

**I N S T R U C T I O N S**  
**2008 Annual Disclosure Statement**  
**of External Interests and Time Commitments**  
**Part I and II Interactive .pdf documents**

As a convenience to filers, Part I and Part II forms have been specially formatted to accept keyboarded data when the form is viewed on the web or on your computers' shared drive. You may enter information in the form while it is open in your browser or you may download and save the blank form to disk and complete it later.

**To fill out a PDF form (Acrobat Reader)**

1. Select the hand tool, which is a cursor shaped like a hand.
2. Position the cursor inside a form field, click, then type. The cursor also allows you to select a button, a check box, or a radio button.

If you select a text form field, the I-beam cursor appears. The I-beam cursor allows you to type text into a field.

This form contains some questions that require you to check an appropriate box or fill in a radio button. When you move the hand cursor over these fields, it will become a hand with a pointing index finger. Clicking on a box when the pointing finger is showing will put a check mark in that box or fill in the radio button.

3. After entering text or selecting a button, check box, or radio button, do one of the following:
  - Press Tab to accept the form field change and go to the next form field.
  - Press Shift + Tab to accept the form field change and go to the previous form field.
  - In a multi-line textbox, Enter or Return goes to the next line in the same form field.
4. Once you have filled in the appropriate form fields, use your mouse to select an area of the form outside of a form field before attempting to print the form. You can reset or print the form by using the appropriate button on the last page of the document.
5. Print a copy of the Part II form before Closing Acrobat Reader.

**NOTE:** If you use Acrobat Reader to complete the Part II form, you must print out a completed form for your records and for your department. Acrobat Reader cannot save the changes you make to the form.

**To fill out a PDF form (Acrobat Complete)**

Follow instructions 1-4 above.

**NOTE:** You may use the save button on the last page of the document to save the form in one of several formats, including .rtf or .pdf. Print a copy from the saved document.

Name:

Net ID:

Title:

Department/College:

**CONFIDENTIAL**  
**2008 Annual Disclosure Statement of**  
**External Interests and Time Commitments**  
**Part II**

If you answered **YES** to any of the activities in Part I, Question **B** ,  
please complete the corresponding section(s) in this form.

*Please disclose:*

1. Any outside sources of compensation (other than the activities reported in Part I, Question A, and excluding income from publications or other scholarly works). **—> Go to page 3**
2. Any external managerial responsibilities (including self-employment). **—> Go to page 5**
3. Any equity interest in any business related to your professional activities at Cornell whose value may have been influenced by the exercise of your professional duties at Cornell. **—> Go to page 6**
4. A policy position and/or receipt of more than \$500 from any for-profit business (excluding consulting income) whose activities relate to your professional activities at Cornell. **—> Go to page 8**
5. Employment or use (in either paid or unpaid capacity) of the services of Cornell students or staff over whom you exercise supervisory or academic responsibility in your role at the University, for activities external to Cornell. **—> Go to page 10**
6. Use of Cornell facilities, equipment or staff services to support consulting at a for-profit business or some other commercial activity. **—> Go to page 11**
7. Any financial interest in any contract, sale or other transaction – that you are aware of – to which Cornell was a party and whose outcome you had any perceived ability to influence. **—> Go to page 11**
8. Any other situations, not listed above, that you may reasonably foresee as creating an actual or perceived conflict of interest or conflict of commitment between your role at Cornell and an outside interest. **—> Go to page 11**

I certify that the information on this disclosure statement is true to the best of my knowledge. I supply this information for confidential review by the University and I do not authorize its release for any other use. I agree to disclose future activity to my Department Chair before committing to it.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Please complete and return this form to your  
Department Chair or Unit Head**

## *Definitions*

**Activities:** The activities of a business *include* both direct activities of that business and the activities of any entities which that business controls.

**Business:** Any corporation, partnership, proprietorship, firm, franchise, association, holding company, joint stock company, receivership, trust, or any other legal entity organized for profit. It *does not include* mutual funds over which you have no control, or any governmental committee, community, political, academic, charitable, religious, social, or professional nonprofit organization.

