093\_SB2001sam001

## SDS093 00012 CCN 00012 a

- 1 AMENDMENT TO SENATE BILL 2001
- 2 AMENDMENT NO. \_\_\_\_. Amend Senate Bill 2001 by replacing
- 3 everything after the enacting clause with the following:
- 4 "Section 5. The Illinois Governmental Ethics Act is
- 5 amended by adding Section 4A-100 and changing Sections
- 6 4A-102, 4A-103, 4A-104, and 4A-106 as follows:
- 7 (5 ILCS 420/4A-100) (New)
- 8 <u>420/4A-100. Definitions</u>
- 9 <u>Sec. 4A-100. As used in this Act:</u>
- 10 (a) "Creditor" means a person or entity engaged in the
- 11 <u>business</u> of <u>lending money or extending credit</u>, or any other
- 12 person or entity that has loaned money or extended credit.
- (b) "Immediate family member" means a spouse, parent,
- brother, sister, or child of the reporting individual.
- 15 (c) "Gift" means any gratuity, discount, entertainment,
- 16 <u>hospitality</u>, <u>loan</u>, <u>forbearance</u>, <u>or other tangible or</u>
- 17 <u>intangible item having monetary value including, but not</u>
- 18 <u>limited to, cash, food and drink, and honoraria for speaking</u>

- 1 <u>engagements related to or attributable to government</u>
- 2 <u>employment or the official position of an employee, member,</u>
- 3 <u>officer, or judge.</u>
- 4 (d) "Income" means income derived from any source,
- 5 <u>including but not limited to the following: (i) compensation</u>
- for services, including fees, commissions, and similar items;
- 7 (ii) gross income derived from business (and net income if
- 8 the person elects to include it); (iii) gains received from
- 9 <u>dealings</u> in property; (iv) interest; (v) rents; (vi)
- 10 royalties; (vii) dividends; (viii) annuities; (ix) income
- 11 <u>from life insurance and endowment contracts; (x) pensions;</u>
- 12 (xi) income from discharge of indebtedness; (xii)
- distributive share of partnership income; and (xiii) income
- 14 <u>from an interest in an estate or trust.</u>
- 15 (5 ILCS 420/4A-102) (from Ch. 127, par. 604A-102)
- 16 Sec. 4A-102. The statement of economic interests
- 17 required by this Article shall include the economic interests
- 18 of the person making the statement as provided in this
- 19 Section. The interest (if constructively controlled by the
- 20 person making the statement) of a spouse or any other
- 21 <u>immediate family member</u> party, shall be considered to be the
- 22 same as the interest of the person making the statement.
- 23 Campaign receipts shall not be included in this statement.
- 24 (a) The following interests shall be listed by all
- 25 persons required to file:
- 26 (1) The source, type, and amount or value of income
- 27 <u>(other than income referred in subparagraph (2)) from any</u>
- 28 <u>source other than from current employment by the State of</u>
- 29 <u>Illinois.</u>
- 30 (2) The source and type of income which consists of
- income from dividends, rents, interest, trusts, and
- 32 <u>capital gains, received during the preceding calendar</u>

1	year which exceeds \$200 in amount or value, and an
2	indication of which of the following categories the
3	amount or value of such item of income is within:
4	(i) not more than \$1,000,
5	(ii) greater than \$1,000 but not more than
6	<u>\$2,500,</u>
7	(iii) greater than \$2,500 but not more than
8	<u>\$5,000,</u>
9	(iv) greater than \$5,000 but not more than
10	<u>\$15,000,</u>
11	(v) greater than \$15,000 but not more than
12	<u>\$50,000,</u>
13	(vi) greater than \$50,000 but not more than
14	\$100,000,
15	(vii) greater than \$100,000 but not more than
16	<u>\$1,000,000,</u>
17	(viii) greater than \$1,000,000 but not more
18	than \$5,000,000, or
19	(ix) greater than \$5,000,000.
20	(3) The source, date, and amount of payments made
21	to charitable organizations in lieu of honoraria with a
22	corresponding list of recipients of all such payments,
23	together with the dates and amounts of such payments.
24	(4) The identity and category of value of any
25	interest in property held during the preceding calendar
26	year in a trade or business or for investment or
27	production of income, if the property has a fair market
28	value in excess of \$1,000 at the close of the preceding
29	calendar year. This item does not include any personal
30	liability owed (i) to the person filing the statement by

his or her spouse, parent, brother, sister, or child or

(ii) to the spouse of the person filing the statement.

