



OFFICE OF THE CHANCELLOR

August 7, 2007

The Honorable Thomas V. Mike Miller, Jr  
Co-Chair, Legislative Policy Committee  
State House  
Annapolis, MD 21401-1991

The Honorable Michael E. Busch  
Co-Chair, Legislative Policy Committee  
State House  
Annapolis, MD 21401-1991

Dear Chairmen:

In accordance with State Government Article Sections 15-523c concerning the quarterly and annual reporting requirements, I am providing you our quarterly report. During the quarter ending June 30, 2007, exemptions were granted by the University of Maryland, Baltimore; University of Maryland, Baltimore County; University of Maryland Biotechnology Institute; and University of Maryland Center for Environmental Science, as indicated by the enclosed supporting documentation.

These exemptions are in accord with the Board of Regents' Policy on Conflicts of Interest in Research or Development and procedures developed in accordance with the provisions of the Public/Private Partnership Act.

Sincerely yours,

Handwritten signature of William E. Kirwan in black ink.

William E. Kirwan  
Chancellor

Enclosures

cc: The Honorable Martin O'Malley  
Members of the Legislative Policy Committee  
Members of the State Ethics Commission  
Office of the Attorney General

1807  
University of Maryland,  
Baltimore

1856  
University of Maryland,  
College Park

1865  
Bowie State University

1866  
Towson University

1886  
University of Maryland  
Eastern Shore

1898  
Frostburg State University

1900  
Coppin State University

1925  
Salisbury University

1925  
University of Baltimore

1925  
University of Maryland  
Center for Environmental  
Science

1947  
University of Maryland  
University College

1966  
University of Maryland,  
Baltimore County

1985  
University of Maryland  
Biotechnology Institute



**UNIVERSITY OF MARYLAND**  
Office of the President

**DAVID J. RAMSAY, DM, DPhil**  
President

520 West Lombard Street  
Baltimore, Maryland 21201-1627  
410 706 7002 | 410 706 0500 FAX

**MEMORANDUM**

**TO:** William E. Kirwan, Ph.D.  
Chancellor

**FROM:** David J. Ramsay, D.M., D.Phil. *David J. Ramsay*  
President, University of Maryland, Baltimore

**DATE:** July 9, 2007

**RE:** Fourth Quarter Report on Exemptions Granted Pursuant  
To the Public-Private Partnership Act

**RECEIVED**

JUL 16 2007

CHANCELLOR'S OFFICE

There was one (1) exemption granted to UMB personnel between April 1, 2007 and June 30, 2007, pursuant to the Public-Private Partnership Act.

Supporting documentation is enclosed.

EMPLOYEE	INTEREST	ENTITY	DATE OF EXEMPTION
Susan K. Fried, Ph.D.	Consultant	Sanofi Aventis	5/3/2007

If any further information is required, please do not hesitate to contact Mr. Joe Giffels in the Office of the Vice President of Academic Affairs at (410) 706-1853.

**PC:** Mr. Joe Giffels  
Dr. Malinda Orlin  
State Ethics Commission



AN HONORS UNIVERSITY IN MARYLAND

Office of the President  
University of Maryland, Baltimore County  
1000 Hilltop Circle  
Baltimore, Maryland 21250

PHONE: 410-455-2274  
FAX: 410-455-1210  
VOICE/TTY: 410-455-3233  
www.umbc.edu

July 12, 2007

Dr. William E. Kirwan, Chancellor  
University System of Maryland  
3300 Metzerott Road  
Adelphi, Maryland 20783

RECEIVED

JUL 17 2007

CHANCELLOR'S OFFICE

Re: Public /Private Quarterly Reports

Dear Chancellor Kirwan:

In accordance with the Public Private Partnership Act and the policies of the Board of Regents and UMBC, I have granted three exemptions during the quarter ending June 30, 2007. The exemptions have been granted to UMBC Professor Uri Tasch, of the Department of Mechanical Engineering, and Professor Muniswamappa Anjanappa, also of the Department of Mechanical Engineering. The third exemption has been granted to Research Assistant Professor Leah Tolosa, Department of Chemical and Biochemical Engineering. Supporting documentation for each exemption is attached. In accordance with Maryland law, materials related to these exemptions will be provided to the State Ethics Commission and are available in UMBC's public files in the office of our General Counsel.

Sincerely,

Freeman A. Hrabowski, III  
President

Enclosures

Office of the President  
University of Maryland, Baltimore County  
1000 Hilltop Circle  
Baltimore, Maryland 21250

PHONE: 410-455-2274  
FAX: 410-455-1210  
VOICE/TTY: 410-455-3233  
www.umbc.edu

May 21, 2007

Leah Tolosa  
Research Assistant Professor  
Chemical & Biochemical Engineering


Re: Conflict of Interest Statement

Dear Dr. Tolosa:


The Attached Conflict of Interest Management Plan has been reviewed and approved by the Vice President for Research and the President of UMBC.

By signing this letter in the space provided below, you acknowledge that you understand and agree to abide by the terms contained in the attached COI Management Plan and that failure to comply with the terms of the COI Management Plan could be a violation of UMBC policy and the Maryland State Ethics Law, which could result in civil and criminal penalties. Furthermore, you agree to submit a revised Financial Disclosure Form should your Relationship with the Company change or should you anticipate any such change.

Sincerely,

  
Freeman A. Hrabowski, III  
President

AGREED & ACCEPTED:

By:   
Name: Leah Tolosa  
Title: Research Assistant Professor  
Department: Chemical & Biochemical Engineering

Date: 05/30/07

Attachement – COI Management Plan dated April 18, 2007

# COI Management Plan

April 18, 2007

## I. Investigator Information:

Leah Tolosa  
Research Assistant Professor  
Chemical & Biochemical Engineering

## II. Description of the actual or proposed relationship with the Company:

### A. Name of Company (the "Company")

Becton, Dickinson & Company  
1 Becton Drive, Franklin Lakes, NJ 07417

### B. Actual or proposed relationships between the Investigator and the Company:

- i. Becton, Dickinson and Company (BD) has provided a gift (value of \$30,000) to Dr. Tolosa's laboratory to support research.

### C. Actual or proposed relationships between UMBC and the Company:

- i. UMBC has entered into a license agreement (# 2413LT) with BD for which Dr. Tolosa is entitled to receive licensing revenues.

## III. Description of the plan to manage or reduce the Conflict:

1. **Public Disclosure.** Dr. Tolosa shall disclosure to the public through a legend on publications or otherwise in the following situations:

- a. **Licensed Technology.** Should Dr. Tolosa anticipate receiving royalties in excess of \$1,000 per year resulting from a license with the Company, Dr. Tolosa agrees to legend all publications, written or oral that describe the licensed technology, with language indicating that the publication describes technology licensed to a company in which she has a financial interest.
- b. **Sponsored Research.** Should Dr. Tolosa receive sponsored research funding from the Company, she agrees to legend all publications resulting from the sponsored research with language indicating that she holds a financial interest in the sponsor of the research.
- c. **Analysis Involving Commercial Products.** Should Dr. Tolosa perform Research that could be construed to be an evaluation of a commercial product

(even if the product is not yet commercially available) for the Company, or any competitor of the Company, then she agrees to legend all publications, written or oral, which contain the results of any such evaluation, with language indicating that the publication describes a product in which Dr. Tolosa has a financial interest.

As set forth above Dr. Tolosa is required to legend all publications. However in the event that the journal to which a manuscript is being submitted has a documented policy on managing financial Conflicts of Interest by contributing authors, Dr. Tolosa may request omission or amendment of the required legend in accordance with the publisher's policy. The request for omission or amendment of the legend shall be submitted to the Vice President for Research with a copy to the Office of the General Counsel. The request shall include a copy of the publisher's policy, the justification for the change, and any alternative legend if applicable. The Vice President for Research in consultation with the Office of the General Counsel should render a decision within 10 business days.

2. **Graduate Students.** Before Dr. Tolosa uses a graduate student in Research that (i) is funded by the Company, or (ii) will directly benefit the Company (including, but not limited to, benefits resulting from a collaboration), he/she agrees to:
  - a. Submit a request to her department chair for the appointment of an independent faculty member who will provide oversight of the student's involvement in the Research, which shall include:
    - i. Acting as an agent of UMBC for the purpose of providing oversight of any potential conflict that Dr. Tolosa may have with regard to the student's progress towards earning a degree;
    - ii. Meeting with the student at least once per semester for the purpose of reviewing potential conflict issues and evaluating the progress of the student; and
    - iii. Submitting a report to the department chair following each such meeting; and
  - b. Arrange for the student to be counseled by the department chair to ensure that the student is aware of the Conflict of Interest situation and is willing to approach the department chair should the student feel that Dr. Tolosa's interests in the Company conflict with the best interests of the student's education.
3. **Post-doctoral Fellows.** Dr. Tolosa agrees that Post-doctoral fellows (i.e., Research Associates) of UMBC will not be assigned to work on a project that is in any way funded or supported by the Company unless the fellow has been fully

informed of the nature of the work, the source of the funding, and the fact that Dr. Tolosa has a significant financial interest in the sponsor at some appropriate point during the recruitment process. Dr. Tolosa agrees that the nature of the work, the source of the funding, and her financial interest in the Company will be clearly stated in the fellow's letter of appointment or a separate letter if the project commences after a post-doctoral fellow has been recruited.

