

UNIVERSITY AT BUFFALO
DISCLOSURE STATEMENT TO BE SUBMITTED
PRIOR TO APPLICATION FOR A
SPONSORED PROGRAM GRANT OR CONTRACT

REPORTING YEAR: September 1, 1999 - August 31, 2000, unless otherwise specified in
a particular item. (For use during the 2000/2001 Academic Year.)

All persons responsible for the design, conduct, or reporting of an unfunded research project or a sponsored program to be performed under the aegis of the University at Buffalo are required to submit this disclosure form to his/her cognizant dean prior to:

- a) submission of an application to an external sponsor:
- b) submission of proposals to University programs which have a formal proposal process:
- c) acceptance of any award made without submission of an application: or
- d) submission of a protocol for action by an Institutional Review Board (IRB).

Pursuant to State Ethics Commission Advisory Opinion No. 92-15, this form satisfies the filing requirements of Public Officers Law §73-a for academic employees who apply for sponsored program grants and contracts. Information on this form is available for public inspection pursuant to the rules of the State Ethics Commission. The Disclosure Statements are not available for photocopying; handwritten notes may be taken.

Under SUNY Policy, this form also satisfies filing requirements of 42 CFR Part 50 and NSF Grant Policy Manual (GPM) Section 510.

This Disclosure Statement also satisfies the filing requirements of the University at Buffalo Investigator Disclosure Policy.

This disclosure must be kept current and complete. Any changes in the information provided concerning significant financial interest and obligations are to be reported to the cognizant dean as they occur.

*** USE ADDITIONAL SHEETS IF YOU NEED MORE SPACE ***

1. Name: _____

Title: _____

Department/Unit: _____

2. List any office, trusteeship, directorship, partnership, position of consultancy, or position of any type, whether or not compensated, held by you or your spouse since September 1, 1999, with any firm, corporation, association, partnership or other organization other than the State University of New York. DO NOT LIST THE AMOUNT OF COMPENSATION, IF ANY.

<u>Self/Spouse Dependent Children</u>	<u>Name of Organization and Address</u>	<u>Position</u>	<u>Description</u>

3. List your spouse's name, his/her current job(s) or occupation(s), employer, and the nature of his/her duties and or activities.

Spouse: _____ Employer: _____

Job/Occupation: _____

Duties/Activities: _____

4. Do you expect that, during the period September 1, 2000 - August 31, 2001, salary (from sources other than UB), royalty, consulting, or other payments, not including payments from public or non-profit entities for seminars, lectures, teaching engagements, or service on review panels, will be made:

- a) to you, your spouse, and/or your dependent children by sources related to your current or planned area(s) of research?

_____ Yes _____ No

- b) by any single source(s) to you, your spouse, or your dependent children which when aggregated by source will exceed \$10,000?

_____ Yes _____ No

If you answered yes to a) and/or b) above, list the source(s) below and indicate with an asterisk those which may be expected to exceed \$10,000.

<u>Source</u>	<u>Research Related</u>	<u>Exceed \$10,000</u>

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5. List all equity interests (e.g. stock, stock options, warrants, or other ownership interests) and other investment interests (e.g. debt instruments) including interests in mutual funds and limited or general partnerships owned by you, your spouse, and/or your dependent children. Interests in any single entity which, when aggregated with those of your spouse and dependent children 1) exceed \$10,000 in current value as determined by public prices or other measures of fair market value or 2) represent more than 5% ownership interest are considered **Significant Financial Interests** and are to be marked with an asterisk.

Self/Spouse/

Dependent Children

Issuing Entity

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-
-
-
6. If you have an active, externally funded grant or contract or a proposal pending action by an external sponsor, list the source, amount and a description of the nature of the sponsored work.

I declare that the above information is true, complete, and correct.

Signature

Date

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This disclosure is to be filed with the cognizant dean.