

**TEXAS SOUTHERN UNIVERSITY**  
**Disclosure of Interest for Senior Officials and Conflict of Interest Statement**

**Name:** \_\_\_\_\_ **Title:** \_\_\_\_\_  
**Department:** \_\_\_\_\_ **Period Covered:** \_\_\_\_\_

In accordance with Texas Southern University’s “Principles of Ethical Conduct” (Operating Manual, Section III, Page 1), all university employees should subscribe and adhere to the highest standards of ethical principles. Texas Southern University depends upon the integrity and discretion of its employees with respect to actual or apparent conflicts of interest. All employees should avoid acts that are improper or that may create the appearance of impropriety. At no time shall an employee engage in activities which may foreseeably create a substantial conflict of interest between his or her private interests (direct or indirect) and the interest of Texas Southern University, (including but not limited to, personal investments, contracts, or purchase of goods or services).

Furthermore, the Provost/Vice President for Academic Affairs, persons designated as Vice President, and employees who are authorized to execute contracts on behalf of the University or who exercise discretion with regard to the investment or management of the University funds shall file annually with the President a report (“Financial Disclosure Statement”) disclosing information regarding themselves, their spouse, and their dependent children (“dependent child” - a child you provided more than 50% of the child’s support during the preceding calendar year, and includes an adopted or stepchild). This report should include:

1. The names of all corporations, both for profit and not-for profit, for which the person serves as a member of the governing board in the capacity of a director, advisory director, trustee, or otherwise;
2. The names of all corporations for which the person serves as an executive officer;
3. The name of any partnership, limited partnership, proprietorship, or other business association of which the person is a partner, joint venturer, or owner;
4. The amount of any compensation received for services related to 1, 2, and 3 above, including any benefits, direct or indirect (reported by range amounts);
5. All business entities in which the person holds a controlling interest or is the principal shareholder;
6. All business entities in which the person owns a 10% or more interest, whether voting or nonvoting, in shares, stock, or otherwise, or of 10% or more of the profits, proceeds, or capital gains;
7. Whether the person is employed by any business entity, including self-employment, and the name of the employing entity;

8. Knowledge concerning whether any of the business entities described in 1 through 7 above, have any relationship to Texas Southern University or any of its components, and a brief description of such relationship.

**PERIOD COVERED:** This Financial Disclosure Statement covers activity for the entire fiscal year preceding the year in which this statement is due.

**FILING DEADLINE:** This Financial Disclosure Statement must be filed with the Office of Institutional Compliance no later than September 30<sup>th</sup> of each year.

**FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST STATEMENT**

I. **Name of Employee:** \_\_\_\_\_  
Position Held: \_\_\_\_\_

II. **Name of Spouse:** \_\_\_\_\_  
Name and Address of Spouse's Employer: \_\_\_\_\_  
Position Held: \_\_\_\_\_  
If Spouse is Self-Employed, Nature of Occupation: \_\_\_\_\_

III. **Name of Dependent Child 1:** \_\_\_\_\_  
Name and Address of Child's Employer: \_\_\_\_\_  
Position Held: \_\_\_\_\_  
If Child is Self-Employed, Nature of Occupation: \_\_\_\_\_

IV. **Name of Dependent Child 2:** \_\_\_\_\_  
Name and Address of Child's Employer: \_\_\_\_\_  
Position Held: \_\_\_\_\_  
If Child is Self-Employed, Nature of Occupation: \_\_\_\_\_

V. **Name of Dependent Child 3:** \_\_\_\_\_  
Name and Address of Child's Employer: \_\_\_\_\_  
Position Held: \_\_\_\_\_  
If Child is Self-Employed, Nature of Occupation: \_\_\_\_\_

(Attach more pages as necessary)

**List each business entity in which you, your spouse, or a dependent child has a substantial interest. Also indicate the position held, whether any compensation has been received from the business entity, and the category of the type of interest as provided by Subsection (c) below.**

