## PHS-FUNDED RESEARCH: Disclosure of Significant Financial Interest

Effective August 24, 2012 – applies to all NIH proposals submitted or awards granted on or after August 24, 2012

Before completing please read **Policy on Financial Conflict of Interest in Research - PHS Grants**. The following disclosure is made pursuant to the requirements of the PHS rule “Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought and Responsible Prospective” (42 CFR Part 50 and 45 CFR Part 94). This disclosure must be updated annually, and whenever new reportable significant financial interests are acquired.

## Definitions

**Significant Financial Interest is defined as one or more of the following that reasonably appears to be related to the Investigator’s institutional responsibilities:** (a) any equity interest in non-publically traded entities; (b) any reimbursed or sponsored travel (e.g. airfare, accommodation, per diem expenses); (c) intellectual property rights and interests, upon receipt of income related to; and/or (d) the following interest(s) which when aggregated exceed $5,000: anything of monetary value, including but not limited to salary or other payments for services (e.g., consulting fees or honoraria) and any equity interest in any publicly traded entity. The term does not include (a) salary, royalties or other remuneration from Mount Holyoke, (b) income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities, (c) income from service on advisory committees or review panels for public or nonprofit entities, (d) income from government entities or institutions of higher education, (e) income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

**Investigator is defined as:** The Principal Investigator and any other person at the College who is responsible for the design, conduct or reporting of research educational or service activities funded, or proposed for funding, by certain Federal Agencies. Typically this will include the Principal Investigator and co-Investigators, Sub-recipients, and Collaborators. For the purposes of this disclosure requirement, the term "investigator" includes the investigator's spouse and dependent children.

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| \*Disclosure | | | | | | | | |
| **Investigator Name:** | **Department:** | | **Source:** | | | **Total amount received from all sources below:**  $ | | |
| Type of Organization: pharmaceutical firm  biotech firm  engineering firm  software firm  other | | | | | | | | |
| **Nature of Remuneration** | | | | | | | | |
| salary  royalties  consulting  licensing  honoraria  reimbursed travel expenses  other | | | | | | | | |
| **Types of holding** | | | | | | | | |
| stocks/stock options  patents/copyrights  other | | | | | | | estimated value $ | |
| **Equity Interest** | | | | | | | | |
| Enterprise or entity: | | Description: | | | | | | |
| **reimbursed OR SPONSORED Travel expenses () within the last 12 months** | | | | | | | | |
| Purpose of the trip       Sponsor: \_\_\_\_\_\_\_\_ | | | | | Destination:       Duration:  airfare  othertransportation (limousine, taxi, etc.)  meals hotel /other accommodation  other | | | |
| Type of payment:  gift  income  Value $      (If the organization above provided the reimbursement “in kind,” please estimate) | | | | |
| **Signature** | | | | | | | | |
| **Investigator's Signature:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | **Date:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | **Compliance Officer’s Signature**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | **Date:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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**\*** Please note: a separate form is required for each enterprise or entity in which a significant financial interest is identified.