



**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

INDIANA  
STATE ETHICS COMMISSION

MAR 15 2016

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) McMillin	Name (first) Kenya	Name (middle) Elaine
Name of office or agency Indiana Utility Regulatory Commission		Job title Director, Consumer Affairs Division
Address of office (number and street) 101 W. Washington St. Suite 1600 E.		City Indianapolis
Office telephone number ( 317 ) 234-0672		ZIP code IN
Office e-mail address (required) Kmcmillin@urc.in.gov		

Describe the conflict of interest:  
I was contacted by a recruiter for AES, the parent company of Indianapolis Power and Light (IPL), to see if I was interested in interviewing for the position of Customer Service Support Services Manager for IPL. I told the recruiter I would like to explore the opportunity and he was going to follow up later to schedule an interview.

I am the Director of the Indiana Utility Regulatory Commission's (IURC's) Consumer Affairs Division (CAD). In this position, I supervise analysts who provide informal CAD decisions in disputes between customers and utilities. If matters are appealed, I provide a Director's decision. If matters are appealed again, they go to the full IURC as a docketed proceeding. One utility under the IURC's jurisdiction is IPL.

Describe the screen established by your ethics officer: *(Attach additional pages as needed.)*  
 Once I notified the IURC's Ethics Officer, DeAnna Poon, that I was considering the interview I was instructed as follows:

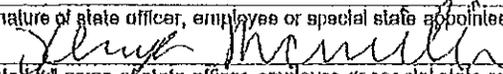
1. "You will not review IPL matters nor draft Director appeals for IPL matters from Wednesday, March 2, 2016 until you decide if you wish to pursue the position.
2. You will decide after the phone interview with IPL whether you wish to pursue the position.
  - a. If you do not pursue it, the screen will terminate.
  - b. If you decide to pursue it, we will formally screen you off by notifying your staff and assigning director appeals to other members of your staff. In addition, you will need to follow all necessary steps in IC 4-2-6-9(b) regarding conflict of interest. I am waiting on a return call from Tiffany Mulligan to advise me on how to implement this."

I then sent instructions to CAD staff that stated:  
 "It has been discussed with Chetrice and DeAnna that we would like to enhance the knowledge base of General Counsel, Analysts, and Senior Analysts on complaints regarding individual utility companies. We would like to start out the process with IPL complaints only.  
 The process will be the following:

- All IPL Complaints/Inquiries will be assigned to Analysts or Senior Analysts.
- All IPL questions regarding complaints/inquiries will be directed to Senior Analysts.
- All questions the Senior Analysts have regarding IPL complaints/inquiries will be directed to DeAnna as the point person for General Counsel.
- All supervisory calls from IPL customers/inquiries are to be forward to either Senior Analysts.
- All supervisory calls from IPL customers/complainants regarding personnel issues are to be forward to Chetrice as the External Affairs Director. \*\*Additional information is provided in the attached page.\*\*

**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) 3/15/16
Printed full name of state officer, employee or special state appointee Kenya McMillin	

**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) 3/15/16
Printed full name of ethics officer DeAnna Poon	

Continuation of "Describe the screen established by your ethics officer"

- All IPL calls that need to be escalated for any other reason are to be forward to Chetrice as the External Affairs Executive Director.
- All correspondence for approval concerning IPL will be forward directly to Lisa as the Senior Analyst, then to Megan as our PR Manager, and then to the entire General Counsel team.
- All existing and new IPL appeals will be assigned to either Senior Analyst.
- Sara as the Senior Analyst, will be the point person for all IPL appeal questions in CAD.
- DeAnna as the point person in General Counsel, will assist with the IPL appeals approval process.
- IPL complaints/inquiries or issues relating to IPL will not be discussed in General Counsel meetings, because they will be handled directly with DeAnna as the point person from General Counsel.
- The above procedures apply to IPL constituent complaints as well.

I know the list is very detailed, but I wanted to make sure the process is clear. The process will ensure that the analysts, Senior Analysts, and General Counsel totally own every aspect of the process. These direct channels will keep all information regarding IPL going directly to those involved in the process as intended.

Please continue this process until you have been directed via email otherwise. If you have any questions throughout the process please speak with DeAnna or Chetrice for Guidance."

I was instructed that the screening off will continue until such time as I accept or reject the IPL position or until IPL notifies me that I will no longer be considered for the position.

On Friday, March 4, 2016, I notified my supervisor, the Commission's Chair, and the Commission's Ethics Officer that I will not be pursuing the position any further. The IPL screen is terminated effective close of business March 4, 2016.

**Cooper, Jennifer**

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**From:** McMillin, Kenya  
**Sent:** Tuesday, March 01, 2016 5:12 PM  
**To:** Stephan, Carol; Mosley, Chetrice  
**Cc:** Poon, DeAnna  
**Subject:** Post Employment

I contacted the recruiter as suggested, and he said he would have to get back to me tomorrow as to when AES plans on filling the position. I would like to discuss tomorrow about being "walled off" from any IPL complaints and request a formal opinion from the ethics commission depending on the outcome of the phone interview. I have mixed emotions about this endeavor naturally, but I thank you and appreciate your guidance and understanding!

I have CRM training tomorrow, but I am available before 9pm, between 12-1pm and from 4pm on. I will send a calendar invite for 12pm. Let me now if a better time works for you.

Thanks,

*Kenya McMillin*

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