



STATEMENT OF DISCLOSURE OF INTERESTS

Please see the attached Instructions before completing this form. Attach additional pages as necessary. Note that this disclosure statement must be signed and the signature attested to by a witness in item 12.

PRINT OR TYPE

1. **NAME :** _____

2. **PHONE NUMBER:** (Home) _____ (Work) _____

3. **HOME ADDRESS:** _____
Street or Rural Route City State Zip Code

MAILING ADDRESS (Check here if same as home address ☐)

Street or Rural Route City State Zip Code

4. **DEPARTMENT/OFFICE:** _____

5. **SOURCES OF INCOME:**

List major source(s) of private income of more than \$1,000 for you and your spouse or minor child residing with you. "Major sources of private income" include, but are not limited to, offices, directorships and salaried employments. No dollar amounts need to be stated. Select as many recipients as necessary.

☐ None

Name of Source

Recipients

☐ Filer ☐ Spouse ☐ Minor Child
☐ Filer ☐ Spouse ☐ Minor Child
☐ Filer ☐ Spouse ☐ Minor Child

6. **INVESTMENTS:**

List any investment by you, your spouse or minor children residing with you in any corporation or other business organization in excess of ten thousand dollars (\$10,000) or five percent (5%) of the total capital. The name of the corporation or organization must be listed but no dollar amounts or percentages of the investment need be stated.

☐ None

Name of Organization

Held By

☐ Filer ☐ Spouse ☐ Minor Child
☐ Filer ☐ Spouse ☐ Minor Child
☐ Filer ☐ Spouse ☐ Minor Child

7. **LOBBYING:**

List any person, firm or organization for whom compensated lobbying is done by any associate, your spouse or minor children residing with you. Also, list any firm in which you, your spouse or minor children residing with you hold any interest for whom compensated lobbying is done. Explain the terms of any such employment, the subject matters lobbied and/or the measures to be supported or opposed.

☐ None

**Name of
Lobbyist**

**Terms of
Employment**

**Subject Matter
or Measures**

Lobbyist Relation to Filer

☐ Filer ☐ Spouse ☐ Minor Child
☐ Associate of Filer

☐ Filer ☐ Spouse ☐ Minor Child
☐ Associate of Filer

8. **PROFESSIONAL SERVICES:** List in general terms (by areas of the client's interests) the entities to which professional services, such as those of an attorney, accountant or architect, are furnished by you or your spouse.

<input type="checkbox"/> None	Licensed Profession	Clients Interests	Furnished by	
	_____	_____	<input type="checkbox"/> Filer	<input type="checkbox"/> Spouse
	_____	_____	<input type="checkbox"/> Filer	<input type="checkbox"/> Spouse

9. **RETAINER FEES:** List any retainer fee you receive from any person, firm or organization who is in the practice of promoting or opposing, influencing or attempting to influence directly or indirectly, the passage or defeat of any legislation before the Tennessee General Assembly, the legislative committees or the members thereof.

☐ None _____

10. **BANKRUPTCY:** List any adjudication of bankruptcy or discharge received in any United States district court within five (5) years of the date of this report.

☐ None _____

11. **LOANS:** List any loan or combination of loans for more than one thousand dollars (\$1,000) from the same source made in the previous calendar year to you, your spouse or minor children residing with you. (*See the attached instructions for the list of loans that should not be disclosed on this report*)

<input type="checkbox"/> None	Name of Organization	Held By		
	_____	<input type="checkbox"/> Filer	<input type="checkbox"/> Spouse	<input type="checkbox"/> Minor Child
	_____	<input type="checkbox"/> Filer	<input type="checkbox"/> Spouse	<input type="checkbox"/> Minor Child
	_____	<input type="checkbox"/> Filer	<input type="checkbox"/> Spouse	<input type="checkbox"/> Minor Child

12. **TO BE SIGNED BY REPORTING OFFICIAL** (*must be attested to by a witness*)

I certify that the information contained in this disclosure statement is true and that it is a complete and accurate report in accordance with the Conflict of Interest Disclosure Act. I also certify that I am in compliance with the University's Outside Employment policy (Personnel Policy 6.26), including receiving advance approval from my supervisor for any outside employment.

Employee Signature

Date

I, _____, the undersigned, do hereby witness the above signature, which was signed in my presence:
(*Printed Name of Witness*)

Signature of Witness

Date



Financial Interests Disclosure Statement Instructions

Where Should the Statement Be Filed? This disclosure statement must be filed with your dean or department head, who will compile the forms for submission to Internal Audit.

If you have questions, please feel free to contact Internal Audit at (615) 963-7621.

- An amended Financial Interests Disclosure Statement must be filed whenever reported conditions change due to a termination or an acquisition of any of those interests that you are required to report;
- Social security numbers, dates of birth, and account numbers are not required and should not be included on your Statement of Disclosure of Interests.

