



## FINANCIAL INTEREST REPORT FOR FEDERAL RESEARCH GRANTS

Investigator: \_\_\_\_\_

Federal Grant Name: \_\_\_\_\_

Federal Grant Number  
(if currently funded) \_\_\_\_\_

Item Description \_\_\_\_\_

Vendor \_\_\_\_\_

### INSTRUCTIONS:

All questions on this Financial Interest Report, even if written in the present tense, apply to your current activities, activities in the past 12 months, and activities anticipated during the next 12 months.

All underlined words are explained in the Definitions section below and in section B of the Financial Conflict of Interest Policy on Federal Research Grants for Stillman College which is attached as Exhibit A. As more fully defined below and in the Definitions section of the Policy, a Financial Interest is anything of monetary value, including but not limited to: salary or other compensation for services (e.g., consulting fees or honoraria), stock or other equity interests, intellectual property rights, royalties, license fees, directorships and executive roles, reimbursed or sponsored travel, excluding salary or stipends paid through Stillman College (the "College").

Any YES response to any question below requires an explanation that includes specific information about the nature of the financial interest and related activities. Based on your responses below, the College may request additional information before it concludes on the nature of any Financial Interest.

Please remember that you are required to submit information on all Financial Interests, both domestic and foreign.

### DEFINITIONS:

**Business:** any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, limited liability company, trust or other commercial entity acting directly, or indirectly, as an agent for, or on behalf, of a commercial entity, or controlled by a commercial entity.

**Family:** with respect to any Investigator: 1) the spouse or domestic partner of such Investigator or 2) dependent children of such Investigator.

**Federal Research Grant:** an award, contract or agreement issued by an agency of the U.S. Federal Government to perform research.

**Financial Interest:** is anything of monetary value, including but not limited to: salary or other compensation for services (e.g. consulting fees or honoraria), stock or other equity interests, intellectual property rights, royalties, license fees, directorships and executive roles, reimbursed or sponsored travel; but excluding salary paid through Stillman College.

**Financial Conflict of Interest:** any Financial Interest that could directly and significantly affect the design, conduct or reporting of a Federal Research Grant. Investigators who are applying for or administering NIH or other PHS funding must disclose to the

College all financial interests that are related to the Investigator's Institutional Responsibilities, not just those financial interests related to research. Institutional responsibilities are those activities that you are required to perform in fulfilling your obligations to the College, including sponsored activities, teaching, College administrative duties, clinical practice, and other College activities. For NIH and other PHS investigators, any outside activities that are associated with your area of professional expertise or related to your role at the College must be disclosed.

**Interested Business:** with respect to any Federal Research Grant conducted by an Investigator, any Business that:

- i. Provides funds for the federally supported research project, whether through a research agreement, gift or other arrangement,
- ii. Supplies drugs, devices or other goods that are subject of such federally funded research project or services of such deliverables in connection with the federally funded research project pursuant to a material transfer agreement, a research agreement or otherwise;
- iii. Owns, licenses or has any other contractual interest in the federally funded research project; or
- iv. Acts for or on behalf of another Interested Business, directly or indirectly.

**Investigator:** the principal director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research funded by a Federal Research Grant or proposed for such funding, which may include collaborators or consultants

**QUESTIONS:**

1. Do you or a member of your Family have a Financial Interest in any publicly traded Interested Business that provides funding (through a research agreement, gift or other arrangement) for your Federal Research Grant that exceeds \$5,000? Please note that this question excludes any income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made by those vehicles (e. g., the Investigator's TIAA-CREF account).

YES     NO

If you responded Yes to question #1, please indicate the following below:

- i. Name of the Interested Business: \_\_\_\_\_
- ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_
- iii. Value of the Financial Interest: \_\_\_\_\_
- iv. Nature of the Financial Interest: \_\_\_\_\_  
(i.e. Shares, Salary)

2. Do you or a member of your Family have a Financial Interest in any non-publicly traded Interested Business that provides funding (through a research agreement, gift or other arrangement) for your Federal Research Grant that exceeds \$5,000 or provides for an equity interest in the Interested Business? Please note that this question excludes any salary or stipend paid by Stillman College.

YES     NO

If you responded Yes to question #2, please indicate the following below:

- i. Name of the Interested Business: \_\_\_\_\_
- ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_
- iii. Value of the Financial Interest: \_\_\_\_\_
- iv. Nature of the Financial Interest: \_\_\_\_\_  
(i.e. Shares, Salary)

3. Have you or a member of your Family received intellectual property rights or interests (the “Rights”) from Interested Businesses (profit and non-profit)?

YES  NO

If you responded Yes to question #3, please indicate the following below:

i. Name of the Interested Business: \_\_\_\_\_

ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_

iii. Value of the Financial Interest: \_\_\_\_\_

iv. Nature of the Financial Interest: \_\_\_\_\_

4. Have you or a member of your Family been reimbursed for travel or been sponsored for travel by Interested Businesses (profit or non-profit)? Your response should not include any travel sponsored or reimbursed from Federal, state, or local government agencies; non-profit institution of higher education; academic teaching hospitals, medical centers or research institutes affiliated with an institution of higher education.

YES  NO

If you responded Yes to question #4, please indicate the following below:

i. Name of the Interested Business: \_\_\_\_\_

ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_

iii. Value of travel: \_\_\_\_\_

iv. Purpose of the Travel: \_\_\_\_\_

vi. Dates of the Travel: \_\_\_\_\_

5. In addition to any interest you disclosed in response to Questions 1-4, do you or a member of your Family have a Financial Interest that would reasonably appear to be affected by the outcome of your Federal Research Grant?

YES  NO

If you responded Yes to question #5, please indicate the following below:

i. Name of the Interested Business: \_\_\_\_\_

ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_

ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_

iii. Value of the Financial Interest: \_\_\_\_\_

iv. Nature of the Financial Interest: \_\_\_\_\_

6. Do you hold an Executive Position in or serve on the Board of Directors or an Advisory Board of Interested Businesses?

YES  NO

If you responded Yes to question #6, please indicate the following below:

i. Name of the Interested Business: \_\_\_\_\_

ii. Is the Interested Business Outside the US? If so, where \_\_\_\_\_

ii. Position Held \_\_\_\_\_

7. Have you participated in or influenced the College's selection of a contractor, vendor, or supplier of goods, equipment, real property, intellectual property or services in or from which you or any members of your Family has or received a Financial Interest?

YES     NO

If you responded Yes to question #7, please indicate the following below:

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8. Is any member of your Family employed by the College or is involved in your Federal Research Grant?

YES     NO

If you responded Yes to question #8, please indicate the following below:

i. Name of the Family Member: \_\_\_\_\_

ii. Family Relationship: \_\_\_\_\_

ii. Position Held \_\_\_\_\_

**Certification/Changed Circumstances**

I certify that I have read and agree to be bound by Stillman College's Financial Conflict of Interest Policy for Federal Research Grants.

I will promptly submit a revised Financial Interest Report if there are any changes in or additions to the outside interests and relationships described in this Financial Interest Report. If I am to participate in any federally funded project, I will submit such a revised form no later than the time the grant or contract proposal for such a project is submitted.

\_\_\_\_\_  
Investigator

\_\_\_\_\_  
Date