

## **NOTICE OF PROPOSED GUIDANCE DOCUMENT**

### **STATEMENTS OF ECONOMIC INTERESTS – ELECTRONIC FILING FOR STATE PUBLIC OFFICIALS AND CANDIDATES**

Pursuant to s. 227.112, Wis. Stats., the Wisconsin Ethics Commission is hereby seeking comment on Statements of Economic Interests – Electronic Filing for State Public Officials and Candidates, a proposed guidance document. This manual is prepared and published by the Wisconsin Ethics Commission pursuant to WIS. STAT. § 19.48.

#### **PUBLIC COMMENTS AND DEADLINE FOR SUBMISSION**

Comments may be submitted to the Wisconsin Ethics Commission until August 17, 2020, by:

1. Emailing [ethics@wi.gov](mailto:ethics@wi.gov), or
2. Mailing written comments to:  
P.O. Box 7125  
Madison, WI 53707-7125

#### **WEBSITE LOCATION OF FINAL GUIDANCE DOCUMENT**

The final version of this guidance document will be posted at <https://ethics.wi.gov/Pages/Resources/ResourcesOverview.aspx> to allow for ongoing comment.

#### **AGENCY CONTACT PERSON**

David P. Buerger

[David.Buerger@wisconsin.gov](mailto:David.Buerger@wisconsin.gov)

(608) 267-0951



Wisconsin Ethics Commission

PO Box 7125

Madison WI 53707-7125

Phone: (608) 266-8123

Email: [ethics@wi.gov](mailto:ethics@wi.gov)

Websites: <https://cfis.wi.gov>

<https://sei.wi.gov>

<https://ethics.wi.gov>

# STATEMENTS OF ECONOMIC INTERESTS –

## Electronic Filing for State Public Officials and Candidates

Published: June 2020

This manual includes specific statutory citations and clarifies basic reporting requirements for candidates required to file Statements of Economic Interests.

Provided pursuant to [WIS. STAT. § 19.48](#) and  
in compliance with [WIS. STAT. § 227.112](#).

# CANDIDATES - STATEMENTS OF ECONOMIC INTERESTS WEBSITE

## Table of Contents

Statements of Economic Interests - All Public Officials .....	1
Introduction .....	1
Is the information on Statements of Economic Interests publicly available? .....	1
Relevant Statutes and Other Information .....	1
Statements of Economic Interests – Candidates Only .....	2
Candidates - Positions Required to File .....	2
Candidates - When is the SEI Due? .....	2
Candidates – Before Filing your SEI .....	3
Candidates - After the SEI has been filed .....	4
How To Log On To The SEI Website .....	5
How to Reset Your Password .....	5
How to Enter your Statement of Economic Interests.....	6
How to Amend a Previously Filed Statement.....	7

Wisconsin Ethics Commission

<https://sei.wi.gov>

<https://ethics.wi.gov>

[ethics@wi.gov](mailto:ethics@wi.gov)

(608) 266-8123

# Statements of Economic Interests - All Public Officials

## Introduction

The Ethics Code, or [WIS. STAT. § 19.43](#), requires most state public officials to file a report of Statements of Economic Interests once a year with the Wisconsin Ethics Commission. Officials are required to identify a variety of interests, including securities they hold, business and clients, creditors, employers, and gifts and honoraria. This allows the public and press to watch out for possible conflicts of interest and can help public officials to be aware of issues where legal advice may be required, or recusal may be recommended. These statements cover 4 major groups of state public officials:

- 1) Appointees must file within 21 days of beginning a new position, and then annually, by April 30 of each calendar year.
- 2) Nominees must file within 21 days of their nomination, and then once confirmed to their position, annually, by April 30 of each calendar year.
- 3) Candidates for office must file a Statement within 3 days after the deadline for filing nomination papers. Spring candidates must file in the first week or two of January and fall candidates must file in the first week of June.
- 4) Reserve Judges must only file if they take a case. The SEI is due within 21 days.

The Wisconsin Ethics Commission maintains an online reporting system for SEIs. This replaces the previous paper-based reporting system. Ethics staff will provide each official required to complete an SEI a username and password. Some filers may choose to receive or submit a paper form.

## Is the information on Statements of Economic Interests publicly available?

Generally, anything submitted on an SEI is public information. However, in order to view an SEI, requestors must submit a request form and provide their name, address, and phone number. If an SEI is requested, the official that filed the SEI is notified of the requestor's information, usually within 24 hours of the information being provided.

Statements of Economic Interests do not ask for account numbers, home addresses, or other private information. State public officials should take care not to provide information that they do not wish to become public.

## Relevant Statutes and Other Information

The definition of a State Public Official and a list of officials required to file can be found in [WIS. STAT. § 19.42](#). A full list of agencies and positions required to file is available here: [Officials Required to File](#).

The due dates, late filing procedures, and waiver requests can be found in [WIS. STAT. § 19.43](#). More specific procedures on late filing and waivers are available here: [Statements of Economic Interests Standard Settlement Schedule and Waiver Policy](#).

