

JACKSON STATE UNIVERSITY
Disclosure of Financial Interests

This form must be completed by all **“Investigators,”** defined as the principal investigator, co-investigators, or any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS or proposed for such funding. This Research Financial Interest Disclosure Statement is to be completed in compliance with the University’s “Financial Conflict of Interest Policy”. Please refer to the JSU Financial Conflict of Interest Policy or regulations for definitions of the terms used herein. Please note, answering “yes” to any of the following questions does not mean the financial interest is inappropriate or improper, it means only that disclosure and evaluation, and in some cases, approval and oversight, are required.

Section I

Name _____ Department /Unit: _____

Title of Proposal or Award: _____

Agency Name and Award Number (if known) _____

E-Mail _____ Phone Number _____

Section II

(THIS FORM MUST BE COMPLETED AND SIGNED BY SIGNATORY. FALSE DISCLOSURES CAN RESULT IN LOSS OF FUNDING AND OTHER DISCIPLINARY ACTION)

YES NO

☐ ☐ Within the past 12 months have you or members of your immediate family, i.e., spouse, domestic partner, or dependent children, acquired “Significant Financial Interests” as described in Section IV below in a Business or other outside entity that relates to your activities at Jackson State University?

I certify that this is a complete and accurate disclosure of any financial interest, which would reasonably appear to be related to this project.

Signature _____ Date _____

Section III

PRINCIPAL INVESTIGATOR CERTIFICATION

I certify that:

1. All Significant Financial Interests meeting the criteria above have been disclosed.
2. As Principal Investigator, I have obtained and submitted disclosures for all members of the research team meeting the definition of “Investigator” as defined herein.
3. I am aware and understand that I have an ongoing responsibility to update my report immediately upon any change in outside financial activities that are related to this research project. Additionally, as Principal Investigator for this research project, I understand that it is my responsibility to ensure that the other members of the research team update their disclosures on an ongoing basis as their circumstances change.
4. I have read and understand Jackson State University policies regarding conflict of interest disclosure.
5. I have completed the Financial Conflict of Interest tutorial available at:
<http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm> and obtained a certificate of training for filing with the Office of Research Compliance.

Principal Investigator Signature

Date

Note: All thresholds listed below are an aggregate for the investigator, his or her spouse, and dependent children.

Section IV

“Significant Financial Interests” refers to anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interest); and intellectual property rights (e.g., patents, copyrights and royalties from such rights) held by an investigator and the investigator's spouse or dependent children.

Inclusions:

Income (including salary) consulting payments; honoraria, reimbursement of expenses, royalty payments, dividends, or any other payment or consideration from a simple business entity, public entity, or non-profit entity exceeding \$5,000 during the prior twelve months. Investigators must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available) related to the Investigator's institutional responsibilities. This disclosure shall include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration.

- Equity (in the form of stock, stock options, real estate or any other investment of ownership interests) in any enterprise. (This does not apply in the case of stock holdings such as diversified or mutual funds where the investigator is unaware of specific stock held).
- In regards to a non-publicly traded entity, an SFI exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the investigator's spouse or dependent children) holds any equity interest.
- A position as director, officer, partner, trustee, or member of the board of directors of any business entity.
- Any ownership interests in the institution, if institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program;
- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- Income from service on advisory committees or review panels for public or nonprofit entities; Intellectual property interest on a patent filed or to be filed by a party other than the University.
- Royalties from agreements to share in royalties related to licensed intellectual property rights (intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights are still excluded from the SFI definition.)

Exclusions:

- Salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution;
- Intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights
- Any ownership interests in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
- Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education;
- Income from service on advisory committees or review panels for a federal, state, or local government agency, or an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.