4. **Equity.** In the event that Dr. Tolosa holds equity in the Company that represents an ownership interest of more than 3% or has a fair market value of more than \$1,000, and the Company (i) is sponsoring research in her laboratory, (ii) has licensed technology for which she has the potential to receive royalty income, or (iii) in any way could directly benefit from the Research performed in her laboratory, Dr. Tolosa agrees (i) not to sell or otherwise transfer or encumber any portion of his or her equity in the Company and to use best efforts to prevent the sale of any such equity or equity options by a Family member or a Partner that exceeds the smaller of a 3% ownership interest or a fair market of \$1,000, or (ii) to immediately inform the Provost of any sale of equity or equity options in the Company by a member of his Family or a Partner, until:
  - a. Dr. Tolosa is no longer receiving research funding or other support from the Company, and
  - b. The earliest of one of the following trigger dates:
    - i. Two years following the termination of all sponsored research from the Company;
    - ii. Two years following the first commercial sale of a product considered a licensed technology;
    - iii. Upon the sale of all, or substantially all, of the Company's common stock; and
    - iv. Upon the written approval of the President, which may be requested in writing at any time.

In the event of any unapproved sale of equity or equity options by a member of Dr. Tolosa's Family or a Partner prior to one of the trigger dates set forth above, Dr. Tolosa acknowledges that UMBC may terminate any association it may have with the Company, including but not limited to, any research or other agreements, and revise this COI Management Plan to manage any perceived Conflicts of Interest resulting from the sale.

5. **Management/Employment Restrictions.**

- a. **Investigators.** Dr. Tolosa may serve on the Company's board of directors; however, should UMBC also hold an equity position in the Company, Dr.

Tolosa agrees to inform the Company that she is representing her shares only and is not serving on the board in any capacity as a representative of UMBC.

Once the Company has (i) obtained an aggregate of one million dollars in equity or other financing other than funding received through the Small Business Innovation Research Program, or (ii) a fair market value exceeding one million dollars, then Dr. Tolosa agrees that she will not:

- (i) Serve as an officer of the Company while the Company is funding Research in his/her laboratory; or
- (ii) Be employed by the Company without first obtaining written permission from the President. This statement shall not preclude Dr. Tolosa from serving as a consultant to the Company subject to these Procedures and UMBC's conflict of commitment policies.

b. **Students.** Dr. Tolosa agrees that full-time graduate students working in her laboratory may not be employed by the Company, and (ii) part-time graduate students working in her laboratory may be employed by the Company provided that the same steps are taken to protect the interests of the student as if the student were working in Dr. Tolosa's laboratory using funding or other support from the Company (See #2, above.).

6. **Consulting and Collaborations.** Should Dr. Tolosa either, (i) consult with the Company, (ii) collaborate with the Company, or (iii) provide unpublished Research results or other information to the Company, she agrees to report to UMBC's Office of Technology Development any invention or other intellectual property developed by the Company that in any way names Dr. Tolosa as a creator (i.e., inventor or author) regardless of whether or not UMBC may have any claim of ownership in the invention or intellectual property.
7. **Agreements with UMBC.** In the event that the Company has or will enter into negotiations with UMBC for an agreement related to Research or Product Development, Dr. Tolosa acknowledges that UMBC has the right to request that Dr. Tolosa disassociate herself from the negotiation process to remove any influence that she may have over UMBC's administration. In the event that such influence is unavoidable (such as when Dr. Tolosa is the Company's founder), UMBC may take steps to avoid such influence such as appointing outside counsel to represent UMBC's interests, or requiring the Company to appoint outside counsel to represent its interests.

**Note:** Capitalized terms are defined in UMBC's *Procedures on Individual Conflicts of Interest in Research & Product Development*, which is available at [www.umbc.edu/otd/Policies-Menu.html](http://www.umbc.edu/otd/Policies-Menu.html).

#### **IV. Request for exemption under the Maryland State Ethics Law:**

This Conflict of Interest Management Plan is intended to address any actual or perceived Conflict of Interest that may result from the relationships described in Section II, above. The plan described in Section III, above, is intended to sufficiently manage or reduce any potential Conflict of Interest resulting from the relationships.

Approval of this plan and the granting of an exemption under the Maryland State Ethics Law are hereby requested.

Received via email: 09/20/06; revised 01/13/07 based on investigator and OTD input

*University of Maryland, Baltimore County*  
**Financial Disclosure Statement**  
*for situations involving a potential conflict of interest*

Please complete the following sections:

**A. Your Information:**

Name: **Leah Tolosa**

Title **Research Assistant Professor**

Department: **Chemical & Biochemical Engineering**

**B. Company Information:**

You should use this form for disclosing the financial interests that you, your spouse, or any of your children hold in a Company when that Company has, or could have, a relationship with UMBC involving your Research or Product Development activities. For any such Company, please enter the appropriate name and address, below.

Company Name: **Becton, Dickinson & Company**

Address: **1 Becton Drive, Franklin Lakes, NJ 07417**

**C. Reason for Reporting:**

Annual Disclosure       A New Relationship       Request by Administration

**D. Company's Relationship with UMBC:**

Please briefly describe the Company's relationship, or anticipated relationship, with UMBC. Types of relationships that a Company might have, or anticipate having, with UMBC include, a research agreement, a collaboration agreement, a license agreement, or any other type agreement between the Company and UMBC. If the Company provided, or anticipates providing, a gift to UMBC that supports your Research or Product Development activities, then a relationship is established and should be described below.

Relationship Description: **UMBC has entered into a license agreement with Becton, Dickinson and Company (BD) for which I am entitled to receive licensing revenues. BD has also provided a gift to my laboratory to support research.**

**E. Detailed Disclosure:**

Please provide the following information with respect to the Company listed above.

**1. Ownership Interests.**

Please list any ownership interests that you or a Family Member hold in the Company, including stock, options, or debt. Stock held in the Company through your ownership of mutual funds should not be included.


I have nothing to report for this section.

**2. Consulting.**

Received via email: 09/20/06; revised 01/13/07 based on investigator and OTD input

Please list any Consulting that you provided to the Company in the past year and any Consulting in which you are currently engaged with the Company.

Company Name	Year	Amount

I have nothing to report for this section.

**3. Corporate Research.**

Please list all of your Research or Product Development projects that have taken place over the past year and involved the Company, including corporate funded research and collaborations.

Project Name	Year	Amount

I have nothing to report for this section.

**4. License Agreements.**

Please list all licensing or other commercialization agreements that UMBC has with the Company for which you are entitled to receive a share of licensing revenues.

License Agreement Description	Amount
Exclusive License Agreement – UMBC Ref. 2413LT (total reported licensing revenue as of 01/18/2007)	\$1500

I have nothing to report for this section.

**5. Gifts.**

Please list all Gifts, honoraria, or other items of monetary value exceeding \$1,000 in value that you, a Family member (to the extent known by you), or your laboratory received directly or indirectly from the Company during the past year. Exclude items listed above.

Gift Description	Amount
BD provided an unrestricted gift to support research activities.	\$30K

I have nothing to report for this section.

**6. Federal Grants for Research involving a Company.**

Please list the sources of any federal funding for your Research or Product Development activities when either the Company or your financial interests could be perceived to be affected by such activities. Please include any submitted proposals or proposals for which you anticipate submission in the next year.

Source of Funding	Year	Amount

Received via email: 09/20/06; revised 01/13/07 based on investigator and OTD input

I have nothing to report for this section.

**7. Other Relevant Items.**

Please describe any other relationship that you or a Family Member has with the Company or any other relationship that the Company has with UMBC that involves you or your laboratory.

I have nothing to report for this section.

**I hereby attest that I have completed this form fully to the best of my knowledge.**

*JM Holza*

\_\_\_\_\_  
Signature

09/20/06 (updated  
01/13/07)

\_\_\_\_\_  
Date

Office of the President  
University of Maryland, Baltimore County  
1000 Hilltop Circle  
Baltimore, Maryland 21250

PHONE: 410-455-2274  
FAX: 410-455-1210  
VOICE/TTY: 410-455-3233  
www.umbc.edu

April 26, 2007

Muniswamappa Anjanappa  
Professor  
Mechanical Engineering


Re: Conflict of Interest Statement

Dear Dr. Anjanappa:

The Attached Conflict of Interest Management Plan has been reviewed and approved by the Vice President for Research and the President of UMBC.