This item also does not include deposits aggregating

\$5,000 or less in a personal savings account, including

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1	certificates of deposit and any other form of deposit in
2	a bank, savings and loan association, credit union, or
3	similar financial institution.
4	(5) The identity and category of value of the total
5	liabilities in excess of \$5,000 owed at any time during
6	the preceding calendar year to any creditor other than
7	(i) the spouse, parent, brother, sister, or child of the
8	person filing the statement or (ii) the parent, brother,
9	sister, or child of the spouse of the person filing the
10	statement. This item does not include:
11	(A) Any mortgage secured by real property that
12	is a personal residence of the person filing the
13	statement.
14	(B) Any loan secured by a personal motor
15	vehicle, household furniture, or appliances, if the
16	loan does not exceed the purchase price of the item
17	or items that secure it.
18	With regard to revolving charge accounts, the person
19	filing the statement need report only those outstanding
20	liabilities in excess of \$10,000 at the close of the
21	preceding calendar year.
22	(6) A brief description, the date, and the category
23	of value of any purchase, sale, or exchange in excess of
24	\$1,000 during the preceding calendar year of (i) real
25	property other than real property used solely for a
26	personal residence of the person filing the statement or
27	his or her spouse or (ii) stocks, bonds, commodity
28	futures, and other forms of securities. This item does
29	not apply to transactions solely by and between the
30	person filing the statement, his or her spouse, and his
31	or her dependent children.
32	(7) The identity of all positions held during the
33	preceding calendar year as an officer, director, trustee,

partner, proprietor, representative, employee, or

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consultant of any corporation, company, firm, partnership, other business enterprise, non-profit organization, labor organization, or educational or other institution of the State, a unit of government, a school district, or the United states. This item does not apply to positions in religious, social, fraternal, or political organizations or positions of a solely honorary nature.

- (8) The date of, the parties to, and a description of the terms of any agreement or arrangement with respect to (i) future employment; (ii) a leave of absence from the unit of government in relation to which the person is required to file the statement; (iii) contributions or payments by a former employer other than the unit of government in relation to which the person is required to file the statement; and (iv) continuing participation in an employee welfare or benefit plan with a former employer.
- (9) The source, date, and amount of honoraria aggregating \$200 or more during the preceding calendar year.
- (10) The source, date, and amount or value of any gift or gifts valued singularly or in the aggregate in excess of \$500 during the preceding calendar year to the person filing the statement, his or her spouse, or an immediate family member of the person filing the statement if the gift:
  - (A) Is from a prohibited source as defined by the State Gift Ban Act and is within any of the following captioned items listed in Section 15 of that Act, regardless of whether the person filing the statement is otherwise subject to the State Gift Ban Act: item purchased or disposed of; defense fund contribution; competitive award; honorary degree;

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educational mission; golf; and tennis.

A gift that is listed under a different item of interest in this subsection need not be listed as a gift. The--name, --address--and--type---of---practice---of---any professional---organization--or--individual--professional practice-in-which-the-person-making-the-statement-was--an officer, --director, --associate, -partner-or-proprietor, -or served-in-any-advisory-capacity, --from--which--income--in excess-of-\$1200-was-derived-during-the-preceding-calendar year;