**Contracts:** *Excludes* the terms of your own or any family member's employment contract with the University.

**Cornell:** *Includes* all units operated by the University.

**Equity interest:** Ownership or control of stock, stock options, or other investment instruments.

**Facilities:** *Excludes* your office, office equipment and incidental supplies (e.g. personal computers and local telephone service), libraries, and commonly available services (e.g. copying, FAX, long-distance telephone service) for which you reimburse Cornell.

**Family:** Spouse, affectional partner, children, siblings, parents, dependents, or members of your household.

**Policy position:** A director, officer, partner, manager, or agent in any managerial position.

**Receipts:** *Include* loans, gifts, royalties and earned income other than consulting fees. *Exclude* royalties from books or other scholarly works and unearned income. *Exclude* grants, contracts, or any other sums that you or your family member receive from Cornell, no matter what the original source.

**Staff Services:** *Excludes* infrequent secretarial support.

# 1. Consulting and Other Outside Compensation

Please show *all* sources of compensation (including self-employment) from outside activities that you have received from Jan. 1 - Dec. 31, 2008 and provide the number of days effort for each. (If you were paid or self-employed by the hour for a specific task, divide the number of hours paid or devoted to the task by 8 to obtain the number of days.) Please also estimate the number of days effort committed for 2009.

Do not include income from publications or other scholarly works, occasional lectures, seminars or participation in panels at universities and other nonprofit organizations for which you receive compensation. Also, do not include income earned while on unpaid leave or during the summer for those on 9-month appointments unless you are simultaneously receiving salary from a granting agency for services performed during that time. Furthermore, individuals not on the Cornell payroll (e.g., emeritus, courtesy appointments, etc.) should not fill out this question.

## FIRST SOURCE

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** (*Please specify*)

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

## SECOND SOURCE

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** (*Please specify*)

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

## THIRD SOURCE

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** (*Please specify*)

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

**FOURTH SOURCE**

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** *(Please specify)*

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

**FIFTH SOURCE**

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** *(Please specify)*

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

**SIXTH SOURCE**

Name of source:

Activity:

**CONSULTING**  
**TEACHING**  
**OTHER** *(Please specify)*

Number of days effort: **Jan. 1 - Dec. 31, 2008**

**Committed 2009**

Description of activity:

Note: If you have more than six sources, please duplicate this page, attach, and indicate the number of attached sheets.

## 2. External Managerial Activities

Please list below any managerial responsibilities that you had from Jan. 1 - Dec. 31, 2008 or are committed to for 2009 in any for-profit business and provide the number of days effort for each. (If you were paid or self-employed by the hour or for a specific task, divide the number of hours paid or devoted to the task by 8 to obtain the number of days.)

### FIRST BUSINESS

Name of business:

Nature of business:

Responsibility:

**CEO**

**OTHER** (*Please specify*)

Number of days effort: **Jan. 1 - Dec. 31, 2008**      **Committed 2009**

Description of duties:

### SECOND BUSINESS

Name of business:

Nature of business:

Responsibility:

**CEO**

**OTHER** (*Please specify*)

Number of days effort: **Jan. 1 - Dec. 31, 2008**      **Committed 2009**

Description of duties:

### 3. Equity Interests in Related Business

Please provide the following information for any equity interest held in any related business by you, your spouse or affectional partner, your children, siblings, parents, dependents or members of your household from Jan. 1 - Dec. 31, 2008 which could have been influenced by the exercise of your professional duties at Cornell. Also, please provide the following information if you are committed to this activity for 2009.

3a. **Business name:**

3b. **Publicly traded:**

YES  
NO

3c. **Value of equity interest:**

NSF and NIH define a "significant financial interest" to be one exceeding \$10,000. Is your equity interest a significant one under this standard?

