



**Disclosure of Financial Relationship for Sponsored Projects**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Type of Personnel

- Investigator       Co-Investigator       Support Personnel
- Sub-grantee       Contractor       Collaborator
- Grants Staff

Type of Disclosure

- Full Disclosure
- Update with changes (all pages must be completed)
- Update for a new proposal submission
- If a current full disclosure is on file and you have no changes, then you may simply read the following statement and sign below. Only this page (page 1) of the disclosure document needs to be submitted.

*I have reviewed my current full disclosure document and there are no changes.*

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Section A: Financial Interests and Relationships**

Report all financial interests and relationships currently held, or held within the past 12 months (or during the previous calendar year for annual disclosures), unless otherwise stated, indicating the amount of the financial interest or relationship and the entity or organization. This form must be updated with 30 days of acquiring any new or additional financial interests or relationships.

1. Payment for Services: Any and all salaries and other payments for services (e.g., consulting fees, honoraria, study design, management position, independent contractor, service on advisory committees or review panels of for-profit entities, board membership

of for-profit entities, seminars, lectures or teaching engagements for for-profit entities), when totaled together exceeded \$1,000 during the previous 12 months or are expected to exceed \$1,000 over the next 12 months.

Yes       No

If Yes, note the amount with explanation of source:

2. Equity (Ownership) Interests: Any and all equity interests or ownership (e.g. stock, stock options, partner) in entities related to the research activity that when totaled together exceed \$1,000 in value or represent more than 1% equity (ownership) interest. EXCLUDES interests in diversified mutual funds.

Yes       No

If Yes, note the amount with explanation of source:

3. Other Financial Interests or Relationships: Any and all loans, payments, gifts, in-kind contributions or similar financial interests or relationships with research related entities.

Yes       No

If Yes, note the amount with explanation of source:

4. Incentives: If involved in any research activity will you receive any money, gift or anything of monetary value above and beyond the actual costs of enrollment, conduct of the research, and reporting on the results, including, but not limited to, finder's fees, referral fees, recruitment bonuses, and enrollment bonus for reaching an accrual goal or similar types of payments?

Yes       No

If Yes, note the amount with explanation of source:

5. Other: Any other interests or relationships (including volunteer services) that might constitute a conflict of interest or an appearance of conflict of interest in connection with the research project.

Yes       No

If Yes, note the amount with explanation of source:

**Section B: Declaration**

- I, my spouse and/or my dependent children **have** a significant financial interest with an entity (or its affiliate) that is providing funds or other support for any research and/or education project, or that may be affected by the research and/or education project as noted in Section A above.
- I, my spouse and/or my dependent children **do not have** a significant financial interest with an entity (or its affiliate) that is providing funds or other support for any research and/or education project, or that may be affected by the research and/or education project.

I affirm that I:

- Have read the Policy on Financial Conflict of Interest for Externally Sponsored Projects and agree to abide by its terms.
- Will update this Disclosure Form as any new reportable significant financial interests arise.
- Will comply with any resolution plan to manage, reduce or eliminate any actual or potential financial conflict of interest before conducting any research or educational activity where a conflict of interest has been identified according to Utica University's Policy on Financial Conflict of Interest for Externally Sponsored Projects.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

(Original Signature Required)

**Please attach the completed and signed form with your internal endorsement form.**