

FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST STATEMENT – EMPLOYEES (UTS110)

Name of Employee:

Position Held:

If you are required to report any financial activity for your spouse or dependent child on this form, enter the spouse's or child's full name below.

Name of Spouse:

If spouse is self-employed, nature of occupation:

Name of Dependent Child 1:

If child is self-employed, nature of occupation:

Name of Dependent Child 2:

If child is self-employed, nature of occupation:

Name of Dependent Child 3:

If child is self-employed, nature of occupation:

SUBSTANTIAL INTERESTS IN BUSINESS ENTITIES

List each business entity in which you, your spouse, or a dependent child has a substantial interest. Also indicate the position held with the business entity, whether any compensation has been received from the business entity, and the category of the type of interest as provided by Subsection (c) below.

For purposes of this section:

(a) "Business entity" means any entity recognized by law through which business for profit is conducted, including a sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership, or trust.

(b) "Compensation" does not include sources of "passive income," such as alimony, child support, interest on savings and investments, inheritances, annuities, pensions, or dividends.

(c) "Substantial interest" in a business entity means:

- (1) a controlling interest;
- (2) ownership of more than 10 percent of the voting interest;
- (3) ownership of more than \$25,000 of the fair market value;
- (4) a direct or indirect participating interest by shares, stock, or otherwise, regardless of whether voting rights are included, in more than 10 percent of the profits, proceeds, or capital gains;
- (5) service as a member of the board of directors or other governing board, including a trustee or advisory director;
- (6) service as an officer; or
- (7) service as an employee.

This section does not require the disclosure of any ownership of shares in a publicly traded mutual fund or similar investment vehicle in which the person does not exercise any discretion regarding the investment of the

assets of the fund or other investment vehicle.

Individual:

Name of Business Entity:

Position Held:

Compensation: (Yes/No)

Category of Interest (1 through 7 above):

Individual:

Name of Business Entity:

Position Held:

Compensation: (Yes/No)

Category of Interest (1 through 7 above):

Individual:

Name of Business Entity:

Position Held:

Compensation: (Yes/No)

Category of Interest (1 through 7 above):

Individual:

Name of Business Entity:

Position Held:

Compensation: (Yes/No)

Category of Interest (1 through 7 above):

SERVICE ON NONPROFIT BOARDS

List each nonprofit corporation in which you, your spouse, or your dependent child served as a member of the governing board, including a trustee or advisory director, or served as an officer.

Individual:

Name of Nonprofit Corporation:

Office or Position Held:

Individual:

Name of Nonprofit Corporation:

Office or Position Held:

Individual:

Name of Nonprofit Corporation:

Office or Position Held:

Individual:

Name of Nonprofit Corporation:

Office or Position Held:

GIFTS

Identify any person or entity that has given a gift of anything of value in the preceding calendar year that exceeds \$250 in value to you, your spouse, or your dependent children. Do not include gifts received from:

- (1) your parent, child, sibling, grandparent, or grandchild;
- (2) the spouse of an individual listed in Paragraph (1); or
- (3) the parent, child, sibling, grandparent, or grandchild of your spouse.

Individual:

Donor of Gift:

Brief Description of Gift:

Individual:

Donor of Gift:

Brief Description of Gift:

Individual:

Donor of Gift:

Brief Description of Gift:

Individual:

Donor of Gift:

Brief Description of Gift:

RELATIONSHIPS WITH UT SYSTEM

To the best of your knowledge, do any of the entities or donors identified above have any business relationship with the U.T. System or any of its institutions?

Yes No

If yes, provide the name of the entity and a brief description of the relationship with the U.T. System or the institution.

Entity or Donor:

Description of Relationship:

Entity or Donor:

Description of Relationship:

Entity or Donor:

Description of Relationship:

Entity or Donor:

Description of Relationship:

(Continue to next page)

ACKNOWLEDGMENT

By executing this document, I acknowledge that I have read the Standards of Conduct provided by Section 572.051, Government Code, and the Conflict of Interest policy under the Regents' *Rules and Regulations*, Rule 30104.¹ The information I have provided is for the purpose of assuring compliance with the Standards of Conduct and the Regents' *Rules and Regulations* and disclosing possible conflicts of interest. I understand that it is my responsibility to comply with the Standards of Conduct, the Regents' *Rules and Regulations*, and any other applicable state law, rule, or policy governing conflicts of interest.

CERTIFICATION

I hereby certify that to the best of my knowledge and belief the information provided by me in this financial disclosure statement is true and correct.

Signature: _____

Date: _____

REVIEW BY DEPARTMENT HEAD

I am head of the department in which this employee works. I have reviewed the information provided by the employee in this financial disclosure statement.

Signature: _____

Printed Name: _____

Title and Department: _____

Date: _____

NOTICE ABOUT INFORMATION LAWS

With few exceptions, you are entitled on your request to be informed about the information U.T. System collects about you. Under Sections 552.023 and 559.002 of the Texas Government Code, you are entitled to receive and review the information. Under Section 559.004 of the Texas Government Code, you are entitled to have U.T. System correct information about you that is held by U.T. System and that is incorrect, in accordance with the procedures set forth in the systemwide policy, UTS139. The information that U.T. System Administration collects will be retained and maintained as required by Texas records retention laws (Section 441.180 et seq. of the Texas Government Code) and rules. Different types of information are kept for different periods of time.

¹ These provisions may be found on the U.T. System website at www.utsystem.edu/ogc/ethics/homepage.htm.