**Texas Woman’s University**

**Significant Financial Interest (SFI) Disclosure Form**

**Part A**

Investigators on applicable projects must disclose SFIs, including those of a spouse or dependent children, when the interest reasonably appears to be related to the investigator’s institutional responsibilities. Definitions can be found at the end of this form.

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Department: |  | | |
| Email: |  | Phone: |  |

During the preceding 12 months, did **you, your spouse, and/or dependent children**, alone or in combination:

* receive remuneration from and/or hold any equity interest in any *publicly traded entity* that, when aggregated, exceeds $5,000;
* receive remuneration from any *non-publicly traded entity* that, when aggregated, exceeds $5,000;
* hold any equity interest in any non-publicly traded entity;
* receive income related to intellectual property rights and interests (e.g., patents, copyrights); or
* have travel expenses related to your institutional responsibilities that were either sponsored or reimbursed by an external entity (see definitions).

NO - Sign and submit this form (Part A)to the Director of Operations, ORSP

YES –Complete **Part B,** sign andsubmit to the Director of Operations, ORSP

I certify that the information provided is true to the best of my knowledge. I agree to abide by TWU’s Financial Conflict of Interest policy and I agree to submit SFI disclosures as required by the policy.

Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Texas Woman’s University**

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**Part B**

Complete Part B if you answered “Yes” on Part A. All SFIs within the last 12 months for investigator, spouse, and children must be disclosed. Complete Section I for each entity; duplicate form as needed. Complete sections II and III and deliver the signed form (Part A and B) to the Director of ORSP, ACT 7, in a sealed envelope marked “confidential.”

|  |
| --- |
| **I. SFI FOR SPECIFIC ENTITY** |

|  |  |
| --- | --- |
| Name of Entity: |  |
| Type of Entity: | Publicly traded entity  Non-Publicly traded entity  Educational Institution or local, state, or Federal entity |
| Describe the business of the entity: | |
|  | |
| Describe the relationship / role between entity and investigator/spouse/child: | |
|  | |
| List and attach any related agreements, contracts, or other pertinent documents: | |
|  | |

|  |  |  |
| --- | --- | --- |
| **Remuneration** (*includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship)* | | |
| Aggregated amount of remuneration received in the 12 months preceding this disclosure: | | $ |
| Recipient of remuneration (check all that apply): | Investigator  Spouse  Dependent child | |
| Nature of the relationship/service for which you, your spouse, or dependent children receive remuneration: | | |
|  | | |
| Describe how the remuneration you have received ***is*** or ***is not*** related to your research: | | |
|  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Equity/Ownership Interest***(includes any stock, stock option, or other ownership interest in an external entity, as determined through reference to public prices or other reasonable measures of fair market value. Equity interest does not include personal retirement accounts such as IRAs, mutual funds, or money market accounts)* | | | |
| Indicate the aggregate fair market value of equity/ownership interest (stock, stock options, or other ownership interest) as determined through reference to public prices or other reasonable measure of fair market value) and percentage of ownership interest: | | $ | |
| Describe the role or ownership interest in the entity: | | | |
|  | | | |
| Ownership/capital stock in a *publicly traded entity* that, when combined with any remuneration, equals more than $5,000: | Amount: | | $ |
| % of ownership | | % |
| Any interest if the entity is a *non-publicly traded entity*: | | $ | |

|  |  |
| --- | --- |
| **Reimbursed or Sponsored Travel** | |
| In the past 12 months, did this entity sponsor or reimburse your for travel?  Yes  No | |
| Purpose of the trip(s): |  |
| Destination(s): |  |
| Duration (total # of days): |  |
| Aggregate value of the travel expenses: | $0-4,999  $5,000 - $9,999  $10,000 - $19,999  $20,000 - $100,000 (by increments of $20,000)  Value cannot be determined by reference to public prices or other reasonable measures of fair market value. |

**II. INTELLECTUAL PROPERTY***(patents, copyrights, royalties)*

|  |  |
| --- | --- |
| Amount of any income (including royalties) that you, your spouse, or dependent children, alone or in combination, have received in the preceding 12 months related to intellectual property rights and interests (e.g., patents, copyrights). If none, enter $0: | $ |
| Describe: | |
|  | |

**III. CERTIFICATION**

I certify that the information provided is true to the best of my knowledge. I agree to abide by TWU’s Financial Conflict of Interest policy and procedures and I agree to submit SFI disclosures as required by the policy.

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Typed Name:

**DEFINITIONS**

***Significant Financial Interest (SFI)***: A financial interest, as defined by the Code of Federal Regulations (42 CFR 50), consists of one or more of the following interests of the investigator (and those of the investigator's spouse and dependent children) that reasonably appears to be related to the investigator's institutional responsibilities:

* With regard to any publicly traded entity, an SFI exists if the value of any remuneration received from the entity in the 12 months prior to the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000.
* With regard to any non-publicly traded entity, an SFI exists if
  + the value of any remuneration received from the entity in the 12 months prior to disclosure, when aggregated, exceeds $5,000, or
  + when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or
* Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

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

***Equity interest*** includes any stock, stock option, or other ownership interest in an external entity, as determined through reference to public prices or other reasonable measures of fair market value. Equity interest does not include personal retirement accounts such as IRAs, mutual funds, or money market accounts.

***Intellectual property:***  income related to Intellectual property rights and interests (e.g., patents, copyrights, royalties)

***Exclusions to Significant Financial Interest:*** Salary or other remuneration paid by TWU; intellectual Property Rights assigned to TWU and agreements to share in royalties related to such rights; income from investment vehicles, such as mutual funds and retirement accounts; income from seminars, lectures, or teaching engagements as specified by the TWU FCOI policy; or income from service on advisory committees or review panels as specified by the TWU FCOI policy (see the TWU FCOI policy for detailed descriptions)

***Institutional responsibilities:*** An investigator’s professional responsibilities on behalf of TWU, such as teaching, professional, scholarly, research, or creative activities, administrative duties, University, disciplinary, and/or community service, or any other activity for which an investigator is compensated by TWU.

***Sponsored travel***: Investigators must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on the investigator’s behalf by an external entity and not reimbursed so that the exact monetary value may not be readily available) related to the investigator’s institutional responsibilities. This requirement *does not* apply to travel reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, medical center, or research institute affiliated with an institution of higher education.

***Spouse and dependent children:*** For purposes of disclosure, spouse and dependent children includes:

* a spouse;
* a dependent child or stepchild or other dependent, for purposes of determining federal income tax liability during the period covered by the disclosure; and
* an unmarried adult who resides in the same household as the investigator and with whom the investigator is financially interdependent as evidenced, for example, by the maintenance of a joint bank account, mortgage, or investments.