

**A. Significant Financial Interest Disclosure Statement for Research (non-PHS)**

Investigator Name/Title:	Department/Unit:
Funding Agency:	College/Unit:
Project Title:	

I hereby certify **that I, my spouse, and dependent children in aggregate:**

☐ (will) ☐ (will not) receive salary, royalties or other payments for services (e.g., consulting fees or honoraria) in excess of \$10,000 from an external entity that would reasonably appear to be related to or affected by the research or educational activities funded, or proposed for funding, by an external sponsor;

☐ (do) ☐ (do not) hold an equity interest in a publicly traded entity in excess of \$10,000 in value in an external entity that would reasonably appear to be related to or affected by the research or educational activities funded, or proposed for funding, by an external sponsor;

☐ (do) ☐ (do not) hold an equity interest that represents more than a 5 percent ownership interest in an entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor; and

☐ (do) ☐ (do not) have other significant financial interests that possibly could affect, or be perceived to affect, the research or educational activities performed by me as part of a sponsored project.

☐ (have ever) ☐ (have not ever) participated in/received support from any foreign recruitment programs (e.g. The Thousand Talents Plan/Program)?

☐ (do) ☐ (do not) receive support (regardless of amount, including in-kind) related to my institutional responsibilities from a foreign institution of higher education or foreign government. *(Examples: salary, payment for services, consulting fees, honoraria, paid authorships, reimbursed/paid travel, gifts, gratuities, compensation for services on advisory panel/committee or review panel/committee or providing expert testimony, scholarships, office/laboratory space, equipment, supplies, and/or employees.)*

I agree to update this request and disclosure on an annual basis or at any time there is a change in the information reported.

\_\_\_\_\_  
Investigator's Signature (not delegated)

\_\_\_\_\_  
Date

Acknowledgement of negative disclosure:

\_\_\_\_\_  
Unit Head  
(Dean or Vice President)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Director, ORSP

\_\_\_\_\_  
Date

If only negative statements are checked above, no further information is required. If any positive statement is checked, you will be asked to complete the form "Supplemental Disclosure for Non-PHS Funded Research" for each interest and attach it to this form.

**B. Supplemental Disclosure Form for Research (non-PHS)**

This form must be completed for each entity that would reasonably appear to be affected by any sponsored project in which you are involved and which you, your spouse and/or dependent children in aggregate receive in excess of \$10,000 in income, hold equity interest in excess of \$10,000 in value, or hold a 5 percent ownership interest.

Name and address of entity:

Annual income from this entity: \_\_\_\_\_

Basis for income to you or a member of your family (check all that apply):

Participation as an employee    Gift    Dividends    Consulting    Lecturing  
Service on Advisory/Directors' Board    Income related to royalties on patents & copyrights

The value of ownership interest in external entity is: \_\_\_\_\_

Nature of ownership:    Equity Interest    Partnership    Other (explain)

Percentage of ownership: \_\_\_\_\_

If you or a family member has received a consulting fee, describe the nature of the consulting activities. Indicate how they relate to proposed or sponsored projects on which you serve as principal investigator, co-investigator, or senior personnel. Explain how you are keeping your interests and obligations to the entity separate from your university activity (please attach additional pages, if necessary).

If you are receiving income from royalties on patents and copyrights, explain the circumstances which resulted in this income (please attach additional pages, if necessary).

In my judgment, this disclosure of significant financial interest (does) (does not) constitute a conflict of interest.

\_\_\_\_\_  
Signature (not delegated)

\_\_\_\_\_  
Date

**Determination of the Unit Head (Dean or Vice President):**

I have reviewed the significant financial interest disclosure and in my judgment:

☐ No conflicts exist.

☐ Conflicts of interest exist or may exist. \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Determination of the Designated Official (Chief Business Officer or his/her designee):**

I have reviewed the significant financial interest disclosure and in my judgment:

☐ No conflicts exist.

☐ Conflicts of interest exist or may exist.\* \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\*A resolution plan will be developed.