By signing this letter in the space provided below, you acknowledge that you understand and agree to abide by the terms contained in the attached COI Management Plan and that failure to comply with the terms of the COI Management Plan could be a violation of UMBC policy and the Maryland State Ethics Law, which could result in civil and criminal penalties. Furthermore, you agree to submit a revised Financial Disclosure Form should your Relationship with the Company change or should you anticipate any such change.

Sincerely,

  
Freeman A. Hrabowski, III  
President

AGREED & ACCEPTED:

By: M. Anjanappa  
Name: Muniswamappa Anjanappa  
Title: Professor  
Department: Mechanical Engineering

Date: 5-1-07

Attachement – COI Management Plan dated 5-1-07

## COI Management Plan

January 25, 2007

### I. Investigator Information:

Muniswamappa Anjanappa  
Professor  
Mechanical Engineering

### II. Description of the actual or proposed relationship with the Company:

#### A. Name of Company (the "Company"):

Black and Decker  
701 East Joppa Road  
Baltimore, MD 21286

#### B. Description of all current and proposed relationships between the Investigator and the Company

Black & Decker has two license agreements with UMBC.

#### C. Description of all current and proposed relationships between UMBC and the Company

Black and Decker supported research on percussion drilling of harder concrete materials through a gift to Mechatronics Laboratory, Mechanical Engineering Department, University of Maryland Baltimore County.

### III. Description of the plan to manage or reduce the Conflict:

#### 1. **Public Disclosure.** Dr. Anjanappa shall disclosure to the public through a legend on publications or otherwise in the following situations:

- a. **Licensed Technology.** Should Dr. Anjanappa anticipate receiving royalties in excess of \$1,000 per year resulting from a license with the Company, Dr. Anjanappa agrees to legend all publications, written or oral that describe the licensed technology, with language indicating that the publication describes technology licensed to a company in which he has a financial interest.
- b. **Sponsored Research.** Should Dr. Anjanappa receive sponsored research funding from the Company, he agrees to legend all publications resulting from the sponsored research with language indicating that he holds a financial interest in the sponsor of the research.

- c. **Analysis Involving Commercial Products.** Should Dr. Anjanappa perform Research that could be construed to be an evaluation of a commercial product (even if the product is not yet commercially available) for the Company, or any competitor of the Company, then he agrees to legend all publications, written or oral, which contain the results of any such evaluation, with language indicating that the publication describes a product in which Dr. Anjanappa has a financial interest.

In the event that Dr. Anjanappa is required to legend publications as set forth above and the journal to which a manuscript is being submitted has a documented policy on managing financial Conflicts of Interest by contributing authors, the requirement to include a legend as set forth above may be lifted provided Dr. Anjanappa follows the journal's policies regarding managing Conflicts of Interest in its publications.

2. **Graduate Students.** Before Dr. Anjanappa uses a graduate student in Research that (i) is funded by the Company, or (ii) will directly benefit the Company (including, but not limited to, benefits resulting from a collaboration), he agrees to:
  - a. Submit a request to his department chair for the appointment of an independent faculty member who will provide oversight of the student's involvement in the Research, which shall include:
    - i. Acting as an agent of UMBC for the purpose of providing oversight of any potential conflict that Dr. Anjanappa may have with regard to the student's progress towards earning a degree;
    - ii. Meeting with the student at least once per semester for the purpose of reviewing potential conflict issues and evaluating the progress of the student; and
    - iii. Submitting a report to the department chair following each such meeting; and
  - b. Arrange for the student to be counseled by the department chair to ensure that the student is aware of the Conflict of Interest situation and is willing to approach the department chair should the student feel that Dr. Anjanappa's interests in the Company conflict with the best interests of the student's education.
3. **Post-doctoral Fellows.** Dr. Anjanappa agrees that Post-doctoral fellows (i.e., Research Associates) of UMBC will not be assigned to work on a project that is in any way funded or supported by the Company unless the fellow has been fully

informed of the nature of the work, the source of the funding, and the fact that Dr. Anjanappa has a significant financial interest in the sponsor at some appropriate point during the recruitment process. Dr. Anjanappa agrees that the nature of the work, the source of the funding, and his financial interest in the Company will be clearly stated in the fellow's letter of appointment or a separate letter if the project commences after a post-doctoral fellow has been recruited.

4. **Equity.** In the event that Dr. Anjanappa holds equity in the Company that represents an ownership interest of more than 3% or has a fair market value of more than \$1,000, and the Company (i) is sponsoring research in his laboratory, (ii) has licensed technology for which he has the potential to receive royalty income, or (iii) in any way could directly benefit from the Research performed in his/her laboratory, Dr. Anjanappa agrees (i) not to sell or otherwise transfer or encumber any portion of his or her equity in the Company and to use best efforts to prevent the sale of any such equity or equity options by a Family member or a Partner that exceeds the smaller of a 3% ownership interest or a fair market of \$1,000, or (ii) to immediately inform the Provost of any sale of equity or equity options in the Company by a member of his Family or a Partner, until:
  - a. Dr. Anjanappa is no longer receiving research funding or other support from the Company, and
  - b. The earliest of one of the following trigger dates:
    - i. Two years following the termination of all sponsored research from the Company;
    - ii. Two years following the first commercial sale of a product considered a licensed technology;
    - iii. Upon the sale of all, or substantially all, of the Company's common stock; and
    - iv. Upon the written approval of the President, which may be requested in writing at any time.

In the event of any unapproved sale of equity or equity options by a member of Dr. Anjanappa's Family or a Partner prior to one of the trigger dates set forth above, Dr. Anjanappa acknowledges that UMBC may terminate any association it may have with the Company, including but not limited to, any research or other agreements, and revise this COI Management Plan to manage any perceived Conflicts of Interest resulting from the sale.

5. **Management/Employment Restrictions.**

- a. **Investigators.** Dr. Anjanappa may serve on the Company's board of directors; however, should UMBC also hold an equity position in the

Company, Dr. Anjanappa agrees to inform the Company that he/she is representing his shares only and is not serving on the board in any capacity as a representative of UMBC.

Once the Company has (i) obtained an aggregate of one million dollars in equity or other financing other than funding received through the Small Business Innovation Research Program, or (ii) a fair market value exceeding one million dollars, then Dr. Anjanappa agrees that he will not:

- (i) Serve as an officer of the Company while the Company is funding Research in his laboratory; or
- (ii) Be employed by the Company without first obtaining written permission from the President. This statement shall not preclude Dr. Anjanappa from serving as a consultant to the Company subject to these Procedures and UMBC's conflict of commitment policies.

b. **Students.** Dr. Anjanappa agrees that full-time graduate students working in his/her laboratory may not be employed by the Company, and (ii) part-time graduate students working in his laboratory may be employed by the Company provided that the same steps are taken to protect the interests of the student as if the student were working in Dr. Anjanappa's laboratory using funding or other support from the Company (See #2, above.).

6. **Consulting and Collaborations.** Should Dr. Anjanappa either, (i) consult with the Company, (ii) collaborate with the Company, or (iii) provide unpublished Research results or other information to the Company, he agrees to report to UMBC's Office of Technology Development any invention or other intellectual property developed by the Company that in any way names Dr. Anjanappa as a creator (i.e., inventor or author) regardless of whether or not UMBC may have any claim of ownership in the invention or intellectual property.

7. **Agreements with UMBC.** In the event that the Company has or will enter into negotiations with UMBC for an agreement related to Research or Product Development, Dr. NAME acknowledges that UMBC has the right to request that Dr. NAME disassociate himself or herself from the negotiation process to remove any influence that he may have over UMBC's administration. In the event that such influence is unavoidable (such as when Dr. Anjanappa is the Company's founder), UMBC may take steps to avoid such influence such as appointing outside counsel to represent UMBC's interests, or requiring the Company to appoint outside counsel to represent its interests.

**Note:** Capitalized terms are defined in UMBC's *Procedures on Individual Conflicts of Interest in Research & Product Development*, which is available at [www.umbc.edu/otd/Policies-Menu.html](http://www.umbc.edu/otd/Policies-Menu.html).

**IV. Request for exemption under the Maryland State Ethics Law:**

This Conflict of Interest Management Plan is intended to address any actual or perceived Conflict of Interest that may result from the relationships described in Section II, above. The plan described in Section III, above, is intended to sufficiently manage or reduce any potential Conflict of Interest resulting from the relationships.

Approval of this plan and the granting of an exemption under the Maryland State Ethics Law are hereby requested.



