ARIZONA STATE UNIVERSITY
Disclosure of Substantial Interest

NAME OF EMPLOYEE: ______________________________________________

ASU EMPLOYEE IDENTIFICATION NUMBER: __________________________

UNIVERSITY OR OTHER LOCATION OF EMPLOYMENT: __________________________

DEPARTMENT OR UNIT: ______________________________________________

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

   1.2.2 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):

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

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: ___________________________

If you have questions concerning this form or the disclosure requirements, please contact the Arizona State University Office of General Counsel.

**SEND TWO COPIES OF THIS FORM TO:**

Office of General Counsel
Mail Code: 7405

Revised 2/1/06