department"); and

WHEREAS, James Culbertson has entered employment negotiations with HNTB Corporation ("HNTB"); and

WHEREAS, HNTB has a business relationship with INDOT, including active contracts with the Department; and

WHEREAS, as a Field Engineer for INDOT, it is possible that James Culbertson could be assigned to work with HNTB, or to participate in matters involving the company as part of his regular duties; and

WHEREAS, James Culbertson's employment negotiations with HNTB created a potential decisions and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

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

NOW THEREFORE, James Culbertson, a Field Engineer for INDOT, Construction Management Division, for his remaining tenure with the Department, or until he discontinues employment negotiations with HNTB Corporation, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. James Culbertson shall adhere to term three (3) regarding the particular matter restriction in perpetuity, for the life of each particular matter.

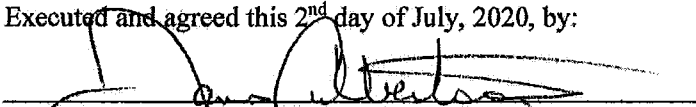
II. CONFLICT OF INTEREST SCREEN

1. James Culbertson shall not participate in any decision or vote, or any matter related to such decision or vote, in which HNTB has a financial interest.
2. James Culbertson should be screened from participating in any present or future contract or other matter involving HNTB.
3. James Culbertson shall not assist any future employers, including HNTB, with any matter he personally and substantially participated in while employed by INDOT. This restriction applies in perpetuity, for the life of each 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 HNTB Corporation 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 HNTB, whichever occurs first. I further understand that term three (3) concerning the particular matter restriction applies in perpetuity, for the life of each matter. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor.

Executed and agreed this 2nd day of July, 2020, by:



James Culbertson, Field Engineer
Indiana Department of Transportation- Construction Management

Baker, Nathaniel P

Subject: Executed COI Disclosure and Internal Screen (James Culbertson)

From: Serak, Chris (INDOT)

Sent: Monday, July 6, 2020 1:38 PM

To: McGuinness, Joe <JMcGuinness@indot.IN.gov>

Cc: Culbertson, James <JCULBERTSON@indot.IN.gov>; Kennedy, Heather <HKennedy@indot.IN.gov>

Subject: Executed COI Disclosure and Internal Screen (James Culbertson)

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 James Culbertson. 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

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