University of Maryland, Baltimore County
Financial Disclosure Statement
for situations involving a potential conflict of interest

Please complete the following sections:

A. Your Information:

Name: Muniswamappa Anjanappa

Title Professor

Department: Mechanical Engineering

B. Company Information:

You should use this form for disclosing the financial interests that you, your spouse, or any of your children hold in a Company when that Company has, or could have, a relationship with UMBC involving your Research or Product Development activities. For any such Company, please enter the appropriate name and address, below.

Company Name: Black & Decker, Inc.
Address: 701 East Joppa Road
Towson, MD 21286

C. Reason for Reporting:

- [X] Annual Disclosure [ ] A New Relationship [ ] Request by Administration

D. Company's Relationship with UMBC:

Please briefly describe the Company's relationship, or anticipated relationship, with UMBC. Types of relationships that a Company might have, or anticipate having, with UMBC include, a research agreement, a collaboration agreement, a license agreement, or any other type agreement between the Company and UMBC. If the Company provided, or anticipates providing, a gift to UMBC that supports your Research or Product Development activities, then a relationship is established and should be described below.

Black & Decker has two license agreements with UMBC.
Relationship Description: Black & Decker supported research on percussion drilling of harder concrete materials through gift to Mechatronics Laboratory.

E. Detailed Disclosure:

Please provide the following information with respect to the Company listed above.

1. Ownership Interests.

Please list any ownership interests that you or a Family Member hold in the Company, including stock, options, or debt. Stock held in the Company through your ownership of mutual funds should not be included.

Table with 2 columns and 3 rows for ownership interests.

[X] I have nothing to report for this section.

**2. Consulting.**

Please list any Consulting that you provided to the Company in the past year and any Consulting in which you are currently engaged with the Company.


I have nothing to report for this section.

**3. Corporate Research.**

Please list all of your Research or Product Development projects that have taken place over the past year and involved the Company, including corporate funded research and collaborations.


I have nothing to report for this section.

**4. License Agreements.**

Please list all licensing or other commercialization agreements that UMBC has with the Company for which you are entitled to receive a share of licensing revenues.

License Agreement – Masonry Drill Bit	~ \$4,600
License Agreement – Metal Drill Bit	\$0

I have nothing to report for this section.

**5. Gifts.**

Please list all Gifts, honoraria, or other items of monetary value exceeding \$1,000 in value that you, a Family member (to the extent known by you), or your laboratory received directly or indirectly from the Company during the past year. Exclude items listed above.

Mechatronics Lab received a gift from Black & Decker in 2005. Deposited to UM Foundation Account of Anjanappa.	\$5,000.00

I have nothing to report for this section.

**6. Federal Grants for Research involving a Company.**

Please list the sources of any federal funding for your Research or Product Development activities when either the Company or your financial interests could be perceived to be affected by such activities. Please include any submitted proposals or proposals for which you anticipate submission in the next year.

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Office of the President  
University of Maryland, Baltimore County  
1000 Hilltop Circle  
Baltimore, Maryland 21250

PHONE: 410-455-2274  
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www.umbc.edu

April 26, 2007

Uri Tasch  
Professor  
Mechanical Engineering

Re: Conflict of Interest Statement

Dear Dr. Tasch:

The Attached Conflict of Interest Management Plan has been reviewed and approved by the Vice President for Research and the President of UMBC.

By signing this letter in the space provided below, you acknowledge that you understand and agree to abide by the terms contained in the attached COI Management Plan and that failure to comply with the terms of the COI Management Plan could be a violation of UMBC policy and the Maryland State Ethics Law, which could result in civil and criminal penalties. Furthermore, you agree to submit a revised Financial Disclosure Form should your Relationship with the Company change or should you anticipate any such change.

Sincerely,



Freeman A. Hrabowski, III  
President

AGREED & ACCEPTED:

By: Uri Tasch

Name: Uri Tasch

Title: Professor

Department: Mechanical Engineering

Date: 5/18/07

Attachement – COI Management Plan dated \_\_\_\_\_

## COI Management Plan

February 28, 2007

### I. Investigator Information:

Dr. Uri Tasch  
Professor  
Mechanical Engineering

### II. Description of the actual or proposed relationship:

#### A. Name of the company (the "Company"):

Bou-Matic, LLC  
1919 South Stoughton Road  
Madison, WI 53708

#### B. Actual or proposed relationships between the Investigator and the Company:

- i. Dr. Tasch receives royalties from Company sufficient to constitute a "Significant Financial Interest" or "Relevant Interest".

#### C. Actual or proposed relationships between UMBC and the Company:

- i. Dr. Tasch is collaborating with the Company on the development of equine lameness, and mice/rat lameness technologies disclosed to UMBC (Tech. Ref. No. 2504UT). Dr. Tasch is submitting a proposal to the Company for funding to support this effort. It is likely that Dr. Tasch and the Company might also pursue future support for this project through the SBIR/STTR Programs.
- ii. The Company has one license agreement with UMBC for technologies disclosed to UMBC (Tech. Ref. Nos. 2308UT and 2397UT).
- iii. Dr. Tasch uses graduate students and post-doctoral fellows in research that could benefit the Company.

### III. Description of the plan to manage or reduce the Conflict:

1. **Public Disclosure.** Dr. Tasch shall disclosure to the public through a legend on publications or otherwise in the following situations:

- a. **Licensed Technology.** Since Dr. Tasch receives royalties in excess of \$1,000 per year resulting from a license with the Company, Dr. Tasch agrees to legend all publications, written or oral that describes the licensed technology, with language indicating that the publication describes technology licensed to a company in which he has a financial interest.

- b. **Sponsored Research.** Should Dr. Tasch receive sponsored research funding from the Company, he agrees to legend all publications resulting from the sponsored research with language indicating that he holds a financial interest in the sponsor of the research.
- c. **Analysis Involving Commercial Products.** Should Dr. Tasch perform Research that could be construed to be an evaluation of a commercial product (even if the product is not yet commercially available) for the Company, or any competitor of the Company, then he agrees to legend all publications, written or oral, which contain the results of any such evaluation, with language indicating that the publication describes a product in which Dr. Tasch has a financial interest.

In the event that Dr. Tasch is required to legend publications as set forth above and the journal to which a manuscript is being submitted has a documented policy on managing financial Conflicts of Interest by contributing authors, the requirement to include a legend as set forth above may be lifted provided Dr. Tasch follows the journal's policies regarding managing Conflicts of Interest in its publications.

2. **Graduate Students.** Before Dr. Tasch uses a graduate student in Research that (i) is funded by the Company, or (ii) will directly benefit the Company (including, but not limited to, benefits resulting from a collaboration), he agrees to:
  - a. Submit a request to his or her department chair for the appointment of an independent faculty member who will provide oversight of the student's involvement in the Research, which shall include:
    - i. Acting as an agent of UMBC for the purpose of providing oversight of any potential conflict that Dr. Tasch may have with regard to the student's progress towards earning a degree;
    - ii. Meeting with the student at least once per semester for the purpose of reviewing potential conflict issues and evaluating the progress of the student; and
    - iii. Submitting a report to the department chair following each such meeting; and
  - b. Arrange for the student to be counseled by the department chair to ensure that the student is aware of the Conflict of Interest situation and is willing to approach the department chair should the student feel that Dr. Tasch's interests in the Company conflict with the best interests of the student's education.

3. **Post-doctoral Fellows.** Dr. Tasch agrees that Post-doctoral fellows (i.e., Research Associates) of UMBC will not be assigned to work on a project that is in any way funded or supported by the Company unless the fellow has been fully informed of the nature of the work, the source of the funding, and the fact that Dr. Tasch has a significant financial interest in the sponsor at some appropriate point during the recruitment process. Dr. Tasch agrees that the nature of the work, the source of the funding, and his financial interest in the Company will be clearly stated in the fellow's letter of appointment or a separate letter if the project commences after a post-doctoral fellow has been recruited.
4. **Equity.** In the event that Dr. Tasch holds equity in the Company that represents an ownership interest of more than 3% or has a fair market value of more than \$1,000, and the Company (i) is sponsoring research in his laboratory, (ii) has licensed technology for which he has the potential to receive royalty income, or (iii) in any way could directly benefit from the Research performed in his laboratory, Dr. Tasch agrees (i) not to sell or otherwise transfer or encumber any portion of his or her equity in the Company and to use best efforts to prevent the sale of any such equity or equity options by a Family member that exceeds the smaller of a 3% ownership interest or a fair market of \$1,000, or (ii) to immediately inform the Provost of any sale of equity or equity options in the Company by a member of his Family, until:
  - a. Dr. Tasch is no longer receiving research funding or other support from the Company, and
  - b. The earliest of one of the following trigger dates:
    - i. Two years following the termination of all sponsored research from the Company;
    - ii. Two years following the first commercial sale of a product considered a licensed technology;
    - iii. Upon the sale of all, or substantially all, of the Company's common stock; and
    - iv. Upon the written approval of the President, which may be requested in writing at any time.

