



UConn

Significant Financial Interest Disclosure Form

I. EMPLOYEE INFORMATION

Investigator:

Department:

College/School:

If Applicable,
Proposal Title:

Funding Entity:

II. DISCLOSURE

Do you, your spouse or dependent children have or expect to have in the next 12 months a Significant Financial Interest * in any business whose activities **directly** relate in any way to your research/work as an employee of the University of Connecticut?

NO

YES, in the form of (*mark all that apply*):

Salary or other payment for services (e.g. consulting fees or honoraria).
(The term does not include salary, summer salary, royalties or other remuneration paid by/through the University of Connecticut.)

Equity interests (e.g. stocks, stock options, or other ownership interests).

Other significant financial interest* of the Investigator and immediate family that possibly could affect or be perceived to affect the results of the research, educational, or service activities at the University.

**(Significant Financial Interest is defined as actual or projected annual income valued at greater than \$10,000 or an equity or ownership interest of more than five percent held by an Investigator and the Investigator's spouse or dependent.) For greater detail, see the appendix to this form or <http://compliance.uconn.edu/conflict.cfm>.*

III. RESEARCH SUBJECTS

Does this research involve human subjects?

No

Yes

Does this research involve animal subjects?

No

Yes

IV. DISCLOSURE CERTIFICATION

I agree to:

- **submit** a [Supplemental Significant Financial Interest Disclosure Form](#), if requested;
- **participate** in the development of a Management Plan should there be a conflict situation, as per the policy cited on page 2 of this form, that requires specific management. (Frequently, disclosure is sufficient management.)

A conflict must be reviewed and managed in order to access research award funds.

By my signature, I acknowledge that I am familiar with the Policy on Conflict of Interest available at <http://compliance.uconn.edu/conflict.cfm>; I certify that the information is complete and accurate to the best of my knowledge; and I acknowledge my continuing obligation to inform the University of Connecticut of any change in my outside activities by completing and submitting a new form.

Signed: _____

Date: _____

(Original signature only - a "per" signature is not acceptable)

OSP #: _____

APPENDIX

WHAT IS A SIGNIFICANT FINANCIAL INTEREST?

It means anything of monetary value, but not limited to:

1. An equity interest that when aggregated for the investigator and the investigator's spouse and dependent children exceeded \$10,000 over the last 12 months, and/or is expected to exceed \$10,000 in value over the next 12 months as determined through reference to public prices or other reasonable measures of fair market value; or
2. An equity interest that represents equal to or more than 5% ownership interest in any single entity: or
3. Salary, royalties or other payments not from the University for services (e.g., consulting fees or honoraria) that when aggregated for the investigator and the investigator's spouse and dependent children over the last 12 months exceeded \$10,000 or are expected to exceed \$10,000 over the next 12 months.

The term does **NOT** include:

1. Salary, summer salary, royalties, or other remuneration from the University;
2. Income from seminars, lectures, or teaching engagements sponsored by governmental agencies.

For greater detail, please refer to website <http://compliance.uconn.edu/conflict.cfm>