The statutory requirements for the SEI can be found here: [WIS. STAT. § 19.44](#). More detailed instructions are listed in each section of the SEI.

## Statements of Economic Interests – Candidates Only

### Candidates - Positions Required to File

#### **Spring Candidates for the following positions must file an SEI:**

- State Superintendent of Public Instruction
- Supreme Court Justice
- Court of Appeals Judge
- Circuit Court Judge
- Municipal Judge
- Multi-Jurisdictional Judge

#### **Fall Candidates for the following positions must file an SEI:**

- Governor
- Lt. Governor
- Attorney General
- Secretary of State
- State Treasurer
- State Senator
- State Assembly
- District Attorney

All of these positions must register a candidate committee with the Ethics Commission except Municipal and Multi-Jurisdictional Judges. Those candidates will register with the municipal or county clerk, but still submit the SEI to the Ethics Commission.

### Candidates - When is the SEI Due?

For spring candidates, the SEI is due by 4:30 pm, 3 days after the nomination papers deadline. If the 3<sup>rd</sup> day after the nomination papers deadline falls on a weekend, the due date for SEIs will be extended to the next business day. Municipal judges nominated by caucus will have 5 days from their nomination to file an SEI, therefore the deadline for those candidates may be later.

For fall candidates, the SEI is due by 4:30 pm, 3 days after the nomination papers deadline. The nomination papers deadline is usually June 1<sup>st</sup>, and the SEI is due on June 4<sup>th</sup>. During years when the nomination papers deadline falls on a weekend, both the nomination papers deadline and SEI due date will be extended.

Incumbent officials must file an annual SEI, either within 21 days of starting a new term of office, or by April 30<sup>th</sup>. If an incumbent official has filed an SEI for that calendar year already, they do not have to file an additional SEI to be placed on the ballot.

More specific information with deadlines for each election is available at the Ethics Commission website here: <https://ethics.wi.gov/Pages/Ethics/StatementsOfEconomicInterests.aspx>.

The SEIs for both spring and fall candidates must be accurate as of December 31 of the calendar year before the election. The Ethics Commission will accept SEIs as early as December 1<sup>st</sup>, the first day to circulate nomination papers for the spring election. For example, we will accept 2022 SEIs beginning December 1, 2021.

## Candidates – Before Filing your SEI

Candidates must be set up in the SEI website in order to file an SEI online.

State level candidates:

- 1) Register a campaign committee in the CFIS website, at: <https://cfis.wi.gov>.
- 2) After the committee is approved in CFIS, Ethics staff will import the information into our SEI website and send the candidate an email notice with a username and password.
- 3) Candidates may file online at any time before the deadline, following the directions in the email or in this manual. If the SEI is filed correctly, an email confirmation will be sent to the candidate. If you think you have filed, but have not received an email confirmation, please contact Ethics staff.

Municipal and multi-jurisdictional judge candidates:

- 1) Municipal and multi-jurisdictional judge candidates do not register in CFIS. They will go directly to <https://sei.wi.gov> and enter their election, office, and contact information.
- 2) Ethics staff will review the information and send those candidates an email notice with a username and password.
- 3) Candidates can file online at any time before the deadline, following the directions in the email, or in this manual. If the SEI is filed correctly, an email confirmation will be sent to the candidate. If you think you have filed, but have not received an email confirmation, please contact Ethics staff.

If you are elected, you will be required to file an SEI once per year. The same website will be used, and each form will be pre-filled with the information you provided the previous year.

The second way to file an SEI is to file a physical paper form or .pdf file. To file a paper form, go to the Ethics Commission website and find the [SEI Forms page](#). You should open the ETH-1 form and the instructions. After you have completed the form, you must sign it. You can return the signed copy by email ([ethics@wi.gov](mailto:ethics@wi.gov)), fax (608-264-9319), or mail (Wisconsin Ethics Commission, P.O. Box 7125, Madison WI 53707-7125).

## Candidates - After the SEI has been filed

The Elections Commission runs a “Candidate Tracking by Office” report for each election that shows the date a candidate registered, when they filed a declaration of candidacy and their nomination papers, and when the SEI was filed. You can find this report under each election on the [Elections Commission](#) website.

After the SEI is filed, Ethics staff will manually enter the SEI filed date in the Elections Commission database. The Elections Commission may wait until the end of the day to run this report. It is normal to have a 24-48 hours delay before the SEI filed date shows up in the report. If you have questions about whether committee registration or the SEI has been properly filed, please contact the Ethics Commission. If you have other questions on that report, please contact the Election Commission.

## How To Log On To The SEI Website

1. You will receive an email with your username and password, and a link to the website.
2. Go to <https://sei.wi.gov/>.
3. In the menu bar, click on **File Your SEI**.
4. Enter your username and password.
5. Click on the **Log In** button.
6. If it is your first time logging in, you will be prompted to change your password. You must have one letter, one number, and one symbol in your new password, and it must be at least 6 digits long. Please keep in mind that you may only log in to this site once a year – please record the password where you can find it again.