In the event of any unapproved sale of equity or equity options by a member of Dr. Tasch's Family or a Partner prior to one of the trigger dates set forth above, Dr. Tasch acknowledges that UMBC may terminate any association it may have with the Company, including but not limited to, any research or other agreements, and revise this COI Management Plan to manage any perceived Conflicts of Interest resulting from the sale.

5. Management/Employment Restrictions.

a. **Investigators.** Dr. Tasch may serve on the Company's board of directors; however, should UMBC also hold an equity position in the Company, Dr. Tasch agrees to inform the Company that he is representing his shares only and is not serving on the board in any capacity as a representative of UMBC.

Once the Company has (i) obtained an aggregate of one million dollars in equity or other financing other than funding received through the Small Business Innovation Research Program, or (ii) a fair market value exceeding one million dollars, then Dr. Tasch agrees that he will not:

- i Serve as an officer of the Company while the Company is funding research in his laboratory, or
- ii Be employed by the Company without first obtaining written permission from the President. This statement shall not preclude Dr. Tasch from serving as a consultant to the Company subject to these Procedures and UMBC's conflict of commitment policies.

b. **Students.** Dr. Tasch agrees that full-time graduate students working in his laboratory may not be employed by the Company, and (ii) part-time graduate students working in his laboratory may be employed by the Company provided that the same steps are taken to protect the interests of the student as if the student were working in Dr. Tasch's laboratory using funding or other support from the Company (See #2, above.).

6. **Consulting and Collaborations.** Should Dr. Tasch either, (i) consult with the Company, (ii) collaborate with the Company, or (iii) provide unpublished Research results or other information to the Company, he agrees to report to UMBC's Office of Technology Development any invention or other intellectual property developed by the Company that in any way Dr. Tasch as a creator (i.e., inventor or author) regardless of whether or not UMBC may have any claim of ownership in the invention or intellectual property.

7. **Agreements with UMBC.** In the event that the Company has or will enter into negotiations with UMBC for an agreement related to Research or Product Development, Dr. Tasch acknowledges that UMBC has the right to request that Dr. Tasch disassociate himself from the negotiation process to remove any influence that he may have over UMBC's administration. In the event that such influence is unavoidable (such as when Dr. Tasch is the Company's founder), UMBC may take steps to avoid such influence such as appointing outside counsel to represent UMBC's interests, or requiring the Company to appoint outside counsel to represent its interests.

**Note:** Capitalized terms are defined in UMBC's *Procedures on Individual Conflicts of Interest in Research & Product Development*.

#### **IV. Request for exemption under the Maryland State Ethics Law:**

This Conflict of Interest Management Plan is intended to address any actual or perceived Conflict of Interest that may result from the relationship described in Section II, above. The plan described in Section III, above, is intended to sufficiently manage or reduce any potential Conflict of Interest resulting from the relationship.

Approval of this plan and the granting of an exemption under the Maryland State Ethics Law are hereby requested.

Revised 2/28/2007

University of Maryland, Baltimore County  
**Financial Disclosure Statement**  
*for situations involving a potential conflict of interest*

Please complete the following sections:

**A. Your Information:**

Name: **Uri Tasch**

Title **Professor**

Department: **Mechanical Engineering**

**B. Company Information:**

You should use this form for disclosing the financial interests that you, your spouse, or any of your children hold in a Company when that Company has, or could have, a relationship with UMBC involving your Research or Product Development activities. For any such Company, please enter the appropriate name and address, below.

Company Name: **Bou-Matic, LLC**

Address: **1919 South Stoughton Road, Madison, Wisconsin 53708**

**C. Reason for Reporting:**

Annual Disclosure

A New Relationship

Request by Administration

**D. Company's Relationship with UMBC:**

Please briefly describe the Company's relationship, or anticipated relationship, with UMBC. Types of relationships that a Company might have, or anticipate having, with UMBC include, a research agreement, a collaboration agreement, a license agreement, or any other type agreement between the Company and UMBC. If the Company provided, or anticipates providing, a gift to UMBC that supports your Research or Product Development activities, then a relationship is established and should be described below.

Relationship Description: **Dr. Tasch is collaborating with the Company on the development of equine lameness, and mice/rat lameness technologies disclosed to UMBC (Tech. Ref. No. 2504UT). Dr. Tasch is submitting a proposal to the Company for funding to support this effort. It is likely that Dr. Tasch and the Company might also pursue future support for this project through the SBIR/STTR Programs.**

**E. Detailed Disclosure:**

Please provide the following information with respect to the Company listed above.

**1. Ownership Interests.**

Please list any ownership interests that you or a Family Member hold in the Company, including stock, options, or debt. Stock held in the Company through your ownership of mutual funds should not be included.

Description of Interest	Estimated Value/Percentage

I have nothing to report for this section.

Revised 2/28/2007

**2. Consulting.**

Please list any Consulting that you provided to the Company in the past year and any Consulting in which you are currently engaged with the Company.

Nature of Work	Total Fees & Consideration Received	Total Time Spent

I have nothing to report for this section.

**3. Corporate Research.**

Please list all of your Research or Product Development projects that have taken place over the past year and involved the Company, including corporate funded research and collaborations.

Project Description	Total Funding (If any)	Human Subjects Involved (Y/N) 2
Dr. Tasch will be submitting a proposal to the Company for funding. It is likely that Dr. Tasch and the Company might also pursue future support for this project through the SBIR/STTR Programs.	To be determined	

I have nothing to report for this section.

**4. License Agreements.**

Please list all licensing or other commercialization agreements that UMBC has with the Company for which you are entitled to receive a share of licensing revenues.

License Agreement Description	Total Annual Licensing Revenue Received or Anticipated (If any)
The Company has one license agreement with UMBC for technologies disclosed to UMBC (Tech. Ref. Nos. 2308UT and 2397UT).	\$5K - \$10K

I have nothing to report for this section.

**5. Gifts.**

Please list all Gifts, honoraria, or other items of monetary value exceeding \$1,000 in value that you, a Family member (to the extent known by you), or your laboratory received directly or indirectly from the Company during the past year. Exclude items listed above.

Description of Gift	Amount/Value of the Gift

I have nothing to report for this section.

**6. Federal Grants for Research involving a Company.**



OFFICE OF ACADEMIC AFFAIRS

**MEMORANDUM**

**RECEIVED**

JUL 25 2007

CHANCELLOR'S OFFICE

**TO:** Janice Doyle  
 Office of the Chancellor

**FROM:** Marian J. Jackson, Ph.D  
 Vice President, Academic Affairs, UMBI

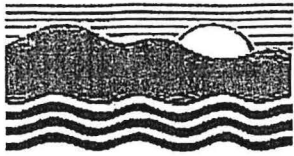
**DATE:** July 12, 2007

**RE:** 4th<sup>1</sup> Quarter Report on Exemptions Granted Pursuant to the Public-Private Partnership Act

During the period of April 1, 2007 – June 30, 2007 there was one exemption granted to UMBI personnel, as detailed in the chart below.

EMPLOYEE	INTEREST	ENTITY	DATE OF EXEMPTION
Dr. Russell Hill	Membership in LLC (% to be determined); Co-Chair of Scientific Advisory Board	Triton BioPharma, LLC	May 16, 2007

If any further information is required, please feel free to contact Renee Burrell in the Office of Academic Affairs at (410) 385-6361.



University of Maryland  
CENTER FOR ENVIRONMENTAL SCIENCE  
CENTER ADMINISTRATION

POST OFFICE BOX 775  
CAMBRIDGE, MD 21613-0775  
(410) 228-9250  
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<http://www.umces.edu>

MEMORANDUM

**To:** Dr. Donald Boesch  
President

**From:** Ms. Erica Kropp *Erica Kropp*  
Director, Office of Research Administration & Advancement

**Through:** Mr. Steven Wilson  
Vice President for Administration *Steve Wilson*

**Date:** May 1, 2007

**Subject:** Conflict of Interest Disclosure for Margaret A. Palmer - #07-03

The subject disclosure was received and reviewed by the President's Ad Hoc Advisory Committee on Conflict of Interest (COI Committee), in accordance with the provisions of Section 3.4.b.3 of UMCES Policies and Procedures on Conflict of Interest in Research and Development. The recommendation of the committee is forwarded herewith for your review and determination. The committee members are Dr. Jonathan Kramer, Mr. Steve Wilson and me.

Conflict

Margaret A. Palmer, Director of UMCES Chesapeake Biological Laboratory and Professor, was appointed, by then Governor Ehrlich, as a Board Member of the Chesapeake Bay Trust (CBT). CBT is a grant making organization that reviews and supports UMCES grant proposals. Dr. Palmer has an award from CBT.

