

PLEASE PRINT

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)

- 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: |
| <input type="radio"/> UNRELATED TO MY CORNELL DUTIES | <input type="radio"/> UNRELATED TO MY CORNELL DUTIES |
| <input type="radio"/> RELATED TO MY CORNELL DUTIES | <input type="radio"/> 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: |
| <input type="radio"/> UNRELATED TO MY CORNELL DUTIES | <input type="radio"/> UNRELATED TO MY CORNELL DUTIES |
| <input type="radio"/> RELATED TO MY CORNELL DUTIES | <input type="radio"/> 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: |
| <input type="radio"/> UNRELATED TO MY CORNELL DUTIES | <input type="radio"/> UNRELATED TO MY CORNELL DUTIES |
| <input type="radio"/> RELATED TO MY CORNELL DUTIES | <input type="radio"/> 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.