## How to Reset Your Password

1. Go to <https://sei.wi.gov/>.
2. In the menu bar, click on **File Your SEI**.
3. At the bottom of the screen, click **Forgot/Reset your Password**.
4. In the **Forgot your password?** screen, enter your email address, then click **Email Link**.
5. A new password will be emailed to you.

If you have multiple emails, you will receive a notification to both your state/public email and your personal email. Your state email will function as the username, and the system will not recognize your personal email as the username. Some candidates may only have a personal email on file, and in that case, the personal email will be their username.

Once you have logged in with the password provided, the system will display a button reading “**Hello (Your.Name)!**” in the upper right corner of your screen. To manually update your password:

1. Click the “**Hello...**” button.
2. Click the **Change your password** link.
3. Enter your old password once and your new password twice, then click **Change Password**. Your password must have one letter, one number, and one symbol in your new password, and it must be at least 6 characters long.



## How to Enter your Statement of Economic Interests

1. When you first log in, you should arrive at the **Search Official Name** screen. If you have navigated to one of the other screens, click **File Your SEI** to return there.
2. Your name will be displayed in the **Active Officials List**. Click on your name. If you do not see your name, you are probably logged in under the wrong email/username – contact Ethics staff to confirm which version of your email/username is correct.
3. On the **Verify Contact Info** screen, please verify your name and contact information, including the **Work Address** or **Filer Address**. (Most correspondence will be by email. Mail will only be used by specific request). If you make any changes, click the **Save Official** button.
4. Click on **Step 2: Verify Position Information** and verify that the office and district information are correct. Only administrative users can update this information, so if changes are necessary, please contact Ethics Commission staff.
5. Click on **Step 3: File SEI**. If you do not see an SEI for the current filing year, click the green “**START SEI: (Year)**” button. If the correct filing year is already in the list, click **Edit SEI**.
  - a. The first screen is general instructions. After reading them, click the green button at the bottom – **1A: Investments - WDC**. In each screen, the green button will save your entries and move you to the next screen.
  - b. If you filed last year, the information you provided will be pre-populated for you. In each screen, make updates as necessary and click the **Save and Go To...** button at the bottom.
  - c. In the final screen, you will **Certify and Submit**.
    - i. Click the checkbox under “**I have read the accompanying instructions and certify.**”
    - ii. Click **Submit**.
  - d. You will receive a confirmation email that your SEI has been submitted. If you do not receive a confirmation email, you should contact Ethics staff to ensure the SEI has been received.
  - e. (Optional) If you wish to print a hard copy (or save a .pdf file) for your records, navigate back to the **Step 3: File SEI screen**. Click the **Print SEI** button next to the correct year. (The form may take some time to open). You may use the disk button to save or the printer button to print your SEI.

## How to Amend a Previously Filed Statement

1. Log in to the SEI website and navigate to the **File SEI** page following the directions above.
2. If you are editing the current year, click the **Edit SEI** button. If you are editing a previous year, click the **Amend Previous SEI's** tab, then click **Edit SEI** next to the filing year you want to change.
  - a. You may navigate with the **Save and Go To...** button at the bottom of each screen or using the **Go To Sections** button in the upper right. If you change something, make sure you use the **Save and Go To...** button first, otherwise your changes will not be saved.
  - b. In each screen, make updates as necessary and click the **Save and Go To...** button at the bottom.
  - c. In the final screen, you will **Certify and Submit**.
    - i. Click the checkbox under “**I have read the accompanying instructions and certify.**”
    - ii. Click **Submit**.
  - d. You will receive a confirmation email that your SEI has been submitted. The SEI will now have both a **Certified Date**, and an **Amend Date**. If you do not receive a confirmation email, you should contact Ethics Commission staff to ensure the SEI has been received.
  - e. (Optional) If you wish to print a hard copy (or a .pdf file) for your records, navigate back to the **Step 3: File SEI screen**. Click the **Print SEI** button next to the correct year. (The form may take some time to open). You may use the disk button to save or the printer button to print your SEI.



# Wisconsin Ethics Commission

Campaign Finance | Lobbying | Ethics  
101 East Wilson Street | Suite 127 | P.O. Box 7125 | Madison, WI 53703-7125  
(608) 266-8123 | [ethics@wi.gov](mailto:ethics@wi.gov) | <https://ethics.wi.gov>

---

## CERTIFICATION OF AGENCY HEAD

I have reviewed this guidance document or proposed guidance document and I certify that it complies with sections 227.10 and 227.11 of the Wisconsin Statutes. I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is not explicitly required or explicitly permitted by a statute or a rule that has been lawfully promulgated. I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is more restrictive than a standard, requirement, or threshold contained in the Wisconsin Statutes.

A handwritten signature in black ink, appearing to read 'D. Carlton, Jr.' with a stylized flourish at the end.

Daniel Carlton, Jr.  
Commission Administrator  
Wisconsin Ethics Commission

---

*Wisconsin Ethics Commissioners*

Mac Davis | David R. Halbrooks | Katie McCallum | Tamara Packard | Pat Strachota | Timothy Van Akkeren

*Administrator*

Daniel A. Carlton, Jr.