

**DISCLOSURE STATEMENT FOR CERTAIN UNIVERSITY FACULTY AND STAFF*
UPON APPLICATION FOR A
SPONSORED PROGRAM GRANT OR CONTRACT
STATE UNIVERSITY OF NEW YORK**

REPORTING YEAR: September 1, 1998 - August 31, 1999, unless otherwise specified in the question.

- 1) Academic employees who earn annual compensation at the rate of \$62,346 at anytime during Academic Year September 1, 1999 -August 31, 2000; individuals serving in the librarian series titles do not file.**
- 2) Faculty and professional staff, including librarians, regardless of income level, who apply for grant support as principal or co-principal investigator or project or co-project director through the National Science Foundation (NSF) or the U.S. Public Health Service (PHS).**

Pursuant to State Ethics Commissions 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 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).

Name

Title of Position

Campus

Department

USE ADDITIONAL SHEETS IF NECESSARY

1. List any office, trusteeship, directorship, partnership, position or consultancy of any type, whether or not compensated, held by you or your spouse since September 1, 1998, with any firm, corporation, association, partnership or other organization other than the State University or State of New York. DO NOT LIST THE AMOUNT.

Employees whose obligation to file is based exclusively on their application for or continuation of NSF or PHS funding report only those affiliations:

- that would reasonably appear to affect or be affected by the research or educational activities funded or proposed for funding by the NSF or PHS and
- which produce annual compensation greater than \$10,000
- affiliations of dependent children must also be reported under NSF and PHS requirements.

Self/Spouse/ Dependent Children	Name of Organization and address	Position	Description

1. List name and describe the nature and source of any current employment or occupation of spouse.

Employees whose obligation to file is based exclusively on their application for or continuation of NSF or PHS funding, report only employment:

- that would reasonably appear to affect or be affected by the research or educational activities funded or proposed for funding by the NSF or PHS and
- which produces annual compensation greater than \$10,000
- employment of dependent children must also be reported under NSF and PHS requirements

Spouse/ Dependent Children	Source	Nature

1. List the name of warrants or stocks, and other investments interests including any interests in limited or general partnerships owned by you or your spouse or both at time of filing for research grant.
DO NOT LIST AMOUNTS.

Employees whose obligation to file is based exclusively on their application for or continuation of NSF or PHS funding, report only those interests:

- that would reasonably appear to affect or be affected by the research or educational activities funded or proposed for funding by the NSF or PHS and
- which are valued at greater than \$10,000
- interests of dependent children must also be reported under NSF and PHS requirements.

Self/Spouse/

Dependent Children

Issuing Entity

1. If you are presently working with externally-funded program grant or contract funding or are applying, for such funding, list the source, amount and a description of the nature of the sponsored work.I declare that the above information is true and correct.

Signature

Date

INFORMATION AND INSTRUCTIONS

The Ethics in Government Act of 1987, as amended, imposes a financial disclosure filing requirement on State employees who earn in excess of the job rate of Civil Service SG24 (currently \$62,346) and who have not been exempted. The State Ethics Commission established in its Advisory Opinion No. 90-15 a financial disclosure filing process to govern individuals serving in academic titles at the State University of New York. The process was created on a trial basis, effective through August 1992. By its Advisory Opinion No. 93-6, the Commission adopted as final a two-step filing system for certain academic employees. Individuals serving in academic titles are not exempt from filing, but must submit this short-form financial disclosure in place of the statutorily prescribed Statement. Individuals serving in the following titles need not file:

Assistant Librarian 08	Librarian
Assistant Librarian 08 (AY)	Librarian (AY)
Assistant Librarian 08 (CY)	Librarian (CY)
Associate Librarian	Senior Assistant Librarian
Associate Librarian (AY)	Senior Assistant Librarian (AY)
Associate Librarian (CY)	Senior Assistant Librarian (CY)
Associate Director Libraries	Graduate Assistant
	Teaching Assistant

Question 1

Report your positions and your spouse's positions in any firm, corporation, association, partnership or other organization, except a political party or political organization. You do **NOT** have to report if you or your spouse are only members of the organization and hold on other offices in the organization.

If the entity is a partnership, indicate whether you are a general or limited partner. A general partner is one of two or more persons who carry on business for profit as co-owners and are personally liable for all debts of the partnership. A limited partner contributes capital only, does not participate in the management and operation of the business and assumes no liability beyond the capital contributed.

If the entity is a corporation, whether for profit or not-for-profit, you must report it if you or your spouse is a director, officer (i.e., President, Vice President, Secretary, Treasurer), or member of any board, executive committee or any other committee of the corporation.

You do **NOT** have to report your position in an organization if the sole purpose of the organization is religious, social (e.g., boy or girl scouts, athletic groups, alumni or other school associations), political, civic, school associations or self-help (e.g., Alcoholics Anonymous, Neighborhood Watch) unless the organization, during the reporting year,

received or applied for funds from the State of New York, and you held such an office during the reporting year. You do **NOT** have to report your position in a union or employee organization which represents employees in your State agency, Do **NOT** list uncompensated honorary positions.

Question 3

A "warrant" is a certificate entitling the owner to buy a specified amount of stock at a specified time(s) for a specified price. It differs from a stock option only in that options are granted to employees and warrants are sold to the public.

FILING ASSISTANCE: If you have any questions concerning the completion of this form, you may write to the State Ethics Commission, 39 Columbia Street, 4th Floor, Albany, New York 12207, or call 1-800-87-ETHICS (1-800-873-8442).

WHEN TO FILE: At time of application for a grant -- throughout academic year

September 1, 1999 - August 31, 2000

RETURN TO: Your Campus Academic Financial Disclosure Designee

VIOLATIONS: If you knowingly and willfully fail to file this form, or give information which you know to be false on the statement, you shall be subject to a civil penalty of an amount not to exceed \$10,000. The State University of New York may impose disciplinary action for failure to file or false filing and may refer individual cases of failure to file or false filing, or conflicts of interest presented by the information supplied, to the State Ethics Commission for investigation and disposition.