



Arizona State University

Disclosure of Substantial Interest Form

ASU Employee Name: _____

ASU Employee Identification Number: _____

University or Other Location of Employment: _____

Department or Unit: _____

Are you a researcher?

___ Yes. Please refer to the following and contact the Office of Research Integrity and Assurance for guidance.

[RSP 206, "Objectivity in Research—Disclosure of Financial Interests and Management of Conflicts of Interest"](#)

[ACD 204-08, "Conflict of Interest"](#)

[Office of Research and Integrity Assurance Information about Conflict of Interest](#)

[Office of Research and Integrity Assurance Conflict of Interest Disclosure Form](#)

___ No. Please read and follow instructions below for all other ASU employees.

Are you an ASU employee (faculty or staff, but not a researcher)?

___ Yes. Please refer to the following resources. Then, fill in this form and submit two copies to the Office of General Counsel.

[ACD 204-08, "Conflict of Interest"](#)

[OGC Briefing Paper on Conflict of Interest](#)

If you have questions concerning your status, this form, and/or the disclosure requirements please contact the Office of General Counsel for guidance.

1. Describe the interest that gives rise to this disclosure:

1.1. Individual's Name:

1.1.1. If the foregoing individual is not the ASU employee making this disclosure, describe the relationship of the individual to the ASU Employee:

1.2. Name of business entity, if any, with which the foregoing individual is associated:

1.2.1. Type of business entity:

- ___ proprietorship
- ___ partnership
- ___ limited partnership
- ___ limited liability corporation
- ___ corporation

1. Describe the interest that gives rise to this disclosure:

1.2.2. State in which business entity was formed:

1.2.3. Tax ID# of the business entity (if known):

1.2.4. Office or position held by the individual named above:

1.2.5. Is the individual named above compensated? ___ Yes ___ No

1.2.6. Hours worked (or anticipated to be worked) on a weekly basis (if known): _____
Beginning _____ Ending _____

- 1.2.7. Nature of the individual’s interest in the business entity:
- Holder or owner of stock or ownership interest: ___ Yes ___ No
Percent of ownership interest (if known): _____
 - Serves as a member of board or directors or other governing board: ___ Yes ___ No
 - Serves as an officer: ___ Yes ___ No
 - Serves as an employee: ___ Yes ___ No
 - Serves as a consultant, vendor, etc.: ___ Yes ___ No
 - Other. Please explain:

2. Describe the Arizona Board of Regents or university contract, sale, purchase, service or decision in which the individual or business entity named above is involved:

Please include any current university contract, sale, purchase, service or decision and any likely future university contract, sale, purchase, service or decision. Attach additional sheets if needed.

3. Agreement of Non-Participation by ASU Employee:

I understand that I must not participate in any ASU decision relating to this substantial interest and that “not participate” means that I must have no involvement in the decision making process and that I must not communicate with anyone about the decision. Further, I understand and acknowledge that agreements between ASU and the business entity identified above are subject to audit by ASU or the State of Arizona pursuant to A.R.S. § 35-214.

SIGNATURE OF EMPLOYEE: _____

DATE: _____

REVIEWED BY DEAN OR DIRECTOR OF THE COLLEGE OR DEPARTMENT:

Signature: _____

Print Name: _____

Title: _____

Date: _____