

## **Outside Interests Disclosure – Part II**

### **Public Health Service (PHS)**

This disclosure is:

- an initial disclosure related to an application for PHS-funded research
- an initial disclosure for ongoing PHS-funded research
- an update to disclose a newly discovered or acquired financial interest required to be disclosed on this form
- the required annual update to an existing disclosure
- a disclosure of reimbursed and sponsored travel related to Investigator's Institutional Responsibilities

#### **Disclosure of Financial Interest Related to the Investigator's Institutional Responsibilities**

The Investigator must disclose the financial interests of the Investigator, Investigator's spouse, and Investigator's dependent children that are or could reasonably appear to a non-expert to be related to the Investigator's institutional responsibilities

The financial interest of a legal entity, including but not limited to a foundation or trust, controlled or directed by the Investigator and/or the Investigator's spouse and/or dependent child(ren) is considered to be the interest of the Investigator or the Investigator's spouse or dependent child(ren) as if the legal entity did not exist.

In disclosing interests, the Investigator should resolve doubt in favor of disclosure.

#### **Remuneration**

Disclose the following financial interests existing at the present or in the 12 months preceding the date of this disclosure. List each external (non-University) entity in the fields below, if applicable.

Have you, your spouse, and/or any of your dependent child(ren) received any remunerations, which includes salary and any form of payment for services (e.g. consulting fees, honoraria, paid authorships, speaking fees) from any external entity?

Yes

No

Name of External Entity(ies):

Total amount received from each entity:

Description of services provided:

**Equity Interests – Publicly Traded**

Disclose the following financial interests existing at the present or in the 12 months preceding the date of this disclosure. List each publicly traded interest in the fields below, if applicable.

Do you, your spouse, and/or any of your dependent child(ren) hold any equity interest, which includes stock, stock option, partnership share, member interest, sole proprietorship, or other ownership interest in a publicly traded entity?

 Yes No

Name of Entity(ies)

Aggregate percent of ownership including the interests owned by you, your spouse, and dependent child(ren) for each entity:

Present value of aggregate interests owned by you, your spouse, and dependent child(ren) for each entity:

Describe how the business/activities of the external entity(ies) relate to or are similar to the Investigator's institutional responsibilities:

**Equity Interests – Non-Publicly Traded**

Disclose the following financial interests existing at the present or in the 12 months preceding the date of this disclosure. List each non-publicly traded interest in the fields below, if applicable.

Do you, your spouse, and/or any of your dependent child(ren) hold any equity interest, which includes stock, stock option, partnership share, member interest, sole proprietorship, or other ownership interest in a non-publicly traded entity?

 Yes No

Name of Entity(ies):

Aggregate percent of ownership including the interest owned by you, your spouse, and dependent child(ren) for each entity:

Present value of aggregate interests owned by you, your spouse, and dependent child(ren) for each entity:

Describe how the business/activities of the external entity(ies) relate to or are similar to the Investigator's institutional responsibilities:

### **Travel Disclosure**

Investigators participating in PHS-funded research at the University must disclose any travel reimbursed or sponsored (i.e. paid on behalf of the Investigator) by an external (non-University) entity if the travel is related to, or that could reasonably appear to a non-expert to be related to, the Investigator's institutional responsibilities within 30 days of the travel return date.

Do you have any reimbursed or sponsored travel to disclose?

Yes

No

#### **Travel 1**

Name of external entity:

Purpose:

Destination:

Duration:

Monetary value (if the exact monetary value of travel paid on the Investigator's behalf is not readily available, provide a reasonable estimate of the monetary value):

How do the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities:

Do you have any additional travel that needs to be disclosed?

Yes

No

#### **Travel 2**

Name of external entity:

Purpose:

Destination:

Duration:

Monetary value (if the exact monetary value of the travel paid on the Investigator's behalf is not readily available, provide a reasonable estimate of the monetary value):

How do the business/activities of the external entity relate to or are similar to the Investigator's institutional responsibilities:

**PHS Investigator's Certification**

I certify the following:

To the best of my knowledge, the information provided on this form is a true, accurate and complete disclosure of information required by this Financial Interest Disclosure form;

During the period of the award, I will update this Financial Interest Disclosure Form annually by July 31.

During the period of the award, I will update this Financial Interest Disclosure Form within 30 days after discovering or acquiring (through purchase, marriage, inheritance, or otherwise) new financial interests related to, or that could reasonably appear to a non-expert to be related to, my institutional responsibilities as follows:

- (1) any equity interest in a non-publicly traded entity;
- (2) an equity interest in a publicly traded entity that, alone or aggregated with remuneration from or equity interest in the same entity within the 12 months preceding the updated disclosure, is valued at more than \$5,000;
- (3) remuneration from a single external entity (publicly traded or non-publicly traded) that, alone or aggregated with remuneration from the same entity within the 12 months preceding the updated disclosure, exceeds \$5,000; or
- (4) any income related to intellectual property rights and interests.

During the period of the award, I will disclose any reimbursed or sponsored travel related to, or that could reasonably appear to a non-expert to be related to, my institutional responsibilities within 30 days of the travel return date.

I will provide any additional information necessary for the University to comply with its obligations under the PHS regulations;

I will comply with any conditions or restrictions of a management plan for a potential or actual financial conflict of interest; and

If the University determines that a financial conflict of interest exists, I understand that a management plan will be implemented before expenditure of any PHS funds.

Check to agree to the PHS Investigator's Certification