

**Conflict of Interest Disclosure Questionnaire – FY13**

**Business Transactions Involving Interested Persons**

Organizations are required to report **business transactions** for which payments were made during the tax year between the organization and an **interested person (with respect to business transactions)**, if such payments exceed certain reporting thresholds (described below) and regardless of when the transaction was entered into by the parties.

**Business transactions** include, but are not limited to, insurance contracts, contracts of sale, lease, license, and performance of services, whether initiated during the tax year or ongoing from a prior year. Business transactions also include joint ventures, whether new or ongoing, in which either the profits or capital interest of the organization and the interested person each exceeds 10%. The organization's charging of membership dues to its officers, trustees, etc. are not considered business transactions for these purposes.

Business transactions between an organization and an interested person must be disclosed if:

1. All payments during the year exceed \$100,000; or
2. Any payment for a single transaction during the year exceeds \$10,000 or 1% of the University's total revenues (approximately \$4 million for the year ended June 30, 2013) whichever is greater; or
3. Compensation payments made during the year to a family member exceed \$10,000.

**1. Other than an employment relationship, did you conduct a business transaction(s) with the University of Denver for which payment(s) was made during the year ended June 30, 2013?**

Yes       No

**If Yes, please describe:**

**2. Do you have a family member who conducted a business transaction(s) with the University of Denver for which payment(s) was made during the year ended June 30, 2013?**

Yes       No

**If Yes, please describe:**

**3. Do you or a family member own greater-than 35% of a company (including C-corporations, S-corporations, Partnerships, LLCs or other entities) who conducted a business transaction(s) with the University of Denver for which payment(s) was made during the year ended June 30, 2013?**

Yes       No

**If Yes, please describe:**

**4. Do you or a family member serve as an officer, director, trustee, key employee, partner, or member of an entity (or a shareholder of a professional corporation) that is involved in a business relationship with the University of Denver for which payment(s) was made during the year ended June 30, 2013?**

Yes       No

**If Yes, please describe:**

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5. *[Trustees only – omitted here]*

6. *[Trustees only – omitted here]*

**7. Do you or a family member have a trust, escrow or custodial arrangement with the University of Denver?**

Yes             No

**If Yes, please describe:**

**Grants or Assistance Benefitting Interested Persons**

Organizations are required to report each grant (e.g., scholarships, fellowships, internships, prizes, and awards) or other assistance (including provision of goods, services, or use of facilities), regardless of amount, provided by the organization to any **interested person (with respect to grants or assistance)** at any time during the tax year. A grant includes the gift portion of a part-sale, part-gift transaction.

For purposes of the above definition, grants to employees (or their children) of a **substantial contributor** or a **35% controlled entity** of a substantial contributor, awarded on an objective and nondiscriminatory basis based on pre-established criteria and reviewed by a selection committee are excluded.

**8. Did you or a family member receive any grants or other assistance from the University of Denver during the year ended June 30, 2013?**

Yes             No

**If Yes, please describe:**

**9. Were you or a family member a substantial contributor to the University of Denver during the year ended June 30, 2013? (“Substantial contributors” as defined are listed at the bottom of Appendix 2.)**

Yes             No

**If Yes, please describe:**

**10. Are you or a family member a donor of a donor-advised fund to the University of Denver?**

Yes             No

**If Yes, please describe:**

**11. Are you or a family member a member of a selection committee with any organization that grants money to or receives funds from the University of Denver?**

Yes             No

**If Yes, please describe:**

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### Loans To and From Interested Persons

Organizations are required to report all loans (including salary advances, other advances and receivables), regardless of amount, provided by or to the organization by any **interested person (with respect to loan transactions)** outstanding at the end of the tax year.

The following are excluded from the definition of loans for this purpose: (a) receivables outstanding that were created in the ordinary course of the organization's business; (b) pledges receivable that would qualify as charitable contributions when paid; (c) accrued but unpaid compensation; and, (d) salary advances under an **accountable plan**.

**12. Did you or a family member have a loan to or from the University of Denver outstanding at June 30, 2013?**

Yes             No

**If Yes, please describe, including amount outstanding at June 30, 2013:**

### Excess Benefit Transactions

Organizations are required to disclose all excess benefit transactions, regardless of amount.

