INTRODUCTION

Internal Revenue Service regulations, Board of Trustee Rules, and Conflict of interest policies of foundations and other entities affiliated with The University of Alabama, The University of Alabama at Birmingham, and The University of Alabama in Huntsville require disclosure of certain personal and business relationships by persons with specified relationships to those entities. The disclosures required for one entity often overlap or duplicate the disclosures required for another entity. For persons with specified relationships to more than one of these entities, completing multiple disclosure forms can result in confusion, inadvertent mistakes, or an inordinate burden.

This on-line disclosure process is designed to provide a one-stop destination for persons required to make disclosures under any of the regulations, rules or policies listed above. The interactive forms that follow this page include the following features:

1. You will be asked to complete only those forms that apply to the positions you hold. For example, if you are a senior administrator at one of the UAS campuses but are not appointed to the board of directors of any affiliated entities, you will have to complete only Form 1. On the other hand, if you are a Board of Trustees member who also serves on the board of directors of one or more affiliated entities, you will be asked to complete Form 1 and Form 2, and perhaps Form 3. You will be automatically directed to the appropriate form or forms based on the boxes you check on the following page.

2. Key terms in applicable regulations, rules or policies will appear in red. When you place your cursor on one of those terms, a box will appear that provides the definition of that term. This feature should make it unnecessary for you to refer to prior pages or external sources to find the meaning of that term and make this process easier for you.

3. This process must be completed annually or upon a change in circumstances that makes information previously provided inaccurate or incomplete. The form applicable to you will include a box for you to indicate if your disclosure is an annual disclosure or an updated disclosure. Please be sure to mark the appropriate box.

4. The first time you use this process will most likely take the most time and effort. Please note, however, that each form has a place to indicate that "no change" has occurred since the last disclosure. This box will not be appropriate to check for your first disclosure on this new on-line system, even though you have completed a paper disclosure form in previous years. All covered persons must complete the appropriate disclosure form using this new system. In subsequent years you may be able to check the "no change" box and reduce the time and effort necessary to meet your disclosure obligations.
5. Every new system will have its glitches and areas for improvement. Please provide any suggestions for making this process easier or more efficient to Michael Bownes at 348-7879 or mbownes@uasystem.ua.edu. Although relevant regulations, rules, and policies place some limitations on changes that can be made, every effort will be made to continue to improve this process as experience in using it suggests.

To begin the disclosure process, please click the "Continue" button below. If you need to stop the process before fully completing the disclosure forms applicable to you, either select "Cancel" or "Save".
UNIVERSITY OF ALABAMA SYSTEM
CONFLICT OF INTEREST DISCLOSURE

A Red Asterisk * in field indicates a required field.

Name: Dana Keith Test for sacs
Email: danakeith@testforsacs.com

DESIGNATION OF DISCLOSURE STATUS

I am making this disclosure in my capacity as (check all that apply):
- Board of Trustee Member (Form 1)
- Senior Administrator at UAS, UA, UAB, UAHuntsville (Form 1)
- Affiliated Entity Board Member, Officer or Key Employee (Form 2)

FORM 1

(FOR BOARD OF TRUSTEE MEMBERS AND SENIOR ADMINISTRATORS)

A Red Asterisk * in field indicates a required field.

I. Type of Disclosure

This Disclosure is: *
- Annual Statement for calendar year
- Report of Change in Circumstance/Financial Interest
- Report of No Change in Circumstance/Financial Interest

II. Do you currently serve on a board of directors or as a senior executive officer of a company that transacts business with the Board of Trustees or one of its constituent universities? *

Yes
No

Please complete the following:

To remove an entry, click on the arrow at the left and select "Remove"

Name of company: *
Position: *
Nature of business: *

Does the nature of this business involve amounts greater than $10,000 for a single transaction or that exceeds $100,000 on an annual basis? *

Yes
No
Unsure

Name of campus with which business occurs: *
- UA
- UAB
- UAHuntsville
- UAS

Who, if anyone, approves and/or monitors this transaction: *

To add another entry, click on the blue highlighted arrow at left.

III. Do any of your family member serve on a board of directors or as a senior executive officer of a company that transacts business with the Board of Trustees or one of its constituent universities? *

Yes

http://web.uab.edu/dcapps/_layouts/FormServer.aspx?XsnLocation=http%3a%2f%2fsppub... 9/23/2013
Please complete the following:

To remove an entry, click on the arrow at the left and select "Remove"

Name of company: *
Position: *
Nature of business: *

Does the nature of this business involve amounts greater than $10,000 for a single transaction or that exceeds $100,000 on an annual basis? *
- Yes
- No
- Unsure

Name of campus with which business occurs: *
- UA
- UAB
- UAHuntsville
- UAS

Who, if anyone, approves and/or monitors this transaction: *

To add another entry, click on the blue highlighted arrow at left.

IV. Do you or your family member currently hold a substantial interest in a company that transacts business with the Board of Trustees or one of its constituent universities? *
- Yes
- No

Please complete the following:

To remove an entry, click on the arrow at the left and select "Remove"

Name of company: *
Position: *
Nature of business: *

Does the nature of this business involve amounts greater than $10,000 for a single transaction or that exceeds $100,000 on an annual basis? *
- Yes
- No
- Unsure

Name of campus with which business occurs: *
- UA
- UAB
- UAHuntsville
- UAS

Who, if anyone, approves and/or monitors this transaction: *

To add another entry, click on the blue highlighted arrow at left.

V. Do you or your family member receive compensation from a company that transacts business with the Board of Trustees or one of its constituent universities? *
- Yes
- No

Nature of compensation (not amount): *

VI. Certification Statement:

I hereby certify by clicking the box below as follows: *

I have read Board of Trustees Rule 106 and understand that as a Trustee or Senior Administrator it is my obligation to act in a manner consistent with the provisions of that Rule.

The information provided on this Conflict of Interest Disclosure Form is true and correct to the best of my knowledge and belief.

If there is a significant change in circumstance or financial interest from what I have disclosed above, I will provide that information to the Secretary of the Board of Trustees in a timely manner.
Click "submit" to sign this disclosure.