- (2)--The-nature-of-professional-services-(other-than services--rendered--to-the-unit-or-units-of-government-in relation-to-which-the-person-is-required-to-file)-and-the nature-of-the-entity-to-which-they-were-rendered-if--fees exceeding--\$5,000--were--received--during--the--preceding calendar--year--from-the-entity-for-professional-services rendered-by-the-person-making-the-statement.
- (3)--The-identity-(including-the--address--or--legal description--of--real--estate)--of-any-capital-asset-from which-a-capital-gain-of-\$5,000-or-more--was--realized--in the-preceding-calendar-year.
- (11) (4) The name of any unit of government which has employed the person making the statement during the preceding calendar year other than the unit or units of government in relation to which the person is required to file.
- (5)--The-name-of-any-entity-from--which--a--gift--or gifts,--or--honorarium--or-honoraria,-valued-singly-or-in the-aggregate-in-excess-of-\$500,-was-received-during--the preceding-calendar-year.
- (b) The following interests shall also be listed by persons listed in items (a) through (f) of Section 4A-101:
- (1)--The-name-and-instrument--of--ownership--in--any entity--doing-business-in-the-State-of-Illinois,-in-which

an-ownership-interest-held-by-the-person-at-the-date-of filing--is--in-excess-of-\$5,000-fair-market-value-or-from which-dividends-of--in--excess--of--\$1,200--were--derived during--the-preceding-calendar-year--(In-the-case-of-real estate,--location--thereof--shall--be--listed--by--street address,-or-if-none,-then-by-legal-description).-No--time or--demand--deposit--in--a-financial-institution,-nor-any debt-instrument-need-be-listed;

- (2)--Except-for-professional-service--entities,--the name--of--any--entity--and-any-position-held-therein-from which-income-of-in-excess-of-\$1,200--was--derived--during the--preceding-calendar-year,-if-the-entity-does-business in-the-State-of-Illinois.-No-time-or-demand-deposit-in--a financial--institution,--nor--any-debt-instrument-need-be listed.
- the name of the lobbyist and specifying the legislative matter or matters which are the object of the lobbying activity,—and—describing—the—general—type—of—economic activity—of—the—client—or—principal—on—whose—behalf—that person—is—lobbying.
- (c) The following interests shall also be listed by persons listed in items (g), (h), (i), and (l) of Section 4A-101:
  - (1) The name and instrument of ownership in any entity doing business with a unit of local government in relation to which the person is required to file if the ownership interest of the person filing is greater than \$5,000 fair market value as of the date of filing or if dividends in excess of \$1,200 were received from the entity during the preceding calendar year. (In the case of real estate, location thereof shall be listed by

street address, or if none, then by legal description).

No time or demand deposit in a financial institution, nor

any debt instrument need be listed.

- (2) Except-for-professional-service--entities,--the name--of--any--entity--and-any-position-held-therein-from which-income-in-excess-of-\$1,200-was-derived--during--the preceding--calendar-year-if-the-entity-does-business-with a-unit-of-local--government--in--relation--to--which--the person--is-required-to-file.-No-time-or-demand-deposit-in a-financial-institution,-nor-any-debt-instrument-need--be listed.
- (3) The name of any entity and the nature of the governmental action requested by any entity which has applied to a unit of local government in relation to which the person must file for any license, franchise or permit for annexation, zoning or rezoning of real estate during the preceding calendar year if the ownership interest of the person filing is in excess of \$5,000 fair market value at the time of filing or if income or dividends in excess of \$1,200 were received by the person filing from the entity during the preceding calendar year.
- 23 (Source: P.A. 92-101, eff. 1-1-02.)
- 24 (5 ILCS 420/4A-103) (from Ch. 127, par. 604A-103)
- Sec. 4A-103. The statement of economic interests required by this Article to be filed with the Secretary of State shall be filled in by typewriting or hand printing, shall be verified, dated, and signed by the person making statement on a form prescribed by the Secretary of State that <u>shall</u> substantially <u>replicate the design of the 2002 Public</u> Financial Disclosure Report forms employed by the United States Congress for purposes of complying with the Ethics in Government Act of 1978.