Disclosure Summary

A. The disclosure indicates that Dr. Palmer will recuse herself from all board decisions that involve any UMCES faculty or affiliate, that she will not be present in the during discussions of UMCES related issues and, she will not seek any information from other board members about decisions that are made regarding UMCES projects.

B. The disclosure also indicates that Dr. Palmer is currently the Principle Investigator on a small CBT workshop award. The actual workshop was held in late 2006.

Additional Information

CBT does not prohibit board members from submitting proposals. CBT is aware of her affiliation with UMCES and the potential for conflicts of interest. CBT has provided the By-Law Section on Conflict of Interest to this Committee. That policy, included as an attachment, requires the same mitigation plan as put forward by Dr. Palmer. It also states that absence from certain parts of the meetings will be explained in the minutes of those meetings.



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Page 2 of 2 – Palmer COI #0703

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Conditions for Approval

The Committee supports the plan as proposed in the disclosure but would also require that should Dr. Palmer wish to submit another proposal with her named as Principal Investigator to CBT, that she would need to disclose that and have it and reviewed and processed for approval as a separate exemption before submission to CBT.

Recommendation

The COI Committee has concluded that the disclosed conflicts, managed as proposed, does not constitute a harmful interest, and recommends that this disclosure be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

Please indicate where provided for below whether or not you approve the recommendation. If you would then have this memorandum returned to me, I will notify the faculty member and other appropriate parties of your determination. Any exemptions granted will also be reported to the Maryland State Ethics Commission and the Chancellor for the UMS, as required.

Approve of COI Committee recommendation: Yes  No

*Donald J. Boesch*

5/7/07

Signature: UMCES President Boesch

Date

- Attachments (1) Disclosure  
 (2) CBT By-Law Section on COI

07-03 CBT (1)

**UNIVERSITY OF MARYLAND CENTER FOR ENVIRONMENTAL SCIENCE  
RESEARCH OR DEVELOPMENT INTEREST DISCLOSURE FORM**

This form is submitted for the purpose of obtaining an exemption from certain conflict of interest provisions of the Maryland Public Ethics Law, section 15-523 of the State Government Article of the Annotated Code of Maryland. I acknowledge that this form may be maintained as a public record at the University and, if approved, will be filed with the State Ethics Commission. I hereby state that the contents of this disclosure statement are true and correct to the best of my knowledge, information, and belief.

Name: Margaret A. Palmer Lab/Unit: CBL

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

Mailing Address:

UMCES, Chesapeake Biological Laboratory, P.O. Box 38, Solomons, MD 20688

Telephone: 410-326-7241

E-mail: palmer@cbl.umces.edu

**ADMINISTRATIVE REVIEW**

Review by the Laboratory Director or Unit Head is required before this form is submitted to ORAA for processing. The Laboratory Director is responsible for conducting the initial review of this disclosure and making the assessment below.

Based on the activity reported, to the best of my knowledge and in my judgment:

- 1. No real or potential conflict of interest exists.
- 2. A real or potential conflict of interest exists, as described in the "Summary of Real or Potential Conflict", page 2.
- 3. The management plan described on page 2 should permit the conflict to be managed in accordance with UMCES.

Margaret A. Palmer  
Signature

Date: 7/26/09

**Note:** This form and any supporting material must be forwarded to the attention of Erica Kropp, Director, Office of Research Administration and Advancement (ORAA), at UMCES Center Administration. Conflicts that have not been eliminated will be reviewed by the Conflict of Interest Committee (COI Committee), which will make its recommendation to the President. When a conflict of interest is approved, ORAA will notify the University of Maryland System, and the Maryland State Ethics Commission, as required by law and sponsor as required by sponsor specific regulations.

### **SUMMARY OF THE REAL OR POTENTIAL CONFLICT**

Provide a brief description of the conflict or potential conflict of interest.

**Board Member, Chesapeake Bay Trust. The board makes decisions on grants (awards for research) and some of those awards go to UMCES. And I may receive an award.**

### **MITIGATING FACTORS AND MANAGEMENT PLAN**

Describe the means by which the conflict or potential conflict can be eliminated, reduced, or managed. If the conflict cannot be eliminated, provide a management plan that will permit approval of an exemption, in accordance with the provisions of the State Ethics Law (attach additional sheets if necessary).

**I recuse myself from all board decisions that involve any UMCES faculty or affiliate. In fact, I am not even present in the room during discussions of UMCES related issues. I do/will not seek any information from any board member about any decisions that are made by the board regarding UMCES projects.**

### **OWNERSHIP/FINANCIAL INTEREST**

Report below any interest that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland Center for Environmental Science.

1. Name and address of entity (list all names and addresses where more than one is used):  
**Chesapeake Bay Trust**
2. Describe the research or development in which the entity is engaged:  
**environmental research and outreach**

3. Describe the entity's interest in the research to be conducted by the University:  
**new findings on restoring and protecting the Bay and its tributaries**

4. Describe your interest in the entity, and any interest held by your spouse, parent, child, or sibling—whether owned wholly by you or held jointly with others, and whether held directly or through another entity or entities. Describe the percentage of the entity owned, and any conditions and encumbrances affecting the interest.

**My interest is in submitting research proposals on occasion; thus far only one.**

5. Provide the date that the interest was acquired, and from whom.

**2006 I became a board member.**

6. Describe the purchase price, or the nature of the consideration and the fair market value at the time of acquisition.

**The only grant UMCES received for which I was the P.I. was for \$4,000 to help support the Maryland Stream Restoration Association hold workshops. None of the funds come to me personally.**

7. Describe any options you hold pertaining to the entity.

**N/A**

8. Describe any existing or potential licensing agreements.

**N/A**

9. If this form is being submitted to update a previous disclosure, describe any changes that have transpired since the date of the previous disclosure. If any part of an interest that was previously reported has been transferred, describe what was transferred, the consideration received, the fair market value at the time of transfer, and the identity of the transferee. List any related conflict of interest actions.

### **EMPLOYMENT INTEREST**

Report below any employment, office, board membership, service, or other working relationship that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland.

1. Name and address of entity (list all names and addresses where more than one are used):

**M. Palmer is Chesapeake Bay Trust Board member**

2. Describe the research or development in which the entity is engaged:

**Environmental Research and Outreach**

3. Describe the entity's interest in the research to be conducted by the University:

**new findings on restoring and protecting the Bay and it's tributaries.**

4. Describe the titles and duties of all positions held or expected to be held in the entity by you, or your spouse, parent, child, or sibling, and give the date each relationship was established.  
**I am expected to help guide the board in decisions, especially on science funded research.**

5. Describe the compensation for the positions listed above.  
**none**

6. If a relationship has changed since it was last reported, describe the change. List any related conflict of interest actions.

### **PARTICIPATION IN THE RESEARCH**

1. Describe your responsibilities or role in the research to be conducted by UMCES:  
**For the CBT \$4000 grant, I disburse the funds to pay for workshops organized by the Maryland Stream Restoration Group.**

2. Are the Co-Investigators for this project independent from your control, within the structure of your campus department or business entity?  
**N/A**

3. Describe your responsibilities or role in the research to be conducted by the entity:  
**N/A**

4. Will University of Maryland students participate in the research to be conducted by the entity? If so, will their faculty advisors have any involvement with the entity, whether directly or through another business entity or family relationship?  
**no**

### **SELECTION OF SUBAWARDEE**

If this disclosure pertains to an entity that will receive a subaward in connection with a UMCES project, the following information about the selection of the subawardee must be provided:

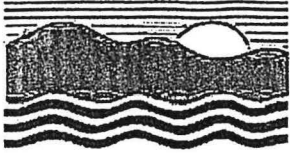
1. If the subawardee was selected as the lowest responsible bidder, please provide a summary of the bids and the analysis thereof.  
**N/A**

2. If the subawardee was selected because it is the only provider of the product or services required, please provide the sole source justification that supported the selection.  
**N/A**

Chesapeake Bay Trust  
By-Law Section on Conflict of Interest

E. Conflict of Interest.

In the course of its grantmaking, the Trust may be asked to consider proposals or issues involving organizations in which a Trust board member has a direct interest as an employee, board, or committee member. In such cases, that Trust member is expected to disclose their association and potential conflict and recuse themselves from any vote on a proposal in which they have such interest. In addition, the board member is asked to leave the room during discussion of any such proposal during Technical Review Committee (TRC) meetings, Grant Policy Committee (GPC) meetings, and Board of Trustees meetings. The minutes of the meeting shall explain their abstention.



University of Maryland  
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<http://www.umces.edu>

**MEMORANDUM**

**To:** Dr. Donald Boesch  
President

**From:** Ms. Erica Kropp *Erica Kropp*  
Director, Office of Research Administration & Advancement

**Through:** Mr. Steven Wilson *Steven Wilson*  
Vice President for Administration

**Date:** May 1, 2007

**Subject:** Conflict of Interest Disclosure for Margaret A. Palmer - #07-04

The subject disclosure was received and reviewed by the President's Ad Hoc Advisory Committee on Conflict of Interest (COI Committee), in accordance with the provisions of Section 3.4.b.3 of UMCES Policies and Procedures on Conflict of Interest in Research and Development. The recommendation of the committee is forwarded herewith for your review and determination. The committee members are Dr. Jonathan Kramer, Mr. Steve Wilson and me.

