

INDIANA  
STATE ETHICS COMMISSION

APR 04 2017

FILED



**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

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) Koch	Name (first) Robert	Name (middle) L.
Name of office or agency Koch Enterprises, Inc.	Job title Chairman (Board Member of the IEDC)	
Address of office (number and street) 14 South Eleventh Avenue	City Evansville	ZIP code 47712
Office telephone number ( 812 ) 465-9800	Office e-mail address (required) rlk@kochllc.com	

Describe the conflict of interest:

On March 28, 2017, the Indiana Economic Development Corporation (IEDC) Board of Directors considered an Application for Incentives from Carrier Corporation ("Carrier"). Prior to the meeting, Mr. Koch notified the IEDC's General Counsel & Ethics Officer that Koch Air, LLC, a subsidiary of Koch Enterprises, Inc., distributes Carrier products in Indiana. In the interests of transparency and out of an abundance of caution, the IEDC General Counsel & Ethics Officer identified this as a financial interest requiring an ethical screen and disclosure.

Describe the screen established by your ethics officer. (Attach additional pages as needed.)  
 As detailed in the Ethics Commission's Advisory Opinion 17-1-2, the IEDC has well-established ethical screening procedures. The relationship of Mr. Koch's business with Carrier Corporation was logged into the IEDC's Customer Relationship Management (CRM) database, which is used to identify potential conflicts of interest. Mr. Koch was screened from any involvement in the Carrier matter. Mr. Koch has not discussed the Carrier matter with the IEDC staff or members of the IEDC Board of Directors, other than to disclose his business's relationship with Carrier to the IEDC's Ethics Officer. When the Business Development Committee of the IEDC Board conducted its public meeting on March 28, 2017, the IEDC's Ethics Officer asked Mr. Koch to recuse himself from any discussion, decision, or vote related to the Carrier matter, and Mr. Koch was completely screened from the matter. Subsequently, during the public meeting of the entire IEDC Board, Mr. Koch again recused himself and was completely screened from any discussion, decision or vote related to the Carrier matter. Finally, it is worth noting that the March 28, 2017 IEDC Board meeting was Mr. Koch's last meeting as a member of the IEDC Board.

**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>Robert L. Koch II</i>	Date signed (month, day, year) 4/3/17
Printed full name of state officer, employee or special state appointee Robert L. Koch II	

**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>John Z. Huang</i>	Date signed (month, day, year) 4/4/17
Printed full name of ethics officer John Z. Huang	

## Croft, Celeste

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**From:** Huang, John Z  
**Sent:** Tuesday, April 04, 2017 2:04 PM  
**To:** Schellinger, Jim  
**Cc:** Cotterill, Chris W  
**Subject:** FYI - Ethics Disclosure Statement - B. Koch  
**Attachments:** Ethics Disclosure Statement - B.K..pdf

Hi Jim,

Pursuant to 42 IAC 1-5-6 and Indiana Code section 4-2-6-9, attached is the ethics disclosure statement for Bob Koch regarding the Carrier matter, which Chris and I have reviewed. We will file this with the State Ethics Commission today. Please let me know if you have any questions or concerns.

Sincerely,

**JOHN Z. HUANG**  
*General Counsel & Vice President*

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