SUPPLEMENTAL INSTRUCTIONS:

➤ **Question 5: Instructions for Listing Sources of Income.**

- A. "Private Income" refers to any income you, your spouse or minor child(ren) residing with you receive **in excess of \$1,000** per annum from a non-governmental source.
- B. If you are employed by the State of Tennessee or a local government do not report your government compensation;
- C. The term "**Private Income**" includes, but is not limited to:

- | | |
|--|---|
| 1. Bank and Bond Interest | 9. Compensated Fiduciary Positions (Trusteeships, Conservatorships, etc.) |
| 2. Business Income | 10. Honoraria |
| 3. Capital Gains | 11. Lecture Fees |
| 4. Clinical Practice | 12. Payments from Annuities, Settlements, etc. |
| 5. Income from Employment | 13. Rental income |
| 6. Income from Contractual Relationships | 14. Research Grants |
| 7. Directorships | 15. Research Foundation Income |
| 8. Dividends from stocks and securities
(but not the principal which is reported
in the investment question following) | 16. Trust Income (but not the principal which is reported in the investment question) |

This list is not exhaustive, but merely exemplary. If you, your spouse or minor child(ren) residing with you have other income that is not listed here but meets the requirements of this section, you are required to list them.

- D. The term "**Private Income**" does not include monies received directly by inheritance or gift. The term does include, however, the income produced by an investment which has been received by inheritance or gift.

As a general rule, if the receipts are reportable to the IRS as private income, then they must be listed on the form.

➤ **Question 6: Instructions For Listing Investments.**

- A. Do not report holdings that are ten thousand dollars (\$10,000) or less in value or five percent (5%) of the total capital. If, however, the holding is ten thousand dollars (\$10,000) or less in value, but is five percent (5%) or more of the total capital, the holding must be reported;
- B. Examples of investments that must be listed if held by you, your spouse or minor child(ren) residing with you (If you have holdings that are not mentioned below, but that do meet the dollar amount requirements, the holdings must be listed in question 6):

1. 401K, 403(b) and 457 plans
2. Annuities
3. Bonds
4. Certificates of Deposit (interest in excess of \$1000 must be reported in the income question above)
5. College Savings Programs
6. State Deferred compensation Plans
7. Estates
8. Stocks and securities (dividends in excess of \$1000 must be reported in the income question above)
9. IRAs
10. Keogh Plans

11. Limited Liability Corporations (LLCs)
12. Mutual Funds in IRAs
13. Mutual Funds not in IRAs
14. Notes (investments)
15. Pensions
16. Real Estate (But not your primary or secondary residence)
17. Real Estate Investment Trusts (REITs)
18. Retirement Plans for States other than Tennessee
19. TIAA-CREF Supplemental Retirement Plans
20. Treasury Notes
21. Blind Trusts
22. Warrants
23. Zero Coupon Bonds

- C.** If the investment is managed by entities other than yourself, spouse or minor child(ren) residing with you (such as mutual funds or 401Ks), list the entity managing the account and the type of investment, but not the corporations to which the money has been distributed.

➤ **Question 7: Instructions For Listing Lobbying Interests.**

- A.** If you, your spouse, or a minor child(ren) residing with you are associated with a compensated lobbyist, you must provide the name(s) of the entities for which the associate lobbies.
- B.** If you, your spouse, or minor child(ren) have any interest in any lobbying firm, you must list the name of the entity. Do not report interests in employers of lobbyists, e.g., do not report interests in public corporations or other entities that may engage a lobbyist.

➤ **Question 8: Instructions For Listing Professional Services.**

- A.** For the purpose of this question, you must list the general areas of interests of your (or your spouse's) clients if you (or your spouse) engage in any profession licensed by the State of Tennessee. You are not, however, required to list your clients or to otherwise furnish personal information about your clients. These professions include, but are not limited to:

- | | |
|----------------------|------------------|
| 1. Chiropractic | 8. Podiatry |
| 2. Dentistry | 9. Veterinary |
| 3. Physical Therapy | 10. Optometry |
| 4. Pharmacology | 11. Audiology |
| 5. Public Accounting | 12. Nursing |
| 6. Massage Therapy | 13. Architecture |
| 7. Midwifery | 14. Law |

- B.** This list is not exclusive. If you or your spouse practice a profession that is not listed but that requires a license to practice in the State of Tennessee, you are required to list the general areas of your clients' interests.

➤ **Question 11: Loans**

- A.** Loans need not be disclosed on this report if they are:
1. From your immediate family (spouse, parent, sibling or child);
 2. From a federally insured financial institution or made in accordance with existing law in the ordinary course of doing business of making loans. The loan must bear the usual and customary rate of interest, be made on a basis which assures repayment, evidenced by a written instrument and subject to a due date or amortization schedule;
 3. Secured by a recorded security interest in collateral, bearing the usual and customary interest rate of the lender made on a basis which assures repayment; evidenced by a written instrument and subject to a due date or amortization schedule;
 4. From a partnership in which you have at least ten percent (10%) partnership interest;
 5. From a corporation in which more than fifty percent (50%) of the outstanding voting shares are owned by you or by your immediate family (spouse, parent, sibling or child).