Conflict

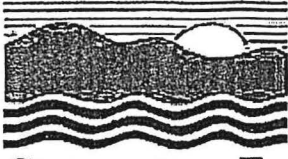
Margaret A. Palmer is the Director of UMCES Chesapeake Biological Laboratory and Professor. Her husband, J. Michael Nussman, is President and CEO of the American Sportfishing Association (ASA) which is home of the Fish America Foundation (FAF). FAF may grant awards to UMCES.

Disclosure Summary

The disclosure indicates that FAF funding decisions are made by the Executive Director of FAF and not by the ASA core office and/or Mr. Nussman. To further remove herself from an appearance of COI, Dr. Palmer will not apply for any FAF funding and she will handle any proposals for faculty who may apply for FAF funding. Dr. Palmer will also not have any of her students involved in an FAF related project.

Conditions for Approval

The Committee supports the conflict management plan as proposed by Dr. Palmer and would require that be in place as a condition of an approval.



**University of Maryland**  
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Page 2 of 2 – Palmer COI #0704

Recommendation

The COI Committee has concluded that the disclosed conflicts, managed as proposed, does not constitute a harmful interest, and recommends that this disclosure be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

Please indicate where provided for below whether or not you approve the recommendation. If you would then have this memorandum returned to me, I will notify the faculty member and other appropriate parties of your determination. Any exemptions granted will also be reported to the Maryland State Ethics Commission and the Chancellor for the UMS, as required.

Approve of COI Committee recommendation: Yes  No

*Donald J Boesch*  
 Signature: UMCES President Boesch

5/7/07  
 Date

Attachment (Disclosure)

07-04

FAF  
②

**UNIVERSITY OF MARYLAND CENTER FOR ENVIRONMENTAL SCIENCE  
RESEARCH OR DEVELOPMENT INTEREST DISCLOSURE FORM**

This form is submitted for the purpose of obtaining an exemption from certain conflict of interest provisions of the Maryland Public Ethics Law, section 15-523 of the State Government Article of the Annotated Code of Maryland. I acknowledge that this form may be maintained as a public record at the University and, if approved, will be filed with the State Ethics Commission. I hereby state that the contents of this disclosure statement are true and correct to the best of my knowledge, information, and belief.

Name: Margaret A. Palmer Lab/Unit: CBL

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

Mailing Address:  
UMCES, Chesapeake Biological Laboratory, P.O. Box 38, Solomons, MD 20688

Telephone: 410-326-7241 E-mail: palmer@cbl.umces.edu

**ADMINISTRATIVE REVIEW**

Review by the Laboratory Director or Unit Head is required before this form is submitted to ORAA for processing. The Laboratory Director is responsible for conducting the initial review of this disclosure and making the assessment below.

Based on the activity reported, to the best of my knowledge and in my judgment:

- 1. No real or potential conflict of interest exists.
- 2. A real or potential conflict of interest exists, as described in the "Summary of Real or Potential Conflict", page 2.
- 3. The management plan described on page 2 should permit the conflict to be managed in accordance with UMCES.

Margaret Palmer  
Signature

Date 1/20/09

**Note:** This form and any supporting material must be forwarded to the attention of Erica Kropp, Director, Office of Research Administration and Advancement (ORAA), at UMCES Center Administration. Conflicts that have not been eliminated will be reviewed by the Conflict of Interest Committee (COI Committee), which will make its recommendation to the President. When a conflict of interest is approved, ORAA will notify the University of Maryland System, and the Maryland State Ethics Commission, as required by law and sponsor as required by sponsor specific regulations.

### SUMMARY OF THE REAL OR POTENTIAL CONFLICT

Provide a brief description of the conflict or potential conflict of interest.

**My husband, J. Michael Nussman, is President & CEO of the American Sportfishing Association (ASA) which is the home of the Fish America Foundation (FAF). He held this position prior to my appointment as Director of CBL. FAF may give awards to UMCES.**

### MITIGATING FACTORS AND MANAGEMENT PLAN

Describe the means by which the conflict or potential conflict can be eliminated, reduced, or managed. If the conflict cannot be eliminated, provide a management plan that will permit approval of an exemption, in accordance with the provisions of the State Ethics Law (attach additional sheets if necessary).

**The FAF funding decisions are not made by the ASA core office and/or by my husband but by the Executive Director of FAF. I do not /will not apply for any FAF funds nor do I/will I handle any proposals by faculty who apply for them.**

### OWNERSHIP/FINANCIAL INTEREST

Report below any interest that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland Center for Environmental Science.

1. Name and address of entity (list all names and addresses where more than one is used):

N/A

2. Describe the research or development in which the entity is engaged:

N/A

3. Describe the entity's interest in the research to be conducted by the University:

N/A

4. Describe your interest in the entity, and any interest held by your spouse, parent, child, or sibling—whether owned wholly by you or held jointly with others, and whether held directly or through another entity or entities. Describe the percentage of the entity owned, and any conditions and encumbrances affecting the interest.

**No ownership**

5. Provide the date that the interest was acquired, and from whom.

**N/A**

6. Describe the purchase price or the nature of the consideration and the fair market value at the time of acquisition.

**N/A**

7. Describe any options you hold pertaining to the entity.

**N/A**

8. Describe any existing or potential licensing agreements.

**N/A**

9. If this form is being submitted to update a previous disclosure, describe any changes that have transpired since the date of the previous disclosure. If any part of an interest that was previously reported has been transferred, describe what was transferred, the consideration received, the fair market value at the time of transfer, and the identity of the transferee. List any related conflict of interest actions.

### **EMPLOYMENT INTEREST**

Report below any employment, office, board membership, service, or other working relationship that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland.

1. Name and address of entity (list all names and addresses where more than one are used):

**American Sportfishing Association (ASA)  
225 Reinekers Lane, Suite 420  
Alexandria, VA 22314**

2. Describe the research or development in which the entity is engaged:

**The FishAmerica Foundation is the conservation and research foundation of the American Sportfishing Association—keeping our nation’s fish and waters healthy. FishAmerica provides grants to non-profits, conservation minded groups to enhance fish populations, restore fisheries habitat, improve water quality and advance fisheries research to improve sportfishing opportunities and success.**

3. Describe the entity's interest in the research to be conducted by the University:

**New findings to protect fisheries and their habitats**

4. Describe the titles and duties of all positions held or expected to be held in the entity by you, or your spouse, parent, child, or sibling, and give the date each relationship was established.

**Mike Nussman (Palmer's husband) is President & CEO of ASA**

5. Describe the compensation for the positions listed above.

**none**

6. If a relationship has changed since it was last reported, describe the change. List any related conflict of interest actions.

### **PARTICIPATION IN THE RESEARCH**

1. Describe your responsibilities or role in the research to be conducted by UMCES:

**none**

2. Are the Co-Investigators for this project independent from your control, within the structure of your campus department or business entity?

**N/A**

3. Describe your responsibilities or role in the research to be conducted by the entity:

**none**

4. Will University of Maryland students participate in the research to be conducted by the entity? If so, will their faculty advisors have any involvement with the entity, whether directly or through another business entity or family relationship?

**Students of Palmer's will not be involved in an FAF related projects**

### **SELECTION OF SUBAWARDEE**

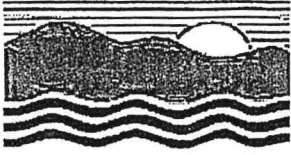
If this disclosure pertains to an entity that will receive a subaward in connection with a UMCES project, the following information about the selection of the subawardee must be provided:

1. If the subawardee was selected as the lowest responsible bidder, please provide a summary of the bids and the analysis thereof.

**N/A**

2. If the subawardee was selected because it is the only provider of the product or services required, please provide the sole source justification that supported the selection.

**N/A**



University of Maryland  
CENTER FOR ENVIRONMENTAL SCIENCE  
CENTER ADMINISTRATION

POST OFFICE BOX 775  
CAMBRIDGE, MD 21613-0775  
(410) 228-9250  
FAX (410) 228-3843  
<http://www.umces.edu>

MEMORANDUM

**To:** Dr. Donald Boesch  
President

**From:** Ms. Erica Kropp *Erica Kropp*  
Director, Office of Research Administration & Advancement

**Through:** Mr. Steven Wilson *Steven Wilson*  
Vice President for Administration

**Date:** May 1, 2007

**Subject:** Conflict of Interest Disclosure for Margaret A. Palmer - #07-05

The subject disclosure was received and reviewed by the President's Ad Hoc Advisory Committee on Conflict of Interest (COI Committee), in accordance with the provisions of Section 3.4.b.3 of UMCES Policies and Procedures on Conflict of Interest in Research and Development. The recommendation of the committee is forwarded herewith for your review and determination. The committee members are Dr. Jonathan Kramer, Mr. Steve Wilson and me.