YES  
NO

3d. **Percentage owned or controlled:**  
*(Indicate ONE response)*

LESS THAN 5%  
BETWEEN 5% and 50%  
OVER 50%

3e. **Relationship of owner to you:** *(Indicate ONE response)*

SELF  
FAMILY MEMBER  
BOTH

**3f. Relationship of business to my research activities:**

*(Check ALL that apply)*

SELF

BUSINESS SPONSORS CORNELL RESEARCH FOR WHICH I AM A PI.

BUSINESS SPONSORS CORNELL RESEARCH IN WHICH I PARTICIPATE BUT AM NOT PI.

BUSINESS SPONSORS RESEARCH OUTSIDE OF CORNELL IN WHICH I PARTICIPATE.

BUSINESS DOES NOT SPONSOR MY RESEARCH, BUT MY RESEARCH COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

NONE OF THE ABOVE

**3g. Relationship of business to my extension activities:**

*(Check ALL that apply)*

BUSINESS SPONSORS EXTENSION ACTIVITIES OUTSIDE OF CORNELL IN WHICH PARTICIPATE.

BUSINESS DOES NOT SPONSOR MY EXTENSION ACTIVITIES, BUT THESE ACTIVITIES COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

NONE OF THE ABOVE

**3h. Relationship of business to my supervisory/administrative activities at Cornell:**

*(Check ALL that apply)*

I AM INVOLVED IN DECISIONS REGARDING SERVICES (OTHER THAN SPONSORED RESEARCH) WHICH THE BUSINESS PROVIDES TO/RECEIVES FROM CORNELL.

I ASSIGN OR SUPERVISE STUDENTS, RESIDENTS, FELLOWS, OR OTHER FACULTY WHOSE WORK COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

NONE OF THE ABOVE

## 4. Policy Positions and/or Financial Connections with Related Businesses

For the period Jan. 1 - Dec. 31, 2008, please provide the following information for any for-profit business whose activities relate to your professional area at Cornell in which you, your spouse or affectional partner, your children, siblings, parents, dependents or members of your household have been in a policy position and/or received loans, gifts, royalties or earned income of total value greater than \$500 (excluding consulting income). Exclude any income that is reported in your answer to section 1 of this form. Please also provide this information for activities to take place in 2009.

**4a. Business name:**

**4b. Publicly traded:**

YES  
NO

**4c. Total value received:**  
(Indicate ONE response)

LESS THAN \$10,000  
EQUAL TO OR GREATER THAN \$10,000

As in 3c., NSF and NIH define "significant financial interest" as being greater than \$10,000.

**4d. Financial connection with the business:**  
(Check ALL that apply)

CONSULTING/EMPLOYMENT (NOT APPLICABLE FOR ITHACA CAMPUS)  
LOAN  
GIFTS  
HONORARIA FOR PAPERS OR LECTURES  
DIRECTOR, OFFICER, PARTNER, AGENT, OR MANAGERIAL POSITION  
ROYALTIES  
OTHER (Please specify)

**4e. Your relationship to individual who has financial connection with the related business:**  
(Indicate ONE response)

SELF  
FAMILY MEMBER  
BOTH

**4f. Relationship of business to my research activities:**

*(Check ALL that apply)*

RESEARCH ACTIVITIES HAVE NO FINANCIAL IMPLICATIONS FOR THE BUSINESS.

BUSINESS SPONSORS CORNELL RESEARCH FOR WHICH I AM A PI.

BUSINESS SPONSORS CORNELL RESEARCH IN WHICH I PARTICIPATE BUT AM NOT A PI.

BUSINESS SPONSORS RESEARCH OUTSIDE OF CORNELL IN WHICH I PARTICIPATE.

BUSINESS DOES NOT SPONSOR MY RESEARCH, BUT MY RESEARCH COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

**4g. Relationship of business to my extension activities:**

*(Check ALL that apply)*

MY EXTENSION ACTIVITIES HAVE NO FINANCIAL IMPLICATIONS FOR THE BUSINESS.

BUSINESS SPONSORS EXTENSION ACTIVITIES OUTSIDE OF CORNELL IN WHICH I PARTICIPATE.