For purposes of this item:

- (a) “Business entity” means any entity recognized by law through which business for profit is conducted, including a sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership, or trust.
- (b) “Compensation” excludes sources of “passive income,” such as alimony, child support, interest on savings and investments, inheritances, annuities, pensions, or dividends.
- (c) “Substantial interest” in a business entity means:
  - (1) a controlling interest;
  - (2) ownership of more than 10 percent of the voting interest;
  - (3) ownership of more than \$25,000 of the fair market value;
  - (4) a direct or indirect participating interest by shares, stock, or otherwise, regardless of whether voting rights are included, in more than 10 percent of the profits, proceeds, or capital gains;
  - (5) service as a member of the board of directors or other governing board, including a trustee or advisory director;
  - (6) service as an officer; or
  - (7) service as an employee.

Individual: \_\_\_\_\_  
Name of Business Entity: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_  
Compensation (Yes / No): \_\_\_\_\_  
Category of Interest (1 through 7 above): \_\_\_\_\_

Individual: \_\_\_\_\_  
Name of Business Entity: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_  
Compensation (Yes / No): \_\_\_\_\_  
Category of Interest (1 through 7 above): \_\_\_\_\_

Individual: \_\_\_\_\_  
Name of Business Entity: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_  
Compensation (Yes / No): \_\_\_\_\_  
Category of Interest (1 through 7 above): \_\_\_\_\_

(Attach more pages as necessary)

**List each not-for-profit corporation in which you, your spouse, or dependent child served as a member of the governing board, including a trustee or advisory director, or served as an officer.**

Individual: \_\_\_\_\_  
Name of Nonprofit Corporation: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_

Individual: \_\_\_\_\_  
Name of Nonprofit Corporation: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_

Individual: \_\_\_\_\_  
Name of Nonprofit Corporation: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_

Individual: \_\_\_\_\_  
Name of Nonprofit Corporation: \_\_\_\_\_  
Office or Position Held: \_\_\_\_\_

(Attach more pages as necessary)

**ACKNOWLEDGEMENT:** Therefore, with these principles in mind and in accordance with state law, I, a Texas Southern University employee, agree to adhere with the following guidelines:

- I will not use my public office for private gain;
- I will not be interested in, or in any manner connected with, any contract or bid for furnishing goods or services, supplies, materials, services, and/or equipment of any kind to the University;
- I will not have an interest in, or in any manner be connected with, a state contract or bid for the purchase of goods or services by the University if a member of my immediate family has an actual or potential financial interest in the contract, including prospective employment. For purposes of these guidelines, immediate family includes my spouse, children, siblings and parents;
- I will not have a direct or indirect interest in or relationship with an outsider that is inherently unethical or that might be implied or construed to be, or make possible personal gain due to my ability to influence dealings, render me partial toward the outsider for personal reasons or otherwise inhibit the impartiality of my business judgment; place me or the University in an equivocal, embarrassing or unethically questionable position; or reflect on the integrity of the University;
- I will not accept or solicit anything of value, whether by gift, rebate, service or favor, from a person to whom a University contract may be awarded, directly or indirectly;
- I will not contract for future reward or compensation from an actual or potential vendor in exchange for a promise or other obligation on a state contract;
- I will not be employed by, or agree to work for, a vendor or potential vendor while I am a University employee; and
- I will not knowingly disclose confidential information acquired in the course of my official duties for personal gain.

**CERTIFICATION:** I hereby certify that to the best of my knowledge and belief the information provided by me in this Financial Disclosure Statement is true and correct. By signing, I also acknowledge that I have read the University’s Ethics Policy and Texas Government Code Chapter 572. I understand that it is my responsibility to comply with the University’s Ethics and Conflict of Interest policies and any other applicable state law, rule, or policy governing conflicts of interest. Further, I will disclose any conflicts of interest that may arise in the current fiscal year immediately to the Office of General Counsel.

Name (Printed): \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_