1	STATEMENT-OF-ECONOMIC-INTEREST
2	(TYPE-OR-HAND-PRINT)
3	
4	(name)
5	
6	(eachofficeorpositionofemploymentforwhichthis
7	statement-is-filed)
8	
9	(fullpostofficeaddresstowhichnotificationofan
10	examination-of-this-statement-should-be-sent)
11	GENERAL-DIRECTIONS:
12	The-interest-(if-constructively-controlled-by-theperson
13	makingthestatement)-of-a-spouse-or-any-other-party,-shall
14	be-considered-to-be-the-same-as-the-interestoftheperson
15	making-the-statement.
16	Campaignreceiptsshallnotbeincludedinthis
17	statement.
18	If-additional-space-is-needed,-please-attach-supplemental
19	listing.
20	Thename,addressandtypeofpracticeofany
21	professional-organization-or-individual-professional-practice
22	inwhichthepersonmakingthe-statement-was-an-officer,
23	director,-associate,-partner-or-proprietor,-or-served-inany
24	advisoryeapacity,from-which-income-in-excess-of-\$1200-was
25	derived-during-the-preceding-calendar-year; List-the-name-and
26	instrument-of-ownership-in-any-entity-doing-businessinthe
27	StateofIllinois,in-which-the-ownership-interest-held-by
28	the-person-at-the-date-of-filing-is-in-excess-of-\$5,000fair
29	market-value-or-from-which-dividends-in-excess-of-\$1,200-were
30	derivedduring-the-preceding-calendar-year(In-the-case-of
31	real-estate,-locationthereofshallbelistedbystreet
32	address,erif-nene,-then-by-legal-description.)-Ne-time-er
33	demand-deposit-inafinancialinstitution,noranydebt
34	instrument-need-be-listed.

