

CUNY Significant Financial Interest Disclosure Form for PHS Funded Research

* to be completed by each investigator on the project

Name of Investigator: _____

Phone: _____ Email: _____

College: _____

Title of Research Project: _____

Funding Agency: _____

Please indicate whether **you, your spouse or your dependent children** have any of the following financial interests that may reasonably be related to your *institutional responsibilities*¹:

EXCLUSIONS: This does NOT apply to any salary, royalties, or other remuneration paid by CUNY if you are currently employed or otherwise appointed by CUNY; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education², 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 such agencies or other entities.

1. With respect to any publicly traded entity , a total of (a) salary and any payment for services not otherwise identified as a salary (for example, consulting fees, honoraria, paid authorship) received from the entity in the past 12 months <u>AND</u> (b) the value of any equity interest in the entity (including any stock, stock option, or other ownership interest), as determined through reference to public prices or other reasonable measures of fair market value as of the date of this disclosure, in excess of \$5,000.	Yes No
2. With respect to any non-publicly traded entity , a total of salary and any payment for services not otherwise identified as a salary (for example, consulting fees, honoraria, paid authorship) received from the entity in the past 12 months in excess of \$5,000.	Yes No
3. With respect to any non-publicly traded entity , <i>any</i> equity interest in the entity (including any stock, stock option, or other ownership interest), regardless of value.	Yes No
4. Intellectual property rights and interests (for example, patents and copyrights).	Yes No

For **yourself** ONLY:

5. If you are responsible for developing, discovering, or creating CUNY-owned intellectual property, are you aware of the acquisition or intention to acquire ownership of, or a license to, that intellectual property by any corporation, partnership, or other legal entity (excluding entities controlled by the U.S. government, the State or City of New York, or CUNY) in or from which you have a financial interest described in any of Items 1, 2, or 3 above?	Yes No N/A
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¹ Professional responsibilities on behalf of CUNY, performed in the course of and within the scope of your appointment or employment by CUNY, which may include activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards.

² As defined at 20USC1001(a)

6. Do you teach, supervise, or otherwise have control over any student or postdoctoral associate at CUNY who might be involved in work for any corporation, partnership, or other legal entity (excluding entities controlled by the U.S. government, the State or City of New York, or CUNY) in or from which you have a financial interest described in any of Items 1, 2, or 3 above?	Yes No
7. Any reimbursed or sponsored travel (<i>i.e.</i> , travel paid on your behalf and not reimbursed to you so that the exact monetary value may not be readily available), related to your institutional responsibilities. EXCLUSIONS: This does NOT apply to travel reimbursed or sponsored by a Federal, state or local government agency, an institution of higher education ³ , an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.	Yes No

If you responded “yes” to any of the questions above, you must also complete a CUNY Significant Financial Interest Supplement Form. This Form and the Supplement Form, if required, should be submitted to your College Conflicts Officer, with a copy to your Grants Officer.

If you have any questions about this Form or the information it seeks, please refer to the research conflict of interest web site at <http://www.cuny.edu/research/compliance/conflictinterestpolicy.html>.

Agreement & Signature:

By signing this form, I certify the following:

- The above statements are complete, true and accurate.
- I will submit an updated Form annually, prior to submission of annual progress reports; and also within 30 days of any material change to the above-disclosed Significant Financial Interest(s) or discovering or acquiring a new Significant Financial Interest.
- I will comply with all applicable regulations, CUNY policies, sponsor requirements and any conflict of interest management and oversight plans issued by CUNY.

Signature

Date

³ As defined at 20USC1001(a)