

UofL Board of Trustees Roster

<u>Trustees</u>	<u>Term Expires</u>	<u>Length of Term</u>
William Armstrong – Staff Representative	7/19/2018	1 year
Bonita K. Black	1/13/2020	3 years
Brian A. Cromer	1/13/2020	3 years
Sandra Frazier	1/13/2021	4 years
J. David Grissom	1/13/2023	6 years
Enid Trucios- Haynes Faculty Representative	9/7/2017	1 year
Diane B. Medley	1/13/2018	1 year
James M. Rogers	1/13/2018	1 year
Nitin Sahney	1/13/2021	4 years
John Schnatter	1/13/2022	5 years
Aaron Vance – Student Representative	7/20/2017	1 year
Ronald L. Wright, MD	1/13/2019	2 years

Note: One (1) vacancy created by the resignation of Ulysses L. Bridgeman, Jr.

Note: Trustees listed in red serve on the UofL Foundation Board of Directors

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual WILLIAM W. ARMSTRONG

Signature William W. Armstrong

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

	<u>YES</u>	<u>NO</u>
1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

my wife is an employee of UofL - since about 2000. She's received no single payment in excess of 10K, but has received salary since her employment began. nwa

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

my wife received an outstanding Professional Advisor award, circa 2007; and received an outstanding Performance award in 2015. nwa

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Not currently; have taken a P.C. loan in the past. -nwa

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

not a key employee, but on staff.
— *Kirsten Schmall Armstrong - wife -
asst Director, University Honors
Program, U of L.*

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual BONITA K BLACK

Signature *Bonita K Black*

YES NO

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL? *

- If "Yes," describe your business transaction(s) with the UofL:

* My husband is in aircraft maintenance at U.P.S. Airlines. He does not work with package delivery. I assume this is not a problem but wanted to make you aware.

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

1. Glenview Trust Company is one of my clients. I do not do the work but have the relationship with Tawana Edwards, Co-CEO there.

2. I presently share a Louisville BATS suite with Qrysalis Ventures through my relationship with their CEO, Coleman Karleski.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Brian A. Cromer

Signature Brian A. Cromer

YES NO

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?



- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?



- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?



- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?



- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.



- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?



- If "Yes," explain:

9. Do you have any loans to or from the UofL?



- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Sandra A. Frazier

Signature [Handwritten Signature]

YES NO

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

I am managing member of Tandem Public Relations LLC and we have been on contract with the University of Louisville Foundation since 2010 for public relations services.

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

PLEASE SEE RESPONSE TO QUESTION # 1.

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

Yes. I serve as a director of Glenview Trust Company with David Gussom. I also served as a board member of Greater Louisville Inc. with Diane Medley and Brian Cromer. Diane Medley is head of the accounting firm that does my business's tax returns.

For each family and business relationship, identify the persons and indicate family or business relationship.

David Gussom is chairman of the Glenview Trust Company.

Diane Medley is the former board chair and currently a member of the Greater Louisville Inc. board of directors.

Brian Cromer serves on the GLI board currently in the capacity as board legal counsel

(over)

I stepped down from the Greater
Louisville Inc. board in January
2017, and have served on the Glenview
Trust Company's board of directors
since November 2010.

Additionally, I am a shareholder
in the Glenview Trust Company, and
serve as an advisor to several
trusts managed by Glenview or are
in custody under Glenview's management.

Lastly, Diane Medley is head of
Mountjoy Chilton Medley, an accounting
firm who prepares tax returns for
my business.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual J. David Grissom

Signature J David Grissom

YES NO

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%. **NO**

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL? **NO**

- If "Yes," describe your business transaction(s) with the UofL:

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?




