Activities

The following questions relate to your role(s) at the University of Louisville.

Please only include those external activities that are related to your role(s) at the University of Louisville or those external entities that conduct transactions with the University of Louisville or one of its associated organizations (ULAA, ULRF).

Questions in this section involve funds that originate from non-US (foreign) sources. Any items involving domestic (US based) funds, should be disclosed in the previous section.

Appointments/Affiliations with international entities or governments

Do you hold/maintain any affiliations or appointments (honorary, visiting, adjunct, full-time, part-time, voluntary, etc) with any foreign (non-US) entity, organization or government, including talent programs? This includes any affiliations for which you receive no compensation. If you have any affiliations to foreign military organizations, please disclose that here.

- Yes
- No

For each such relationship, please provide the following information

<table>
<thead>
<tr>
<th>Entry 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name and country of Institution/Organization/Entity</td>
</tr>
<tr>
<td>Type of Appointment</td>
</tr>
<tr>
<td>--none--</td>
</tr>
<tr>
<td>Official title at foreign institution/organization</td>
</tr>
<tr>
<td>How long have you held this appointment (years)? Please include years.</td>
</tr>
<tr>
<td>How many person months annually are spent on site at the foreign institution/organization?</td>
</tr>
<tr>
<td>Do you supervise/mentor graduate students/trainees at the entity?</td>
</tr>
</tbody>
</table>
| Yes
- No |
| Do you supervise research staff at the entity? |
| Yes
- No |
| Do you receive funding from the entity to support your research/scholarly activity? |
| Yes
- No |
| Are you or a relative compensated by the entity for your activities? (Compensation includes salary, room and board, travel, etc.) |
| Yes
- No |
| Do you include this affiliation on scholarly publications? |
| Yes
- No |
| Are UofL resources (facilities, |

...
equipment, personnel) used in order to fulfill obligations to the foreign institution/organization?

Yes  No

Additional Comments/Explanation

Collaborations (including those anticipated to result in co-authorship)

Do you have/maintain any relationships with non-US collaborators?

Yes  No

Did any of these collaborations result in co-authorship?

Yes  No

For each such collaboration, please provide the following:

<table>
<thead>
<tr>
<th>Collaborator’s Name and Home Institution</th>
<th>Country of Organization/Institution</th>
<th>Co-Authorship Status</th>
<th>Associated Awards (list speedtypes), if applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>No records have been added</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Equity Holdings and External Financial Interests

Do you, your spouse or someone for which you are legally responsible hold equity interests in a foreign (non-US based)? The following are exempt from disclosure: mutual funds, retirement funds, and stock holding not related to institutional role(s).

Yes  No

Please check all that apply. If other is selected, please provide details in last section.

Entry 1

Name of entity

Interest Type

Stock Ownership, Stock Options (vested or nonvested)
Warrants in Entity (vested or nonvested)
Have right to deferred compensation from entity
Receive royalties from entity (either via UofL, another entity or directly)
Receive support from entity for Investigator initiated protocols
Intellectual Property rights licensed to entity
Intellectual Property rights optioned to entity
Other

Actual value of compensation received in last 12

--none--
External Professional/Research Activity

Do you engage in (or expect to engage in the next 12 months) external professional/research activity with or at a non-US institution or organization? This could include, but is not limited to: consulting, speaking, teaching, collaborations, etc.)

☐ Yes  ☐ No

<table>
<thead>
<tr>
<th>Name of Organization/Institution</th>
<th>Country of Organization/Institution</th>
<th>Person Months per Year</th>
<th>In-kind value or Dollar Amount</th>
<th>Activity type (speaking, consulting, collaborations, etc)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No records have been added</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Grants, Contracts, Cooperative agreements, Service Agreements or other funds

Do you receive/participate (or expect to receive/participate in the next 12 months) on any contracts, grants, cooperative agreements, service agreements, or other projects related to your university role(s) that are funded by a foreign source? If yes, even if contract is administered by UofL, you are requested to disclose those here.

Foreign Source includes:
- a contract with a US company that you believe may be a subsidiary or owned by a foreign source;
- a foreign government, including an agency of a foreign government;
- a legal entity, governmental or otherwise, created solely under the laws of a foreign state or states;
- an individual who is not a citizen or a national of the United States or a trust territory or protectorate thereof; and
- an agent, including a subsidiary or affiliate of a foreign legal entity, acting on behalf of a foreign source.

Contract - any agreement for the acquisition by purchase, lease, or barter of property or services by the foreign source, for the direct benefit or use of either of the parties.

Restricted or conditional contract - any grant, contract, award, agreement, or property of any kind that includes provisions regarding:
- employment, assignment, or termination of faculty;
- establishment of departments, centers, research or lecture programs, or new faculty positions;
- selection or admission of students; or
- award of grants, loans, scholarships, fellowships, or other forms of financial aid restricted to students of a specified country, religion, sex, ethnic origin, or political opinion.

☐ Yes  ☐ No

For each such grant, contract, cooperative agreement, service agreement or other fund, please provide the following information. Do not combine contracts in a single entry.

Entry 1
Gifts

Have you received any gifts, from non-US sources, that are being used to directly cover/support expenses related to your UofL role(s) and responsibilities?

☐ Yes  ☐ No

For each such gift received, please provide the following information.

