



# FLORIDA INSTITUTE OF TECHNOLOGY FACULTY/STAFF DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

All Florida Tech-employed faculty and investigators (i.e. any employee or student responsible for the design, conduct, or reporting) on research projects administered through Florida Tech, must complete this form in compliance with Federal law and University policy. This form must be submitted at minimum once annually.

\*\*\*Additional Obligations are required for Researchers funded by the Public Health Service (PHS), which includes NIH, AHRQ and FDA, or foundations following PHS Regulations. PHS has specific reporting obligations (for disclosing newly acquired significant financial interests within 30 days and sponsored/reimbursed travel) that are required under federal COI regulations 42 CFR Part 50, Subpart F and 45 CFR Part 94.

Name: \_\_\_\_\_ Academic Unit: \_\_\_\_\_

College/School: \_\_\_\_\_

PLEASE NOTE: Answering affirmatively to any of the questions below does NOT imply impropriety; it means only that disclosure and evaluation, and - if determined to be necessary - approval and oversight, are required.

**You do not need to report payments (salary, royalties, travel, or other remuneration) received from or through Florida Tech or income from investment vehicles over which you do not exercise control, such as mutual funds and retirement accounts.**

You also do not need to report payments received from any of the following entities, provided these payments are received for teaching engagements, lectures, seminars, or services on advisory committees or review panels:

- Government agencies
- US institutions of higher education and research institutes affiliated with them
- Academic teaching hospitals
- Medical centers

### **Significant Financial Interests (SFIs):**

1. During the previous 12 months, did you (or your spouse/dependent children) receive consulting compensation, honoraria, or other forms of payment (including salary and paid authorship) from an outside, non-Florida Tech affiliated entity? (Include professional societies, foundations, and non-profit organizations)

YES  NO

If you answered YES please answer a. If you answered NO please skip to Question 2.

- a. Was the activity related to your professional expertise or Florida Tech responsibilities?

YES  NO

If you answered YES please answer b. If you answered NO please skip to Question 2.

- b. Was your compensation from the outside entity greater than \$5,000 during the past 12 months?

YES  NO

*\*\*If you answered “YES” to ALL three question, you must fill out the Entity Details form.*

2. During the previous 12 months, did you (or your spouse/dependent children) hold any equity or have an ownership interest in a non-publicly traded entity, whose goals, products, or activities are related to your professional expertise or Florida Tech responsibilities?

YES

NO

3. Have you set up, founded, or co-founded a start-up company, an LLC, or a non-profit that is related to your professional expertise or Florida Tech responsibilities?

YES

NO

4. During the previous 12 months, did you (or your spouse/dependent children) hold equity in a publicly traded entity whose goals, products, or activities are related, either directly or indirectly, to your professional expertise/Florida Tech responsibilities and that (a) exceeded \$5,000 in value OR (b) when combined with income from that same entity received during the previous 12 months exceeds \$5,000? NOTE: DO NOT include stock holdings in mutual funds or retirement accounts (e.g., 401K).

YES

NO

5. During the previous 12 months, did you (or your spouse/dependent children) receive income from intellectual property rights and interests directly (not via the Florida Tech) from an outside entity that is related to your professional expertise or Florida Tech responsibilities?

YES

NO

*If you answered “YES” to any of the above questions, you must fill out the Entity Details form.*

*\*\*Please follow the specific instructions for Question 1.*

*If you are an Investigator on a research project funded by PHS or any of the foundations that follow the PHS COI regulations, please answer Question 6. Additionally, please contact the Office of Research to take the required Financial Conflict of Interest Training. If you are not a PHS Investigator please skip to Question 7.*

6. During the previous 12 months, did you (or your spouse/dependent children) receive any “sponsored” or “reimbursed” travel that exceeds \$5,000? (Reimbursed travel is travel for which the investigator is directly reimbursed by the sponsoring entity. Sponsored travel is travel that is paid directly by the sponsoring entity and is not reimbursed to the investigator. EXCEPTIONS: when travel is reimbursed or sponsored by (1) a federal, state, or local government agency; (2) an institution of higher education as defined at 20 U.S.C. 1001 (a) ; (3) an academic teaching hospital; (4) a medical center; or (5) a research institution that is affiliated with an institution of higher education.)

YES

NO.

*If you answered “YES,” you must fill out the Travel Form.*

**Conflict of Commitment (CoC):**

7. Do you currently use or propose to use University facilities or personnel to conduct research or testing for any outside interest that is not administered through Florida Tech?

YES

NO

8. Have you or will you receive any monetary support from a **foreign government or foreign organization** for research or other academic activities (e.g. teaching) that is not administered through Florida Tech?

YES

NO

9. Do you serve in an uncompensated or minimally compensated position of responsibility, such as Officer, Director, or member of the Board of Directors, at a non-Florida Tech entity or external organization OR do you hold or seek election to a public office?

YES

NO

10. Do you spend more than one day per week on paid or unpaid external professional or commercial activities (e.g., commercial consulting), even if conducted at the University, during periods of University obligations?

YES

NO

11. At any time during the academic year, did you, or will you, hold a faculty appointment, paid or unpaid, at another institution? (This does not include service on advisory committees, editorial boards, or review panels, or seminars/lectures if there is no faculty appointment associated with it. It also does not include prior employment at another university)

YES

NO

*If you answered "YES" to Questions 7 – 11, you must fill out the Conflict of Commitment Details Form.*

I, the undersigned below, have received and read the Florida Institute of Technology "Policies and Procedures to Ensure Objectivity in Research." I certify that I have disclosed all Significant Financial Interests on the part of myself and all members of my immediate family that could affect the design, conduct or reporting of the proposed research.

Further, I agree:

- to update this disclosure annually during the period of the award (or within 30 days of receiving a new SFI, if I am funded by PHS or any of the foundations that follow PHS COI regulations);
- to cooperate in the development of a Management Plan (MP) that represents a resolution plan for identified Financial Conflicts of Interest, and
- to comply with any conditions or restrictions, in the MP, imposed by the Florida Tech to manage, reduce, or eliminate the Financial Conflicts of Interest.

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**Signature**

**Typed Name**

**Date Signed**