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1
     Ethics-Act---I-understand--that--the--penalty--for--willfully
2
     filing-a-false-or-incomplete-statement-shall-be-a-fine-not-to
3
     exceed--$1,000--or--imprisonment-in-a-penal-institution-other
4
     than-the-penitentiary-not-to-exceed-one-year,--or--both--fine
5
     and-imprisonment-"
6
     7
     (date-of-filing)---(signature-of-person-making-the-statement)
     (Source: P.A. 92-101, eff. 1-1-02.)
8
        (5 ILCS 420/4A-104) (from Ch. 127, par. 604A-104)
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        Sec. 4A-104. The statement of economic interests required
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     by this Article to be filed with the county clerk shall be
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     filled in by typewriting or hand printing, shall be verified,
     dated, and signed by the person making the statement on a
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14
     form prescribed by the Secretary of State that shall and
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     shall-contain substantially replicate the design of the 2002
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     Public Financial Disclosure Report forms employed by the
17
     United States Congress for purposes of complying with the
     Ethics in Government Act of 1978. the-following:
18
19
                  STATEMENT-OF-ECONOMIC-INTERESTS
2.0
                      (TYPE-OR-HAND-PRINT)
21
     22
     (Name)
23
     24
     (each--office--or--position--of--employment--for--which--this)
25
     26
     (full--post--office--address--to--which--notification--of--an
27
     examination-of-this-statement-should-be-sent)
28
     GENERAL-DIRECTIONS:
29
        The--interest-(if-constructively-controlled-by-the-person
30
     making-the-statement)-of-a-spouse-or-any-other--party,--shall
31
     be--considered--to--be-the-same-as-the-interest-of-the-person
32
     making-the-statement.
33
        Campaign--receipts--shall--not--be---included---in---this
```

1 statement.

2	If-additional-space-is-needed,-please-attach-supplemental				
3	listing.				
4	1Listthenameandinstrumentof-ownership-in-any				
5	entity-doing-business-with-aunitoflocalgovernmentin				
6	relationtowhichthe-person-is-required-to-file,-in-which				
7	the-ownership-interest-held-by-thepersonatthedateof				
8	filing-is-in-excess-of-\$5,000-fair-market-value-or-from-which				
9	dividendsinexcessof\$1,200werereceivedduring-the				
10	preceding-calendaryear(Inthecaseofrealestate,				
11	locationthereofshallbelisted-by-street-address,-or-if				
12	none,-then-by-legal-description.)-No-time-ordemanddeposit				
13	ina-financial-institution,-nor-any-debt-instrument-shall-be				
14	listed.				
15	Business I	instrument-of	Position-of		
16	Entity 0	)wnersh <del>i</del> p	Management		
17					
18					
19					
20	Listthename,addressandtypeofpracticeofany				
21	professionalorganiz	professionalorganizationinwhichtheperson-making-the			
22	statement-was-an-offi	eer,director,as	sociate,partneror		
23	proprietor,orserv	edin-any-advisery-	-eapacity,-from-which		
24	income-in-excess-of-\$	31,200-was-derived-du	ringthepreceding		
25	calendar-year.				
26	Name A	ddress	Type-of-Practice		
27					
28					
29					
30	3Listthena	tureofprofession	nal-services-rendered		
31	(other-than-to-the-unitorunitsoflocalgovernmentin				
32	relationtowhich	theperson-is-requi	red-to-file)-to-each		
33	entity-from-which-inc				
34	professionalservice	s-rendered-during-th	ne-preceding-calendar		

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1
     calendar-year-other-than-the-unit-or-units-of--government--in
 2
     relation-to-which-the-person-is-required-to-file.
 3
     4
     5
        8.--List--the--name--of--any--entity-from-which-a-gift-or
 б
     gifts,-or-honorarium-or-honoraria,-valued-singly--or--in--the
 7
     aggregate---in--excess--of--$500,--was--received--during--the
 8
     preceding-calendar-year-
9
     10
     VERIFICATION:
11
        "I-declare-that--this--statement--of--economic--interests
12
     (including--any--accompanying--schedules--and-statements)-has
13
     been-examined-by-me-and-to--the--best--of--my--knowledge--and
14
     belief--is--a--true,--correct--and--complete--statement-of-my
15
     economic-interests-as-required-by-the--Illinois--Governmental
16
     Ethies--Act---I--understand--that--the-penalty-for-willfully
17
     filing-a-false-or-incomplete-statement-shall-be-a-fine-not-to
     exceed-\$1,000-or-imprisonment-in-a--penal--institution--other
18
19
     than--the--penitentiary--not-to-exceed-one-year,-or-both-fine
20
     and-imprisonment."
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     22
     {date-of-filing}---{signature-of-person-making-the-statement}
23
     (Source: P.A. 92-101, eff. 1-1-02.)
24
        (5 ILCS 420/4A-106) (from Ch. 127, par. 604A-106)
                      The statements of economic interests
25
             4A-106.
     required of persons listed in items (a) through (f) and item
26
     (j) of Section 4A-101 shall be filed with the Secretary of
27
28
             The statements of economic interests required of
     persons listed in items (g), (h), (i), (k), and (l) of
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     Section 4A-101 shall be filed with the county clerk of the
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     county in which the principal office of the unit of local
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     government with which the person is associated is located.
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     If it is not apparent which county the principal office of a
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1 unit of local government is located, the chief administrative 2 officer, or his or her designee, has the authority, for purposes of this Act, to determine the county in which the 3 4 principal office is located. On or before February 1 5 annually, (1) the chief administrative officer of any State б agency in the executive, legislative, or judicial branch 7 employing persons required to file under item (f) of Section 8 4A-101 shall certify to the Secretary of State the names 9 mailing addresses of those persons, and (2) the chief administrative officer, or his or her designee, of each unit 10 11 of local government with persons described in items (h), and (k) of Section 4A-101 shall certify to the appropriate 12 county clerk a list of names and addresses of persons 13 described in items (h), (i) and (k) of Section 4A-101 that 14 are required to file. In preparing the lists, each chief 15 16 administrative officer, or his or her designee, shall set out the names in alphabetical order. 17 18

On or before February 1 annually, the secretary to the board of education for local school councils established pursuant to Section 34-2.1 of the School Code shall certify to the county clerk the names and mailing addresses of those persons described in item (1) of Section 4A-101.

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On or before April 1 annually, the Secretary of State shall notify (1) all persons whose names have been certified to him under item (f) of Section 4A-101, and (2) all persons described in items (a) through (e) and item (j) of Section 4A-101, other than candidates for office who have filed their statements with their nominating petitions, of the requirements for filing statements of economic interests. A person required to file with the Secretary of State by virtue of more than one item among items (a) through (f) and item (j) shall be notified of and is required to file only one statement of economic interests relating to all items under which the person is required to file with the Secretary of

1 State.

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2 On or before April 1 annually, the county clerk of each county shall notify all persons whose names have been 3 4 certified to him under items (g), (h), (i), (k), and (l) of 5 Section 4A-101, other than candidates for office who have 6 filed their statements with their nominating petitions, of 7 the requirements for filing statements of economic interests. 8 A person required to file with a county clerk by virtue of 9 more than one item among items (g), (h), (i), (k), and shall be notified of and is required to file only one 10 11 statement of economic interests relating to all items under which the person is required to file with that county clerk. 12 Except as provided in Section 4A-106.1, the notices 13 provided for in this Section shall be in writing and 14 deposited in the U.S. Mail, properly addressed, first class 15 16 postage prepaid, on or before the day required by this Section for the sending of the notice. A certificate executed 17 18 by the Secretary of State or county clerk attesting that he has mailed the notice constitutes prima facie evidence 19 thereof. 20 From the lists certified to him under this Section of 21 22 persons described in items (g), (h), (i), (k), and (l) of 23 Section 4A-101, the clerk of each county shall compile an alphabetical listing of persons required to file statements 24 25 of economic interests in his office under any of those items. As the statements are filed in his office, the county clerk 26 shall cause the fact of that filing to be indicated on the 27 alphabetical listing of persons who are required to file 28 statements. Within 30 days after the due dates, the county 29 30 clerk shall mail to the State Board of Elections a true copy of that listing showing those who have filed statements. 31 32 The county clerk of each county shall note upon the alphabetical listing the names of all persons required to 33 file a statement of economic interests who failed to file a

- 1 statement on or before May 1. It shall be the duty of the
- 2 several county clerks to give notice as provided in Section
- 3 4A-105 to any person who has failed to file his or her
- 4 statement with the clerk on or before May 1.
- 5 Any person who files or has filed a statement of economic
- 6 interest under this Act is entitled to receive from the
- 7 Secretary of State or county clerk, as the case may be, a
- 8 receipt indicating that the person has filed such a
- 9 statement, the date of such filing, and the identity of the
- 10 governmental unit or units in relation to which the filing is
- 11 required.
- 12 The Secretary of State may employ such employees and
- 13 consultants as he considers necessary to carry out his duties
- 14 hereunder, and may prescribe their duties, fix their
- 15 compensation, and provide for reimbursement of their
- 16 expenses.
- 17 All statements of economic interests filed under this
- 18 Section shall be converted into an electronic form by the
- 19 <u>Secretary of State and shall be posted on the Secretary of</u>
- 20 <u>State's website</u> available-for-examination-and-copying-by--the
- 21 public at--all--reasonable--times. Each--person-examining-a
- 22 statement--must--first--fill--out--a--form--prepared--by--the
- 23 Secretary--of--State--identifying--the--examiner---by---name,
- occupation, -- address -- and -- telephone -- number, -and -listing the
- 25 date-of-examination-and-reason--for--such--examination----The
- 26 Secretary--of--State--shall--supply--such-forms-to-the-county
- 27 elerks-annually-and-replenish-such-forms-upon-request.
- 28 The-Secretary-of-State-or-county-clerk,-as-the--case--may
- be,--shall--promptly--notify--each--person-required-to-file-a
- 30 statement--under--this--Article--of--each--instance---of--an
- 31 examination--of--his--statement--by--sending--him-a-duplicate
- 32 original-of-the-identification-form-filled-out-by-the--person
- 33 examining-his-statement.
- 34 (Source: P.A. 92-101, eff. 1-1-02.)

- 1 Section 99. Effective date. This Act takes effect
- 2 January 1, 2004.".