

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) Goldner	Name (first) Stephan	Name (middle)
Name of office or agency Indiana Department of Transportation- Greenfield		Job title Project Supervisor
Address of office (number and street) 32 S Broadway St.		City Greenfield
Office telephone number (765) 745-1720		ZIP code 46140
Office e-mail address (required) sgoldner@indot.in.gov		
Describe the conflict of interest: Stephan Goldner is a Project Supervisor for the Indiana Department of Transportation (INDOT)- Greenfield District. Stephan Goldner has entered employment negotiations with RQAW Corporation ("RQAW"). RQAW has a business relationship with INDOT, including active contracts with the Department. Stephan Goldner's employment negotiations with RQAW 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. Stephan Goldner is not subject to the mandatory cooling off period under IC 4-2-6-11(b) with respect to RQAW Stephan Goldner is subject to the particular matter restriction and will not assist any future employer with a matter he personally and substantially participated in on behalf of INDOT. This disclosure was provided to Mr. Goldner's appointing authority, Commissioner Joe McGuinness, on February 11, 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 Stephen Goldner from doing work with RQAW in his capacity as an INDOT employee. Said screen prohibits Mr. Goldner 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 RQAW, or in which RQAW has an interest. Stephen Goldner is further screened from assisting any future employer, including RQAW, with a matter in which he personally and substantially participated in while employed by INDOT.
 The screen was executed on February 11, 2021, a copy of which was sent to Commissioner Joe McGuinness along with this disclosure.

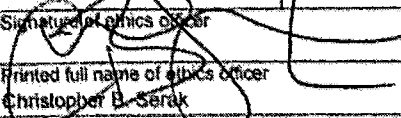
AFFIRMATION

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 	Date signed (month, day, year) February 11, 2021
Printed full name of state officer, employee or special state appointee Stephen Goldner	

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) February 9, 2021
Printed full name of ethics officer Christopher B. Serak	

CONFLICT OF INTEREST SCREEN FOR STEPHAN GOLDNER

February 11, 2021

I. RECITALS

WHEREAS, Stephan Goldner is a Project Supervisor for the Indiana Department of Transportation ("INDOT" or "Department"); and

WHEREAS, Stephan Goldner has accepted a position with RQAW Corporation ("RQAW"); and

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

WHEREAS, as a Project Supervisor for INDOT, it is possible that Stephan Goldner could be assigned to work with RQAW or to participate in matters involving the company as part of his regular duties; and

WHEREAS, Stephan Goldner's employment negotiations with RQAW created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, Stephan Goldner is subject to the particular matter restriction under IC 4-2-6-1 l(a) and cannot assist future employers, including RQAW, with any matter he personally and substantially participated in while employed by INDOT.

NOW THEREFORE, Stephan Goldner, a Project Supervisor for INDOT, for his remaining tenure with the Department, or until he discontinues employment negotiations with RQAW Corporation, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Stephan Goldner must adhere to term three (3) regarding the particular matter restriction **in** perpetuity, for the life of each particular matter.

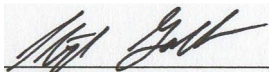
II. CONFLICT OF INTEREST SCREEN

1. Stephan Goldner shall not participate in any decision or vote, or any matter related to such decision or vote, in which RQAW has a financial interest.
2. Stephan Goldner should be screened from participating in any present or future contract or other matter involving RQAW.
3. Stephan Goldner shall not assist any future employers, including RQAW, 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.

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 RQAW 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 RQAW Corporation, 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 11th day of February 2021, by:



Stephan Goldner, Project Supervisor
Indiana Department of Transportation

Baker, Nathaniel P

To: Serak, Chris (INDOT)
Subject: RE: Executed COI Disclosure & Screen (Stephan Goldner)

From: Serak, Chris (INDOT)
Sent: Friday, February 12, 2021 1:36 PM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Kennedy, Heather <HKennedy@indot.IN.gov>; Goldner, Stephen <SGoldner@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (Stephan Goldner)

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 Stephan Goldner. 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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