

## 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
Raymond Burse (appointed 7-13-17 to fill vacant slot)	1/13/2019	2 years
Brian A. Cromer	1/13/2020	3 years
Sandra Frazier	1/13/2021	4 years
<b>J. David Grissom</b>	<b>1/13/2023</b>	<b>6 years</b>
Enid Trucios- Haynes Faculty Representative	9/7/2017	1 year
<b>Diane B. Medley</b>	<b>1/13/2018</b>	<b>1 year</b>
James M. Rogers	1/13/2018	1 year
<b>Nitin Sahney</b>	<b>1/13/2021</b>	<b>4 years</b>
<b>John Schnatter</b>	<b>1/13/2022</b>	<b>5 years</b>
Vishnu Tirumala – Student Representative	7/20/2018	1 year
Ronald L. Wright, MD	1/13/2019	2 years

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

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, WILLIAM W. ARMSTRONG, have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.

Wwarming  
Signature

7/17/17  
Date



**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

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:

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 received no single payment in excess of 10K, but has received salary since her employment began. -wva*

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. -wva*

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. -wva*

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 Scholars  
Program, U of L.*

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, BONITA K. BLACK, have read the University of Louisville's  
Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of  
Interest Statement is complete and accurate.

Bonita K. Black  
Signature

7-20-17  
Date



**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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, RAYMOND M. BURSE, have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.

Ray M. Borse  
Signature

7-20-17  
Date



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

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Raymond M. Burse

Signature:  Date: 7-20-17

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: Yes if compensation includes wages. Nephew is employed by UofL. Ronald Bose, Jr.

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.



BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292

Office: 502-852-5417

Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, BRIAN CROMER, have read the University of Louisville's  
Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of  
Interest Statement is complete and accurate.

Brian Cromer  
Signature

7-20-17  
Date



**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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, Sandra Frazier, have read the University of Louisville's  
Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of  
Interest Statement is complete and accurate.

Sandra Frazier  
Signature

7.18.17  
Date



**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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, J. David Grissom have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.

J. David Grissom  
Signature

7/18/17  
Date



**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

**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:

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.



BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, ENID TRUCIOS-HAYNES, have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.



Signature

7/20/17


Date



**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 

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:

Spouse has 2 time-limited facilitation + Consulting Memoranda of Understanding in 2016-17.

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:

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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, Diane Medley, have read the University of Louisville's  
Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of  
Interest Statement is complete and accurate.

  
Signature

7/20/17  
Date



**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:

YES      NO

**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 M. 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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, NITIN SAMNEY, have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.



Signature

7-17-2017

Date






**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 SAMNEY

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.

- 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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, John H. Schnatter, have read the University of Louisville's Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of Interest Statement is complete and accurate.

  
\_\_\_\_\_  
Signature

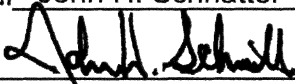
7/24/2017  
Date



**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 

**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%.

YES

NO

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

Pursuant to an agreement with the University of Louisville dated May 16, 1996 (and as subsequently amended on 9/26/00, 8/27/07 and 3/4/16), Mr. Schnatter made a contribution to the University of Louisville Foundation of \$671,979 on December 12, 2016 and has one remaining installment due of approximately \$400,000 due in 2017.

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:

Mr. Schnatter is founder, chairman and CEO of Papa John's International ("PJ"). Pursuant to an agreement dated May 15, 1996 (and as subsequently amended on September 26, 2000 and August 27, 2007) and the aforementioned agreements between UL and Mr. Schnatter, PJ has made various payments to the University of Louisville that, in conjunction with Mr. Schnatter's agreement, provide it naming rights to Cardinal Stadium and other naming recognition and concession opportunities. PJ also operates a restaurant on UofL's campus and paid rent to UofL of \$49,068 in 2016.

In addition, Mr. Schnatter is the president of and sole donor to The John H. Schnatter Family Foundation which funded the majority of the John H. Schnatter Center for Free Enterprise within UL's College of Business, created in 2015. The Foundation's agreement with UL runs through March 2022.

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:





- 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.

BOARD OF TRUSTEES

University of Louisville  
Louisville, Kentucky 40292  
Office: 502-852-5417  
Fax: 502-852-7226

University of Louisville  
Board of Trustees  
Conflict of Interest Certification

I, Vishnu Tirumala, have read the University of Louisville's  
Institutional Conflict of Interest Policy as attached. I certify the attached Conflict of  
Interest Statement is complete and accurate.

Vishnu Tirumala

Signature

7-18-17

Date



**UNIVERSITY OF LOUISVILLE BOARD OF TRUSTEES CONFLICT OF INTEREST STATEMENT**  
**YEAR 7/1/2017 – 6/30/2018**

Organization UNIVERSITY OF LOUISVILLE

Name of Individual Rishnu Tirumala 7-18-17

Signature Rishnu Tirumala

**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?

Yes No

- 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:

Vogt Scholarship for UofL

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.

Yes   No  
  

- 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 WRITTE

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.