For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Enid Trucios-Haynes

Signature 

	<u>YES</u>	<u>NO</u>
<p><u>Business Transaction with UofL</u></p> <p>1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.</p> <ul style="list-style-type: none"> If "Yes," describe your business transaction(s) with the UofL: <p>Spouse has 2 time-limited facilitation + Consulting memoranda of understanding in 2016-17.</p> 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?</p> <ul style="list-style-type: none"> If "Yes," describe your business transaction(s) with the UofL: 	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

I serve on the boards of directors of the American Civil Liberties Union of Kentucky, ~~and~~ La Casita Center, and the Hispanic-Latino Coalition.

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

I am the Co-Principal Investigator for an iRFP grant. in 2017.

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Diane Medley

Signature 

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

	<u>YES</u>	<u>NO</u>
1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual James M. ROGERS

Signature James Rogers

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

	<u>YES</u>	<u>NO</u>
1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual NITIN SAHNEY

Signature 

YES NO

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

- | | <u>Yes</u> | <u>No</u> |
|---|--------------------------|-------------------------------------|
| 10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL. | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <ul style="list-style-type: none">• If "Yes," explain. | | |

Business and Family Relationships with Interested Persons

- | | | |
|---|--------------------------|-------------------------------------|
| 11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|---|--------------------------|-------------------------------------|

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual JOHN H. SCHNATTER

Signature *John H. Schnatter*

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

	<u>YES</u>	<u>NO</u>
1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Yes No

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

Yes No

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

Yes No

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Asaon Vance

Signature Asaon Vance

	<u>YES</u>	<u>NO</u>
<p><u>Business Transaction with Uofl</u></p> <p>1. Other than an employment relationship, do you or a family member conduct business with the Uofl? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the Uofl tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the Uofl and of the interested person exceeds 10%.</p> <ul style="list-style-type: none"> If "Yes," describe your business transaction(s) with the Uofl: 	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<p>2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the Uofl?</p> <ul style="list-style-type: none"> If "Yes," describe your business transaction(s) with the Uofl: 	<input type="checkbox"/>	<input checked="" type="checkbox"/>

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards. *ATV*

- If "Yes," explain:

*Scholarship for undergraduate degree
McCormick Scholarship
VOGT
S&A compensation*

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.

**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT
YEAR 7/1/2016 – 6/30/2017**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual RONALD WRITHE

Signature 

Business Transaction with UofL

1. Other than an employment relationship, do you or a family member conduct business with the UofL? Business transactions include, but are not limited to contracts of sale, lease, license and performance of services, whether initiated during the UofL tax year or ongoing from a prior year. Business transactions also include joint ventures in which either the profits or capital interest of the UofL and of the interested person exceeds 10%.

- If "Yes," describe your business transaction(s) with the UofL:

2. Do you or a family member own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type(s), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

YES NO

3. Do you or a family member, in combination with other "interested person(s)" own 35% of an entity (C-corporation, S-corporation, Partnership, LLC or other entity type), directly or indirectly, that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

4. Do you or a family member, serve as an officer, director, trustee, or key employee or an entity that does business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

5. Do you or a family member serve as a partner, member, or shareholder of an entity (with ownership interest in excess of 5% of a partnership or professional corporation) that conducts business with the UofL?

- If "Yes," describe your business transaction(s) with the UofL:

6. Did a family member receive a compensation payment in excess of \$10,000 from the UofL?

- If "Yes," explain:

7. Did you or a family member receive grants or other assistance, including provision of goods, services, or use of facilities from the UofL? Grants include scholarships, fellowships, internships, prizes, and awards.

- If "Yes," explain:

8. Do you have 35% control in an entity that received grants or other assistance, including provision of goods, services, or use of facilities from the UofL?

- If "Yes," explain:

9. Do you have any loans to or from the UofL?

- If "Yes," explain.

10. Are you aware of any excess benefit transactions to report? An excess benefit transaction is where the UofL directly or indirectly provided an economic benefit where the value of the benefit exceeds the value of the consideration received by the UofL.

- If "Yes," explain.

Business and Family Relationships with Interested Persons

11. Do you have a family or business relationship with any other officer, director, trustee, or key employee of the UofL?

For each family and business relationship, identify the persons and indicate family or business relationship.