



Financial Interest Disclosure Form

Disclosure of any significant financial interest that would appear to be affected by the conduct of a sponsored project is required by Regents' Policy and University Regulation 04.10.030, as well as National Science Foundation and Public Health Service regulations.

Principal Investigator Name: _____ Date: _____

Department: _____

Proposal Title: _____

Funding Agency: _____

I am disclosing the following significant financial interests, including interests of my spouse and dependent children, that would appear to be affected by the proposed sponsored project.

You must use the definitions set out below -- check all that apply:

Salary or other payment for services (e.g., consulting fees or honoraria).

Equity interests (e.g., stocks, stock options, or other ownership interests).

Intellectual property rights (e.g., patents, copyrights, and royalties form such rights).

Other.

Investigator Signature

Date

Instructions and Definitions

What must be disclosed?

Each investigator must disclose all significant financial interests that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by an external sponsor.

Definitions

“Investigator” means the principal investigators, co-investigators, and any person at the University who is responsible for the design, conduct, or reporting of the research or educational activity funded or proposed for funding by an external sponsor. The term “investigator” also means the investigator’s spouse and dependent children.

“Significant financial interests” means anything of monetary value, including, but not limited to:

1. Salary or other payments for services (e.g., consulting fees or honoraria);
2. Equity interests (e.g., stocks, stock options or other ownership interests; and
3. Intellectual property rights (e.g., patents, copyrights, and royalties from such rights)

But does **not** include:

1. Salary, royalties or other remuneration from the applicant institution;
2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. Income from service on advisory committees or review panels for public or nonprofit entities;
4. An equity interest that, when aggregated for the investigator and investigator’s spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity; or
5. Salary, royalties or other payments that when aggregated for the investigator and the investigator’s spouse and dependent children, are not expected to exceed \$10,000 during the next twelve month period.

Disclosure Procedure

1. All investigators must disclose their significant financial interests using this form and attaching all supporting documentation. The completed form and packet must be submitted with the proposal to the official designated to review disclosures, the Associate Vice Provost for Research and Commercialization.
2. The disclosure must be made prior to submission of the proposal and must be updated annually or whenever new significant financial interests are obtained.
3. The Associate Vice Provost for Research and Commercialization will determine whether a financial conflict of interest exists and determine what conditions or restrictions, if any, should be implemented to manage, reduce, or eliminate conflicts of interest.
4. The approved conditions or restrictions must be incorporated into a management plan between the University and the investigator.