An **excess benefit transaction** generally is a transaction in which an applicable tax-exempt organization directly or indirectly provides to or for the use of a **disqualified person** an economic benefit the value of which exceeds the value of the consideration received by the organization for providing such benefit.

**13. Are you aware of any excess benefit transactions entered into by the University of Denver during the year ended June 30, 2013 or from a prior year?**

Yes             No

**If Yes, please describe:**

### Compensation From the University of Denver and Related Organizations

Organizations are required to report **compensation** from the University and **related organizations** for all individuals listed in **Form 990, Part VII, Section A** including **reportable compensation** and **other compensation**, if the amounts exceed certain thresholds. Please be aware that although Form 990, Part VII, Section A is completed using calendar year information (e.g., year ended December 31, 2012), the questions below apply to the University's tax year, the year ended June 30, 2013.

The University has determined that the designation of related organizations applies to only one entity, namely the Eleanor Roosevelt Foundation for Cancer Research ("ERFCR"), which remains as a limited purpose foundation in support of the Eleanor Roosevelt Institute which was merged with the University in 2003. As such, the questions associated with related organizations only pertain to ERFCR.

**14. Are you a board member of a related organization that is compensated as an officer or other employee of that related organization?**

Yes             No

**If Yes, please describe, including amount of compensation:**

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15. *[Trustees only – omitted here]*

16. *[Trustees only – omitted here]*

17. *[Trustees only – omitted here]*

**Relationships Among Trustees, Officers, and Key Employees**

Organizations are required to report family or business relationships between officers, trustees, or key employees. For each relationship, the organization is required to identify the persons and whether it is a **family relationship** or **business relationship**. See Appendix 2 for a list of such persons, who by definition are also interested persons. No further detail needs to be disclosed in the Form 990.

Business relationship for these purposes excludes relationships in the ordinary course of business (that is, on terms generally offered to the public) and privileged relationships between attorney and client, medical professional and patient, or clergy and communicant.

**18. Did you have a family relationship with another of the University of Denver’s officers, trustees, or key employees at any time during the year ended June 30, 2013?**

Yes             No

**If Yes, please describe, including names and nature of relationship:**

**19. Did you have a business relationship with another of the University of Denver’s officers, trustees, or key employees at any time during the year ended June 30, 2013?**

Yes             No

**If Yes, please describe, including names and nature of relationship:**

**20. Did you or a family member have, in combination with any other person listed in Appendix 2 (interested persons) own greater-than 35% of a company (including C-corporations, S-corporations, Partnerships, LLCs or other entities) who had a business relationship with the University of Denver during the year ended June 30, 2013?**

Yes             No

**If Yes, please describe, including names and nature of relationship:**

**Independence of Trustees**

21. *[Trustees only – omitted here]*

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**Other Matters**

**22. Is there any other instance where you or a party related to you has an actual or apparent conflict of interest or commitment between your University obligations and an outside interest, which does not fit into any of the above questions?**

Yes       No

**If Yes, please describe, including (at a minimum) your financial or other interest in the matter, the potential benefit that could flow to you or a third party or the University, and whether or not the University would enter into the arrangement in the absence of the relationship:**

**23. While this questionnaire is focused on the fiscal year just ended for the purposes of the University’s required Form 990 reporting, it is often best to address potential conflicts in advance. Are there any anticipated or known conflicts that may or will arise for future years’ reporting?**

Yes       No

**If Yes, please describe, including (at a minimum) your financial or other interest in the matter, the potential benefit that could flow to you or a third party or the University, and whether or not the University would enter into the arrangement in the absence of the relationship:**

**Attestation:**

Print Name \_\_\_\_\_

Title/Position \_\_\_\_\_

I hereby confirm that I have read and understand the University of Denver’s Conflicts of Commitment and Interest Policy (3.20.060) and agree to abide by it. I have responded either Yes or No to each of the questions listed herein and, if applicable, have provided the required information.

Signature \_\_\_\_\_

Date \_\_\_\_\_