BUSINESS DOES NOT SPONSOR MY EXTENSION ACTIVITIES, BUT MY ACTIVITIES COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

**4h. Relationship of business to my supervisory/administrative activities at Cornell:**

*(Check ALL that apply)*

MY CORNELL SUPERVISORY/ADMINISTRATIVE ACTIVITIES HAVE NO FINANCIAL IMPLICATIONS FOR THE BUSINESS.

I AM INVOLVED IN DECISIONS REGARDING SERVICES (OTHER THAN SPONSORED RESEARCH) WHICH THE BUSINESS PROVIDES TO/RECEIVES FROM CORNELL.

I ASSIGN OR SUPERVISE STUDENTS, RESIDENTS, FELLOWS, OR OTHER FACULTY WHOSE WORK COULD HAVE FINANCIAL IMPLICATIONS FOR THE BUSINESS.

OTHER *(Please specify)*

## 5. Outside Employment of Students or Staff

In the space below, please describe your utilization from Jan. 1 - Dec. 31, 2008 of the services (in either paid or unpaid capacities) of any Cornell students or staff for activities external to Cornell over whom you exercise supervisory or academic responsibility in your role at the University and provide the number of days effort for each. (If you were paid or self-employed by the hour for a specific task, divide the number of hours paid or devoted to the task by 8 to obtain the number of days.) Please also report your commitments to use these staff or services in 2009.

### 5a. Employment or utilization of services of staff:

| <u>Jan. 1 - Dec. 31, 2008</u>  | <u>Committed 2009</u>          |
|--------------------------------|--------------------------------|
| Number of staff involved:      | Number of staff involved:      |
| Total number of days:          | Total number of days:          |
| Nature of the activity:        | Nature of the activity:        |
| UNRELATED TO MY CORNELL DUTIES | UNRELATED TO MY CORNELL DUTIES |
| RELATED TO MY CORNELL DUTIES   | RELATED TO MY CORNELL DUTIES   |

### 5b. Employment or utilization of services of graduate students:

| <u>Jan. 1 - Dec. 31, 2008</u>  | <u>Committed 2009</u>          |
|--------------------------------|--------------------------------|
| Number of staff involved:      | Number of staff involved:      |
| Total number of days:          | Total number of days:          |
| Nature of the activity:        | Nature of the activity:        |
| UNRELATED TO MY CORNELL DUTIES | UNRELATED TO MY CORNELL DUTIES |
| RELATED TO MY CORNELL DUTIES   | RELATED TO MY CORNELL DUTIES   |

### 5c. Employment or utilization of services of undergraduate students:

| <u>Jan. 1 - Dec. 31, 2008</u>   | <u>Committed 2009</u>           |
|---------------------------------|---------------------------------|
| Number of staff involved: _____ | Number of staff involved: _____ |
| Total number of days: _____     | Total number of days: _____     |
| Nature of the activity:         | Nature of the activity:         |
| UNRELATED TO MY CORNELL DUTIES  | UNRELATED TO MY CORNELL DUTIES  |
| RELATED TO MY CORNELL DUTIES    | RELATED TO MY CORNELL DUTIES    |

## **6. Use of Cornell Resources to Support External Activities**

In the space below, please describe any use that you made from Jan. 1 - Dec. 31, 2008 or are committed to make in 2009 of Cornell facilities, equipment, or staff services to support consulting at a for-profit business or some other commercial activity.

## **7. Other Financial Interests**

In the space below, please describe the financial interests that you, your spouse or affectional partner, your children, siblings, parents, dependents or members of your household have and will have in any contract, sale, or other transaction—that you are aware of—to which Cornell was a party and whose outcome you had perceived ability to influence in 2008 or 2009.

## **8. Other Situations**

In the space below, please describe any other situations, not listed above, that you may reasonably foresee as creating an actual or perceived conflict of interest or conflict of commitment between your role at Cornell and an outside interest in 2008 or 2009.