



**BOARD OF REGENTS OF  
THE UNIVERSITY SYSTEM OF GEORGIA**

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**VIA EMAIL**

To: University System Presidents  
cc: Chief Business Officers  
From: Daryl Griswold *DG*  
Assistant Vice Chancellor for Legal Affairs  
Date: January 8, 2015  
Re: State Business Transactions Disclosure Reports

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Georgia law requires that all public officials and employees disclose all business transactions occurring during the previous calendar year that the public official or employee has transacted with the State of Georgia and any agency of the State of Georgia for himself/herself or on behalf of any business, or any business in which the public official or employee any member of his/her family has a substantial interest. The State Business Transactions Disclosure Reports for transaction occurring in calendar year 2014 are due on or before January 31, 2015.

The report is now required to be filed electronically with the Georgia Government Transparency and Campaign Finance Commission at its website located at [www.ethics.ga.gov](http://www.ethics.ga.gov). Please see the attached document further explaining the filing procedure.

This memorandum should be distributed to employees of your institution so that they may make the appropriate disclosures. Employees should be informed that if they have no business transactions to report, then it is not necessary to complete and file the State Business Transaction Disclosure Report.

I appreciate your assistance in ensuring that all University System employees are made aware of their responsibility to comply with this law. If you have any questions about this matter, please contact the Office of Legal Affairs.

Attachment

# STATE BUSINESS TRANSACTION DISCLOSURE REPORT

## Form and Instructions

### I. HOW TO FILE

#### A. Obtain a State Business Transaction Report PIN

1. Apply for a Personal Identification Number (PIN) with the CSC by filling out a PIN application which can be found in the forms for Public Officials, State Employees or Candidates sections of our webpage.
2. You will then receive a filer id and password by email. You may then use the filer id and password to gain access to the Commission electronic filing system in order to file the State Business Transaction Report.

#### B. File the State Business Transaction Report:

1. See Section IV re: information contained in State Business Transaction Report
2. Fill out the online form
  - a. Each transaction must be disclosed separately.
  - b. Amounts may be rounded to the nearest dollar.
  - c. For each heading, list the following information for each transaction:

Date of Transaction:	Date of the transaction
Agency Involved:	The name of the agency, authority, department, board, bureau, commission, committee, office, or instrumentality of the State of Georgia with whom the business was transacted.
Nature of Transaction:	Describe the transaction, such as: <ul style="list-style-type: none"> <li>• sale of 1,500 cubic yards of concrete</li> <li>• 30 hours of security work</li> <li>• Lease of house</li> <li>• Et cetera</li> </ul>
Type of Transaction:	<ul style="list-style-type: none"> <li>• If the transaction was personal or for oneself, list "personal"</li> <li>• If the transaction was on behalf of business, list "business" and name of the business</li> <li>• If the transaction was for a business in which you or your spouse or dependents have a substantial interest, list "family" and name the business</li> </ul>
Amount of	The amount of the transaction in dollars

STATE BUSINESS TRANSACTION DISCLOSURE REPORT: Form and Instructions

Transaction: \_\_\_\_\_

**II. OVERVIEW OF REPORT CONTENTS**

**PART 1 OF 4: INITIAL INFORMATION**

<b>Date of this report:</b>			
<b>First Name</b>			
<b>Middle Name</b>			
<b>Last Name</b>			
<b>Maiden Name</b>			
<b>Telephone Number – Home</b>	( ) -		
<b>Telephone Number – Work</b>	( ) -	Ext.	
<b>Telephone Number – Cell</b>	( ) -		

**PART 2 OF 4: TYPE OF FILING**

Elected Official: Office Held: \_\_\_\_\_

Appointed Official:  
 Name of State Agency: \_\_\_\_\_  
 Position Held: \_\_\_\_\_

Employee:      [ ] Full-time                      [ ] Part-time  
 Name of State Agency: \_\_\_\_\_  
 Position Held: \_\_\_\_\_

**PART 3 OF 4: CERTIFICATION**

This is what the form states:

I hereby certify that the attached \_\_\_\_\_ page(s) is/are a true and accurate report of all business transacted by me with the State of Georgia for myself, on behalf of any business, and for any business in which I or any member of my family has a substantial interest.

\_\_\_\_\_  
 Signature

**PART 4 OF 4: BUSINESS TRANSACTIONS WITH THE STATE OF GEORGIA FOR CALENDAR YEAR 20\_\_\_\_\_**

\*\*ALL FIELDS ARE REQUIRED\*\*

<b>Transaction No.:</b> _____		
<b>1.</b>	<b>Date of Transaction:</b>	<i>MM/DD/YYYY</i>
<b>2.1</b>	<b>Name of Agency Involved:</b>	
<b>2.2</b>	<b>Street Address of Agency Involved:</b>	Street Address: Suite: City: State:

STATE BUSINESS TRANSACTION DISCLOSURE REPORT: Form and Instructions

		Zip
2.3	Phone number of Agency Involved:	( ) - Ext.
2.4	Agency Involved Contact Person:	Name: Title:
3.	Nature of Transaction	
4.	Type of Transaction:	<input type="checkbox"/> Business transacted <input type="checkbox"/> Any business <input type="checkbox"/> Family <input type="checkbox"/> Substantial interest
5.1	Name of Company Involved:	
5.2	Address of Company Involved:	Address: Suite: City: State: Zip: County:
5.3	Company Involved Contact Person:	Name: Title:
5.4	Phone number of Company Involved:	( ) - Ext.
5.	Amount of Transaction	\$

## STATE BUSINESS TRANSACTION REPORT - GENERAL OVERVIEW

O.C.G.A. § 45-10-26 requires that any public official or employee, whether for himself, herself, or on behalf of any business, or any business in which such public official or employee or any member of his or her family has a substantial interest who transacts business with the state or any agency thereof shall disclose such transactions. Such disclosure shall be submitted prior to January 31 each year to the Georgia Government Transparency and Campaign Finance Commission on such forms as it shall prescribe and shall include an itemized list of the previous year's transactions with the dollar amount of each transaction reported and totaled. Such disclosure statements shall be public records.

The requirement to disclose certain transactions shall not apply to any transaction when the amount of a single transaction does not exceed \$250.00 and when the aggregate of all transactions does not exceed \$9,000.00 per calendar year.

Failure to disclose such business transactions will subject the public officer or employee or business to a civil fine not to exceed \$10,000.00, restitution to the State of any pecuniary benefit received as a result of such violation, and, in the case of appointed public officials and employees, removal from office or employment.

## O.C.G.A. § 45-10-20 DEFINITIONS

\* **BUSINESS TRANSACTED:** means the sale or leasing of any personal property, real property, or services on behalf of oneself or on behalf of any third party as an agent, broker, dealer, or representative and means the purchase of surplus real or personal property on behalf of oneself or on behalf of any third party as an agency, broker, dealer or representative.

\* **PUBLIC OFFICIAL:** means any person elected to a State office and/or any person appointed to a State office where in the conduct of such office he/she has administrative or discretionary authority to receive and expend public funds to perform certain functions concerning the public which are assigned to him/her by law.

\* **EMPLOYEE:** means any person who, pursuant to a written or oral contract, is employed by an agency

\* **ANY BUSINESS:** means any corporation, partnership, proprietorship, firm, enterprise, franchise, association, organization, self-employed individual, trust, or other legal entity.

\* **FAMILY:** means spouse and dependents.

\* **SUBSTANTIAL INTEREST:** means the direct or indirect ownership of more than 25 percent of the assets or stock of any business.

## WHEN TO FILE

All persons required to file a State Business Transaction report must do so prior to January 31 of each year.

## WHERE TO FILE

The original State Business Transaction report must be electronically filed with the Georgia Government Transparency and Campaign Finance Commission ("CFC"). See O.C.G.A. § 21-5-34.1 (a)

In order to make the filing, the public official or state employee must apply for a State Business Transaction Personal Identification Number (PIN) and Password to access the E-Filing system.

[http://media.ethics.ga.gov/BT\\_PIN/Default.aspx](http://media.ethics.ga.gov/BT_PIN/Default.aspx)

<http://www.ethics.state.ga.us/E-filing/default.aspx>

## HOW TO FILE

1. Using the PIN (starts with the letter "B") and password previously emailed to you, log into the e-filing system.
2. Select the covering calendar year and click "File a Report" (you will always select the previous calendar year).
3. On the Report Menu, under the Report Sections, Click on "Click here to enter/edit transactions".
4. Enter information for each section:
  - i. Date of Transaction
  - ii. Agency Involved (The name of the agency, authority, department, board, bureau, commission, committee, office, or instrumentality of the State of Georgia with whom the business was transacted.)
  - iii. Address
  - iv. Suite
  - v. City
  - vi. State
  - vii. Zip
  - viii. Agency Phone
  - ix. Contact Person
  - x. Contact Person Title
  - xi. Transaction Type (personal, family business, non family business)
  - xii. Nature of Transaction (describe the transaction: ex sale of 1,500 cubic yards of concrete)
  - xiii. Company Involved
  - xiv. Address
  - xv. Address 2
  - xvi. City
  - xvii. State
  - xviii. Zip
  - xix. Company Contact Person
  - xx. Company Contact Title
  - xxi. Company Phone
  - xxii. Transaction Amount
  - xxiii. Exceptions, if any
  - xxiv. Explanation of Exceptions
5. Click "submit"
6. Review the information you just entered. If **NO**
  - a. Incorrect - click "edit" to make changes.
  - b. You need to add another transaction - click on "Add Transaction" and repeat steps 4 & 5.
  - c. Are finished - click "section completed"
7. Click on "I Electronically Submit This Report"
8. Your report has been successfully filed
9. Click "send comments and view report" if you wish to view or print you report, otherwise you can log off.