<table>
<thead>
<tr>
<th>Type of Gift</th>
<th>Person/Entity providing Gift and Country of Origin</th>
<th>Approximate value of Gift</th>
<th>Description of how it is utilized in your research endeavors</th>
</tr>
</thead>
</table>

No records have been added
In-kind or Donated Resources (Lab or Office Space, Equipment, Scientific Supplies)

Do you receive (or expect to receive in the next 12 months) in-kind or donated resources (lab or office space, equipment or scientific supplies) from a non-US source to support your role(s) at UofL?

○ Yes  ○ No

For each such in-kind support/donation, please provide the following information. Each in-kind support/donation should be entered on a separate row.

<table>
<thead>
<tr>
<th>Name of Organization/Institution Providing In-Kind Support</th>
<th>Country of Organization/Institution</th>
<th>Name of In-Kind Support (if applicable)</th>
<th>In-kind or Dollar amount</th>
<th>Description of In-Kind Support</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No records have been added

Scientific Materials not freely available to others

Do you receive any scientific materials from a non-US source, for which no sponsored program/grant funds are spent that are not freely available to others?

A common example of this would be the provision, by a foreign collaborator, of study animals biologics, chemicals, model systems, technology etc. that are not available to other researchers on the same basis as received by senior/key personnel.

○ Yes  ○ No

For each such resource, please provide the following:

<table>
<thead>
<tr>
<th>Name of Institution and Individual providing materials</th>
<th>Country of Institution/Individual</th>
<th>Description of Materials</th>
<th>Approximate value of Materials</th>
<th>Research endeavors benefiting from the materials (list speedtypes)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No records have been added

Visiting faculty/scholars/scientists/postdocs/students (undergraduate and graduate)

Do you have any visiting faculty/scholars/scientists/post docs/students(undergraduate or graduate), directly supported (fully or partially) from non-US sources (including those who identify as “self-funded”), who are participating in your research endeavors?

○ Yes  ○ No

For research endeavors benefiting from the work of visiting faculty/scholars/scientists/post docs/graduate students, please provide the following information. List each project in a separate row. Please note: as the sponsor, please ensure all visiting participants have a current ADF on file during their visit.

<table>
<thead>
<tr>
<th>Sponsored Program Speedtype</th>
<th>Number of Visiting Faculty</th>
<th>Number of Visiting Scholars</th>
<th>Number of Visiting Scientists</th>
<th>Number of Visiting Post Docs/Graduate Students</th>
<th>Number of Visiting Undergraduate/Graduate Students</th>
<th>Countries of Sources of Support</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No records have been added

Are you a foreign visiting faculty/scholar/scientist/postdoc/graduate student that is fully or partially funded by your home institution?
Please provide the following information. If you are working with more than one UofL researcher, please add new entries for each faculty sponsor.

**Entry 1**

<table>
<thead>
<tr>
<th>Home Institution/Organization/Entity</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of UofL faculty sponsor</td>
<td></td>
</tr>
<tr>
<td>Length of visit with UofL (include begin and end dates)</td>
<td></td>
</tr>
<tr>
<td>Source of Compensation receive from Home Institution/Organization/Entity (check all that apply - including salary, room and board, travel, etc.)</td>
<td></td>
</tr>
<tr>
<td>Wages and/or benefits</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td></td>
</tr>
<tr>
<td>Room and Board</td>
<td></td>
</tr>
<tr>
<td>Research Expenses</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
<tr>
<td>Will you be a co-author on any manuscripts resulting from your work at UofL?</td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Description of research activities while at UofL</td>
<td></td>
</tr>
<tr>
<td>Additional Comments</td>
<td></td>
</tr>
</tbody>
</table>

**Additional International Activities**

Will you, your spouse or someone for which you are legally responsible perform an outside activity (paid or unpaid) in excess of your assigned UofL responsibilities (e.g. serving as a consultant or contractor, board member, company officer, etc.) that you had not already reported in this section?

Some examples include:

- Appointments or positions at entities outside of the United States (private businesses, non-US government entities or agencies, a combination of government and private businesses, hospitals, or other foreign groups)

- Receipt of any awards, incentives, gifts, or money from any entity or agency outside of the US. An incentive could be offered by a government or another entity. It could include funds or other material reward to you and/or your relatives that you may keep. Incentives also could include funds given to you to support your work, your research, your living expenses, living expenses for your relatives, or to pay for your relocation expenses. It also could be an award or other promotion including, but not limited to, so-called “talent program” awards which may promise some financial, teaching or research position or role, or other benefit.

- Promise of benefit in exchange for your work within the US from a non-US entity or agency. This could include private businesses, non-US government entities or agencies, a combination of government and private businesses, hospitals, or other foreign groups.
General Data Protection

The following questions relate to the countries listed below

Austria    Finland    Lithuania    Slovenia
Belgium    France    Luxembourg    Spain
Bulgaria    Germany    Malta    Sweden
Croatia    Greece    The Netherlands    United Kingdom
Cyprus    Hungary    Poland    Iceland
Czech Republic    Ireland    Portugal    Liechtenstein
Denmark    Italy    Romania    Norway
Estonia    Latvia    Slovakia

Are you physically present in one of the above countries at the time of completing this form?

☐ Yes    ☐ No

Your current physical location is in which of the above countries?

Do you hold primary or dual citizenship in any of the above named countries?

☐ Yes    ☐ No

In which of the above countries do you hold citizenship?

Supplemental Disclosures

Do you have Institutional Responsibility to make Institutional resource decisions that also involve an *External Entity in which you, your spouse, your dependent child, or other person for which you are legally responsible hold an *Interest?

☐ Yes    ☐ No

For each Interest you, your spouse, dependent child or other persons for which you are legally responsible, hold with an External Entity, please provide the following. Each field marked with an asterisk is required.