



Non-UMB Individual Investigator Disclosure of Financial Interests

This form is for non-UMB Consultants, Collaborators or Other Individuals with significant responsibilities who meet the PHS definition of an Investigator. Subrecipients **do not** fill out this form. This information is required to comply with the the PHS Regulations on the Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 CFR Part 50, Subpart F) and responsible Prospective Contractors (42 CFR Part 94). Completion of this form is **mandatory**.

UMB PHS Supported Project Title:

UMB Principal Investigator:

The UMB Principal Investigator responsible for this PHS application has determined that you meet the definition of an "Investigator" for this project.

For the purposes of this disclosure, **Investigator** is defined as any person, **regardless of title or position**, who is responsible for the design, conduct, or reporting of research, or proposed for such funding, which includes subawardees, consultants and unpaid collaborators.

Name of Disclosing Individual: E-mail: Tel:

INVESTIGATOR DISCLOSURE

- 1. Do you (and your spouse and dependent children) have a significant financial interest in a publicly traded entity that when aggregated exceeds \$5,000? When determining your response to this question, please add the value of any equity interest as of the date of this disclosure to any remuneration received from the entity in the twelve months preceding this disclosure. [] Yes [] No If yes, provide name of business entity:
- 2. Do you (or your spouse and dependent children) have the following significant financial interests in a non-publicly traded entity? a. Remuneration that when aggregated exceeds \$5,000. [] Yes [] No If yes, provide name of business entity: b. Any interest equity. [] Yes [] No If yes, provide name of business entity:
- 3. Have you (and your spouse and dependent children) received income in excess of \$5,000 during the twelve months preceding this disclosure that is related to intellectual property rights and interests (e.g., patents, copyrights)? [] Yes [] No If yes, provide name of business entity:
- 4. Has any organization sponsored or reimbursed you for any travel you have taken that is related to the proposed work on this project? Note: You are not required to disclose travel that is reimbursed or sponsored by a Federal, state or local government agency, an institution of higher education as defined in 10 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. [] Yes [] No If yes, provide name of business entity:

INVESTIGATOR CERTIFICATION

I certify to the best of my knowledge that the information disclosed herein is complete and accurate. By signing this form I agree to comply with the applicable FCOI regulations set forth in 45 CFR Part 94 and 42 CFR Part 50, Subpart F. Should this project be funded, I understand that I will be required to provide documentation to UMMS that I have completed the required FCOI training at: <http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm> before I can begin work on the project.

Signature of Individual Investigator

Date

DEFINITIONS

The 2011 revised PHS regulation defines a “Significant Financial Interest” as it relates to an Investigator's institutional responsibilities. UMB is applying the SFI definition for non-employees as it relates to the proposed or funded research.

“(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 proposed or funded research:

(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 the proposed or funded research; 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 Individual will provide the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. UMMS may request additional information in order to determine whether the travel constitutes an FCOI with the PHS-funded research.

(3) The term significant financial interest does not include the following types of financial interests: income from seminars, lectures, or teaching engagements 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; or income from service on advisory committees or review panels for 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.”