

- received anything of monetary value (such as salary, honoraria, payment for services, stock, stock options, consulting fees, paid authorships, or anything else of monetary value) from a publicly traded entity and the combined value of all such financial interests received by you or your immediate family exceeds \$5,000 in the past 12 months, or
- own or have owned in the past 12 months stocks, shares, stock options, or other types of ownership interest and the combined value of those currently held or held in the preceding twelve months exceeds \$5,000,

then you need to provide the following information (a, b, and c) for each entity.

Do NOT include income from investment vehicles, such as mutual funds and retirement accounts, if you do not directly control the investment decisions made in these vehicles.

- (a) The name of the entity
- (b) The nature of the financial interest (e.g., salary, consulting fee, equity, stock option, paid authorship, etc.)
- (c) The value of the financial interest:
 - ≡ \$5,000 - \$9,999;
 - ≡ \$10,000 - \$19,999;
 - ≡ \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
 - ≡ above \$100,000

Section II: Financial interests in non-publicly traded entities

If you or your immediate family:

- received anything of monetary value (such as salary, honoraria, payment for services, consulting fees, paid authorships, or anything else of monetary value other than an ownership interest in the entity) from a non-publicly traded entity within the past 12 months and the combined value of all such financial interests received by you or your immediate family exceeds \$5,000, or
- hold any ownership interest (e.g., stocks, shares, Limited Liability Corporation memberships) in a non-publicly traded company within the past 12 months regardless of the value of that ownership interest.

Do NOT include:

- income from investment vehicles, such as mutual funds and retirement accounts, if you do not directly control the investment decisions made in these vehicles
- salary, royalties, or other remuneration from Appalachian State University
- income from seminars, lectures, teaching engagements, service on advisory committees or review panels sponsored by public or (a) any United States federal, state or local government agency, (b) any United States institution of higher education, or (c) any teaching hospital, medical center or research institute that is affiliated with a United States institution of higher education.

- (a) The name of the entity
- (b) The nature of the financial interest (e.g., salary, consulting fee, equity, stock option, paid authorship, etc.)
- (c) The value of the financial interest:
 - ≡ \$5,000 - \$9,999;
 - ≡ \$10,000 - \$19,999;
 - ≡ \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
 - ≡ above \$100,000

Section III: Financial interests in intellectual property

If you or your immediate family receive income of any form from intellectual property such as patents, copyrights, and trademarks you must provide the following information unless the intellectual property is owned by Appalachian State University and all the income you receive from that intellectual property is provided to you through Appalachian State University.

- (a) The type of intellectual property (for patents include the patent or patent application number and title)
- (b) The nature of the financial interest (e.g., royalty payments, equity in start-up companies, etc.)]
- (c) The value of the financial interest:
 - ≡ \$5,000 - \$9,999;
 - ≡ \$10,000 - \$19,999;
 - ≡ \$20,000 - \$100,000 by increments of \$20,000, e.g., \$40,000 - \$60,000;
 - ≡ above \$100,000

Section IV: Travel

You do not have to report travel that is reimbursed to you through Appalachian or that is sponsored (a) by Appalachian State University, (b) by any United States federal, state, or local government agency, (c) by a United States institution of higher education (travel reimbursed or sponsored by foreign institution must be reported), or (d) by any teaching hospital, medical center, or research institute that is affiliated with a United States institution of higher education. Provide the following information for any other sponsored or reimbursed travel by you or your immediate family:

- (a) The traveler
- (b) The purpose of the travel
- (c) The identity of the sponsor/organizer of the travel
- (d) The destination of the travel
- (e) The duration of the travel.
- (f) Amount reimbursed (if known)
- (g) Dates of travel

Section V: Certification

I have read and understand Appalachian State University's Conflict of Interest and Commitment Policy and Guidelines for Faculty/EPA Administrative Personnel (available at policy.appstate.edu) and have completed this report to the best of my knowledge. I will cooperate with a review of this information and if required, I will comply with any conditions or restrictions imposed by Appalachian State University to manage any real or perceived conflicts or eliminate the identified conflict.

Should my outside financial or managerial interests, or those of my immediate family, change in a way that results in different answers to any of the questions asked in this report; I agree to submit a revised report within 30 days.

Date

Signature

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