Conflict

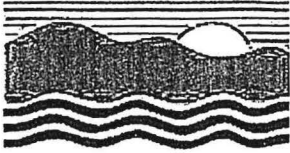
Margaret A. Palmer is the Director of UMCES Chesapeake Biological Laboratory and Professor. Her husband, J. Michael Nussman, is President and CEO of the American Sportfishing Association (ASA) which is home of the Fish America Foundation (FAF). Dr. Palmer and Mr. Nussman both serve on an advisory group to an UMCES project funded by the Gordon & Betty Moore Foundation.

Disclosure Summary

The disclosure indicates that neither Dr. Palmer nor Mr. Nussman serve in a management and/or decision role for this project and neither will be involved in the reporting or actual performance of the project. They serve as outside advisors. The Project Director is Dr. Tom Miller, a Professor at CBL, who is responsible for all performance and financial matters on this project. As Dr. Miller does report to Dr. Palmer, Dr. Palmer suggests that review for this project be done by President Boesch.

Conditions for Approval

The Committee supports the conflict management plan as proposed by Dr. Palmer with one modification. Dr. Miller would bring the review of issues on this project that might otherwise be brought forward to Dr. Palmer, forward to Dr. Michael Roman, Director of the Horn Point Laboratory. Dr. Roman has agreed to this role.



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Page 2 of 2 – Palmer COI #0705

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Recommendation

The COI Committee has concluded that the disclosed conflict, managed with the conditions above, does not constitute a harmful interest, and recommends that this disclosure be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

Please indicate where provided for below whether or not you approve the recommendation. If you would then have this memorandum returned to me, I will notify the faculty member and other appropriate parties of your determination. Any exemptions granted will also be reported to the Maryland State Ethics Commission and the Chancellor for the UMS, as required.

Approve of COI Committee recommendation: Yes  No

Ronald J. Soes  
Signature: UMCES President Boesch

5/7/07  
Date

Attachment (Disclosure)

07-05

FAF-Moore Foundation

3

**UNIVERSITY OF MARYLAND CENTER FOR ENVIRONMENTAL SCIENCE  
RESEARCH OR DEVELOPMENT INTEREST DISCLOSURE FORM**

This form is submitted for the purpose of obtaining an exemption from certain conflict of interest provisions of the Maryland Public Ethics Law, section 15-523 of the State Government Article of the Annotated Code of Maryland. I acknowledge that this form may be maintained as a public record at the University and, if approved, will be filed with the State Ethics Commission. I hereby state that the contents of this disclosure statement are true and correct to the best of my knowledge, information, and belief.

Name: Margaret A. Palmer Lab/Unit: CBL

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

Mailing Address:  
UMCES, Chesapeake Biological Laboratory, P.O. Box 38, Solomons, MD 20688

Telephone: 410-326-7241 E-mail: palmer@cbl.umces.edu

**ADMINISTRATIVE REVIEW**

Review by the Laboratory Director or Unit Head is required before this form is submitted to ORAA for processing. The Laboratory Director is responsible for conducting the initial review of this disclosure and making the assessment below.

Based on the activity reported, to the best of my knowledge and in my judgment:

- 1. No real or potential conflict of interest exists.
- 2. A real or potential conflict of interest exists, as described in the "Summary of Real or Potential Conflict", page 2.
- 3. The management plan described on page 2 should permit the conflict to be managed in accordance with UMCES.

Margaret Palmer  
Signature

Date 1/26/07

**Note:** This form and any supporting material must be forwarded to the attention of Erica Kropp, Director, Office of Research Administration and Advancement (ORAA), at UMCES Center Administration. Conflicts that have not been eliminated will be reviewed by the Conflict of Interest Committee (COI Committee), which will make its recommendation to the President. When a conflict of interest is approved, ORAA will notify the University of Maryland System, and the Maryland State Ethics Commission, as required by law and sponsor as required by sponsor specific regulations.

### SUMMARY OF THE REAL OR POTENTIAL CONFLICT

Provide a brief description of the conflict or potential conflict of interest.

**My husband, J. Michael Nussman (President & CEO, American Sportfishing Association), and I are both on an advisory group to an UMCES proposal funded by the Gordon & Betty Moore Foundation.**

### MITIGATING FACTORS AND MANAGEMENT PLAN

Describe the means by which the conflict or potential conflict can be eliminated, reduced, or managed. If the conflict cannot be eliminated, provide a management plan that will permit approval of an exemption, in accordance with the provisions of the State Ethics Law (attach additional sheets if necessary).

**I am not a PI nor in a management/decision role for this project and will not be involved in the reporting or actual performance of this project. My husband's (and the American Sportfishing Association) role is as an outside advisor and while we will both be interacting with staff on the Moore Project, no funds will be transferred to the American Sportfishing Association and Palmer will not be involved in the expenditure of funds for this project. All financial business decisions will be made the UMCES project PI, Dr. Thomas Miller. Review of this project will be done by President Boesch since Dr. Miller reports to me.**

### OWNERSHIP/FINANCIAL INTEREST

Report below any interest that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland Center for Environmental Science.

1. Name and address of entity (list all names and addresses where more than one is used):

N/A

2. Describe the research or development in which the entity is engaged:

N/A

3. Describe the entity's interest in the research to be conducted by the University: N/A

4. Describe your interest in the entity, and any interest held by your spouse, parent, child, or sibling—whether owned wholly by you or held jointly with others, and whether held directly or through another entity or entities. Describe the percentage of the entity owned, and any conditions and encumbrances affecting the interest.

**No ownership**

5. Provide the date that the interest was acquired, and from whom.

**N/A**

6. Describe the purchase price or the nature of the consideration and the fair market value at the time of acquisition.

**N/A**

7. Describe any options you hold pertaining to the entity.

**N/A**

8. Describe any existing or potential licensing agreements.

**N/A**

9. If this form is being submitted to update a previous disclosure, describe any changes that have transpired since the date of the previous disclosure. If any part of an interest that was previously reported has been transferred, describe what was transferred, the consideration received, the fair market value at the time of transfer, and the identity of the transferee. List any related conflict of interest actions.

### **EMPLOYMENT INTEREST**

Report below any employment, office, board membership, service, or other working relationship that you, or your spouse, parent, child, or sibling have in any corporation, partnership, or non-corporate entity that is or will be engaged in research or development, or has a direct interest in the outcome of research or development involving the University of Maryland.

1. Name and address of entity (list all names and addresses where more than one are used):

**American Sportfishing Association (ASA)  
225 Reinekers Lane, Suite 420  
Alexandria, VA 22314**

2. Describe the research or development in which the entity is engaged:

**American Sportfishing Association is a trade association that was formed to give the sportfishing industry a unified voice, speaking out on behalf of sportfishing and boating industries, state and federal natural resource agencies, conservation organizations, angler advocacy groups, and outdoor journalists when emerging laws and policies could significantly affect sportfishing business or sportfishing itself.**

3. Describe the entity's interest in the research to be conducted by the University:  
**New findings to protect fisheries and their habitats**
4. Describe the titles and duties of all positions held or expected to be held in the entity by you, or your spouse, parent, child, or sibling, and give the date each relationship was established.  
**Mike Nussman (Palmer's husband) is President & CEO of ASA**
5. Describe the compensation for the positions listed above.  
**No compensation to Palmer**
6. If a relationship has changed since it was last reported, describe the change. List any related conflict of interest actions.

### **PARTICIPATION IN THE RESEARCH**

1. Describe your responsibilities or role in the research to be conducted by UMCES:  
**Palmer and Nussman on advisory panel (see earlier) for Moore project; Palmer with no role at ASA**
2. Are the Co-Investigators for this project independent from your control, within the structure of your campus department or business entity?  
**N/A**
3. Describe your responsibilities or role in the research to be conducted by the entity:  
**none**
4. Will University of Maryland students participate in the research to be conducted by the entity? If so, will their faculty advisors have any involvement with the entity, whether directly or through another business entity or family relationship?  
**Students of Palmer's will not be involved in an FAF related projects**

### **SELECTION OF SUBAWARDEE**

If this disclosure pertains to an entity that will receive a subaward in connection with a UMCES project, the following information about the selection of the subawardee must be provided:

1. If the subawardee was selected as the lowest responsible bidder, please provide a summary of the bids and the analysis thereof. **N/A**
2. If the subawardee was selected because it is the only provider of the product or services required, please provide the sole source justification that supported the selection.  
**N/A**