THE UNIVERSITY OF TULSA
DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

All TU Investigators are to complete, sign and file this disclosure form (a) prior to submission of a PHS application, (b) annually during the course of an active PHS Research Activity, and (c) within thirty (30) days of acquiring or discovering any new Significant Financial Interest. Investigator shall complete this disclosure, sign, and submit it to the Director of Research and Sponsored Programs. TU shall withhold the submission of PHS application until all relevant disclosure forms have been submitted. Access to PHS funds will not be released until 1) all Financial Conflicts of Interest have been addressed in accordance with TU Financial Conflict of Interest Policy for Research Conducted Under the Public Health Service and 2) training by all Investigators involved in the PHS Research Activity has been completed.

Name of Investigator: _____

Investigator Institutional Affiliation:_____

Title of Proposal:_____

1. **Do you (or your spouse, domestic partner, or dependent children) have a financial interest in a publicly traded entity that when aggregated exceeds $5,000 that reasonably appears to be related to your Institutional Responsibilities? When determining your response to this question, please add the value of any equity interest as of the date of this disclosure to any remuneration received from the entity in the twelve months preceding this disclosure.** *Do not include mutual funds or other investment vehicles such as retirement funds as long as you do not directly control the investment decisions made for these investment vehicles.*
   ☐ NO ☐ YES (if yes, complete Table 1. on Page 2 of this form)

2. **Do you (or your spouse, domestic partner, or dependent children) have the following financial interests in a non-publicly traded entity?** *Do not include (a) payments made by TU, including salary, stipends, royalty payments, honoraria, reimbursement of expenses, or any other remuneration from TU; (b) income for seminars, lectures, teaching engagements or service on advisory committees or review panels sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education.*
   a. **Remuneration that when aggregated exceeds $5,000 in the twelve months preceding this disclosure.**
      ☐ NO ☐ YES (if yes, complete Table 1. on Page 2 of this form)
   b. **Any equity interest.**
      ☐ NO ☐ YES (if yes, complete Table 1. on Page 2 of this form)

3. **Have you (or your spouse, domestic partner, or dependent children) received income during the twelve months preceding this disclosure that is related to intellectual property rights and interests (e.g., patents, copyrights) that reasonably relates to your Institutional Responsibilities?** *Do not include royalties received from TU related to patents or copyrights.*
   ☐ NO ☐ YES (if yes, complete Table 1. on Page 2 of this form)

4. **Has any organization sponsored or reimbursed you for any travel you have taken during the twelve months preceding this disclosure related to your Institutional Responsibilities at TU?** *Do not include travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. Additional information may be requested during review.*
   ☐ NO ☐ YES (if yes, complete Table 2. on Page 2 of this form)

INVESTIGATOR CERTIFICATION

1. I have read and understand the TU Financial Conflict of Interest Policy for Research Conducted Under the Public Health Service.
2. I agree to promptly file a new disclosure form if the answers to any of these questions change.
3. I certify that my answers to these questions are accurate and truthful to the best of my knowledge.

Signature:_____ Date:_____

ORSP Review: A Significant Financial Interest that could directly and significantly affect the design, conduct or reporting of PHS Research Activity ☐ does ☐ does not appear to exist.

Signature:_____ Date:_____

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Please complete Table 1 for all Significant Financial Interests indicated in Questions 1 and 2 that are related to your Institutional Responsibilities. Describe the Nature of the Significant Financial Interest (SFI). Indicate the Value of the Significant Financial Interests, which should be categorized in the following ranges: 1) $0-$4,999 (do not report for Question 1 or 2.a.); 2) $5,000-$9,999; 3) $10,000-$19,999; 4) $20,000-$100,000 (in increments of $20,000); or 5) >$100,000 (in increments of $50,000). If the value cannot be readily determined, please note accordingly. Provide a brief description of the relationship. For intellectual property income, do not include royalties received by TU.

TABLE 1: Significant Financial Interests

Name of entity	Nature of SFI	Value of SFI	Description of Relationship

Please complete Table 2 for any reimbursed or sponsored travel you have taken during the twelve months preceding this disclosure that are related to your Institutional Responsibilities. Do not include travel that is reimbursed or sponsored by (i) a Federal, state or local government agency, (ii) an institution of higher education, or (iii) an academic teaching hospital, medical center, or research institute that is affiliated with an institution of higher education.

TABLE 2: Sponsored or Reimbursed Travel Expenses

Sponsor/Organizer	Purpose of Trip	Destination	Duration

DEFINITIONS:

Designated Institutional Official is/are the Institutional official(s) designated to solicit and conduct review of disclosures of Significant Financial Interests from each Investigator who is planning to participate in or is participating in a PHS Research Activity. TU Designated Institutional Official is the Director of Research and Sponsored Programs.

Equity Interest includes any stock, stock options, or other ownership interests as determined through reference to public prices or other reasonable measures of market value.

Financial Conflict of Interest (FCOI): A Significant Financial Interest that could directly and significantly affect the design, conduct or reporting of PHS Research Activity

Institutional Responsibilities: Investigator's professional responsibilities associated with his/her institutional appointment or position, such as research, research consultation, teaching, and institutional committee responsibilities.

Investigator: Project director, Principal Investigator, and any other individual, regardless of title or position, that the Principal Investigator identifies as independently responsible for the design, conduct or reporting of research funded by the PHS, or proposed for such funding, which may include collaborators or consultants. This includes, but is not limited to, Senior/Key Personnel named in a PHS proposal or award.

Principal Investigator (PI): An Investigator (normally an academic appointee) who has primary responsibility for the scientific and technical conduct, reporting, fiscal and programmatic administration of a sponsored project.

Senior/Key Personnel: A PHS research project director, Principal Investigator, and any other personnel considered essential to work performance and identified as Senior/Key Personnel in the proposal, progress report, or any other report submitted by the Institution.

Significant Financial Interest (SFI): A financial interest that meets the PHS thresholds for reporting received by the Investigator (including the Investigator's spouse, domestic partner, and dependent children) that reasonably appears to be related to the Investigator's Institutional Responsibilities.

Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship).