## Section I:

Preface: Federal and state regulations require that a university manage, reduce or eliminate any actual, potential or perceived financial conflicts of interest that may arise as a result of compensated outside activities or other financial interests of persons involved in sponsored research projects. A conflict of interest is best described as a situation in which a person serves or represents two distinct entities or persons and must choose between two conflicting loyalties or interests. A researcher has a conflict when their outside activity or financial interest could potentially interfere with the employee's research obligations. This form must be submitted to the office of Sponsored Programs, Division of Research upon initial submission of a proposal; annually on projects funded for more than one year; and updated if a person's significant financial interest changes during the course of a funded research project.

Investigator:										
Department / Col	lege:									
Title of Project / ]	Proposal :									
Funding Agency:										
Type of Disclosur	e: 🔲 Initial Su	bmission	Annual Upda	ate [	Change					
A. Mandatory Tra Training: I underst every effort to com result in account se [Submit copy of Cl	and that Conflict plete my CITI to t up being delay	aining within ed should my	30 days of submi	itting this pr	oposal and u	ınderstand th	at not co	mpleting		
B. Disclosure of S	ignificant Finar	cial Interest	_							
	ease answer que spouse or depend rise identified as interest, as deter	estions 1-6 be lent children, salary e.g. co rmined throug	elow, as it relates received income nsulting fees, hor th reference to pu	or other rem ioraria, paid blic prices o	uneration (r authorship) r other reaso	emuneration ; equity intere	includes est includ	salary a ling any	and any pa stock, stock t value fro	ock option,
2. Do you, your spo or more within the			ive any equity / m	nanagerial in	terest from	in a publicly	y traded e	entity th	_	
3. Have you, your s \$5,000 or more wit			received income	or other ren	uneration fr	om a non-pul	blicly tra	ded enti	_	
4. Do you, your spo non-publicly traded					rest (e.g. sto	ck, stock opti	on or oth	er owne Yes	rship inter	rest) in a
5. Do you, your spo royalties and copyri							_	e.g. Pater Yes	nts, licens	es,
6. Have you, your s sponsored local, sta					ed travel inc	come (>\$5,000	0) from a	source Yes	other than	ı a
<i>If you have answer</i> (meaning each com						n 2 below for	each sign	nificant i	financial i	nterest
If you answered No I certify, to the best answers as required	of my knowledg					ed correctly ar	nd that I	will upd	ate and re	vise the
Investigator's Sign	nature:						n	ate:		

## Florida Atlantic University Division of Research/Sponsored Programs SIGNIFICANT FINANCIAL INTEREST DISCLOSURE FORM Section II:

Instructions: If you answered YES to any of the questions from Section I, please complete a separate form of Section II for each entity. (For example, if you have equity interest in a company in the amount of \$5,000 or more and you were reimbursed for travel please complete 1 form for the equity interest and a separate form for the travel.

Please remember to sign and have your dean or department chair sign.

E. Duration:

Complete a separate form (Section II) for each company you have a Significant Financial Interest in

Name of Company / Equity Interest: 1) Nature of the financial interest (Examples: travel, ownership interest, gift, consulting fees, equity interest, managerial interest, loan) 2) Name, address and web URL of entity: Please provide <u>in detail</u> what the business (or service) does or provides: Your relationship/role/duties or responsibilities in this company or entity (Please describe in detail): 5) Business structure of the entity (Examples: publicly traded for-profit entity, non public for-profit entity, nonprofit entity, foundation): 6) What is the role of the entity (if any) in this specific sponsored research project ☐ None □ Sponsor ☐ Vendor ☐ Other recipient Justify the entity's inclusion in this sponsored research project: Travel (if applicable) A. Name of Person Traveling: ☐ Self ☐ Spouse Dependent Child B. Purpose: C. Funded by: D. Destination:

## Florida Atlantic University Division of Research/Sponsored Programs SIGNIFICANT FINANCIAL INTEREST DISCLOSURE FORM

9) Describe (in detail) how	the entity you	ı have identi	ified relates t	o or impacts th	nis specific sp	onsored res	earch project:	
10) In your opinion, describ despite the significant finan				l objectivity of	f this specific	sponsored 1	esearch projec	t
		·						
11) In your opinion, describ	e (in detail) l	how you wo	uld propose t	o monitor this	specific spon	sored resea	rch project to e	nsure
objectivity and the integrity		-					real project to c	
12) Describe your supervise	oer colo in thi	e enoncorad	recental pro	iact (include a	ny ennouvisio	n over stude	ente introlerad in	, the
research):	ory role in un	is sponsored	research proj	ject (mciude a	ny supervision	n over stude	ans involved in	i uie
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agree and certify that to the unnually during the period of								
ny conditions or restriction	•		antic Univers	ity to manage	, reduce or eli	minate actu	al, potential, or	r
perceived conflict of interes	t, or forfeit th	ie award.						
Investigator's Signature:	MON KING					Date:		7
						Date.		
As Dean or Department C have reviewed this form in		tv member's	disclosure(s	) of Significan	nt Financial In	iterest and a	pprove of their	roles
he entities disclosed related						and the same of	PP1010 of their	10103
		DI ROM				7		_
Dean or Department Chair						Date:		

Appendix A.

Terms and Definitions

You means you, your spouse, and/or dependent children.

## Significant Financial Interest (SFI) is defined as:

- 1) A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the investigator's institutional responsibilities:
  - i) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
  - ii) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or
  - iii) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
- 2) Investigators also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. The Institution's FCOI policy will specify the details of this disclosure, which will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution's FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI with the PHS-funded research.

Defined Threshold means: \$5000 aggregate amount, on an entity-by-entity basis, for each of the following categories: 1) income from and equity in a publicly traded entity; 2) income from a non-publicly traded entity; 3) income from any intellectual property rights and interests; and 4) reimbursed or sponsored travel OR \$0 aggregate amount, on an entity-by-entity basis, for: 1) equity in a non-publicly traded entity; 2) income from managerial interest.

Institutional Responsibilities means University Personnel's professional responsibilities on behalf of the University, which may include for example: current or proposed activities such as research, research consultation, research-related student supervision, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards] and/or could reasonably affect or be affected by the outcome of the sponsored project and has been/will be possessed and/or received during a 12-month period prior to and/or after the disclosure.

The following **EXCLUSIONS** apply to the definition of a SFI:

- Salary, royalties, or other remuneration paid by the University to University Personnel (UP) if UP are currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights;
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as UP do not directly control the investment decisions made in these vehicles;
- Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency (Government Agency), an Institution of higher education as defined in 20 U.S.C. 1001(a) (Higher Education Institution), an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
- Income from service on advisory committees or review panels for a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
- Travel reimbursed or sponsored by a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution; and
- Grants and contracts administered through the University.