West Virginia Ethics Commission



Disclosure of Interested Parties to Contracts

Pursuant to *W. Va. Code* § 6D-1-2, a state agency may not allow a vendor to perform work on a contract, or a series of related contracts, that has/have an actual or estimated value of \$1 million or more until the business entity submits to the state agency a Disclosure of Interested Parties to the applicable contract. In addition, the business entity awarded a contract is obligated to submit a supplemental Disclosure of Interested Parties reflecting any new or differing interested parties to the contract within 30 days following the completion or termination of the applicable contract.

For purposes of complying with these requirements, the following definitions apply:

"Business entity" means any entity recognized by law through which business is conducted, including a sole proprietorship, partnership or corporation, but does not include publicly traded companies listed on a national or international stock exchange.

"Interested party" or "Interested parties" means:

- (1) A business entity performing work or service pursuant to, or in furtherance of, the applicable contract, including specifically sub-contractors;
- (2) the person(s) who have an ownership interest equal to or greater than 25% in the business entity performing work or service pursuant to, or in furtherance of, the applicable contract. (This subdivision does not apply to a publicly traded company); and
- (3) the person or business entity, if any, that served as a compensated broker or intermediary to actively facilitate the applicable contract or negotiated the terms of the applicable contract with the state agency. (This subdivision does not apply to persons or business entities performing legal services related to the negotiation or drafting of the applicable contract.)

"State agency" means a board, commission, office, department or other agency in the executive, judicial or legislative branch of state government, including publicly funded institutions of higher education: Provided, that for purposes of W. Va. Code § 6D-1-2, the West Virginia Investment Management Board shall not be deemed a state agency nor subject to the requirements of that provision.

The contracting business entity must complete this form and submit it to the state agency prior to beginning work under a contract and to complete another form within 30 days of contract completion or termination.

This form was created by the State of West Virginia Ethics Commission, 210 Brooks Street, Suite 300, Charleston, WV 25301-1804. Telephone: (304)558-0664; fax: (304)558-2169; e-mail: ethics@wv.gov; website: www.ethics.wv.gov.

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(Required by W. Va. Code § 6D-1-2)

| Name of Contracting Business Entity: | Address: |
|---|---|
| Name of Authorized Agent: | Address: |
| Contract Number: | Contract Description: |
| Governmental agency awarding contract: | |
| ☐ Check here if this is a Supplemental Discl | osure |
| List the Names of Interested Parties to the corbusiness entity for each category below (attach ac | ntract which are known or reasonably anticipated by the contracting dditional pages if necessary): |
| Subcontractors or other entities performing □ Check here if none, otherwise list entity/ind | |
| 2. Any person or entity who owns 25% or mo☐ Check here if none, otherwise list entity/ind | ore of contracting entity (not applicable to publicly traded entities) lividual names below. |
| 3. Any person or entity that facilitated, or a services related to the negotiation or drafti ☐ Check here if none, otherwise list entity/ind | |
| Signature: | Date Signed: |
| Notary Verification | |
| State of | , County of: |
| I,above, being duly sworn, acknowledge that the perjury. | , the authorized agent of the contracting business entity listed Disclosure herein is being made under oath and under the penalty o |
| Taken, sworn to and subscribed before me this | |
| | , day of,, |