

SIMON FRASER UNIVERSITY

Statement of Significant Financial Interests for Research Funded by the Public Health Service (PHS) of the U.S. Department of Health and Human Services, including the National Institutes of Health

Under the Regulations to the U.S. Public Health Service Act, SFU must require that each Project Director, Principal Investigator, and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research at SFU funded by the PHS, or proposed for such funding (an "Investigator") specifically disclose to SFU's designated official, being SFU's Vice-President, Research, as represented by SFU's Office of Research Services, the Significant Financial Interests (as defined in the PHS Act Regulations and duplicated on the reverse) of that Investigator and the spouse and dependent children of that Investigator that reasonably appear to be related to the responsibilities of that Investigator to SFU. As such, the following disclosure is made in response to that requirement, and supplements, but does not replace, the standard Conflict of Interest Disclosure required under SFU Conflict of Interest Policy GP 37.

Name of SFU Investigator and role: \_\_\_\_\_

Description of Significant Financial Interests received or held by the Investigator or the spouse or dependent children of that Investigator (add additional pages as necessary):

Remuneration received from any publicly traded entity in the twelve months preceding this disclosure and any equity interest in any publicly traded entity as of the date of disclosure that, when aggregated, exceeds \$5,000:

Remuneration received from any non-publicly traded entity in the twelve months preceding this disclosure that, when aggregated, exceeds \$5,000, and any equity interest (e.g., stock, stock option, or other ownership interest):

Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income > \$5,000 related to such rights and interests:

Other, including 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 their institutional responsibilities and not specifically excluded under the definition of Significant Financial Interests:

Certification

By signing below, the Investigator

- (i) confirms having (A) read and understood SFU Conflict of Interest Policy GP 37, including the definitions and procedures pertaining to PHS financial disclosure, and (B) completed within the past four (4) years the NIH Financial Conflict of Interest Training Module available at http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm;
(ii) certifies that as of the date of signing the foregoing disclosure is a complete description of all Significant Financial Interests of the Investigator and the spouse and dependent children of that Investigator relating to the responsibilities of the Investigator to SFU;
(iii) acknowledges the Investigator's responsibility during the award period to update this disclosure annually and also to disclose any new Significant Financial Interest discovered or acquired within thirty days of its discovery or acquisition;
(iv) consents to the use of this form and the disclosure herein in connection with SFU's Conflict of Interest Policy GP 37 and any SFU disclosure required under any applicable legislation, including the Regulations to the U.S. Public Health Service Act.

Signature of Investigator: \_\_\_\_\_ Date: \_\_\_\_\_

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**Significant financial interest means:**

(1) A financial interest consisting 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:

- (i) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, 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, as determined through reference to public prices or other reasonable measures of fair market value;
- (ii) With regard to any non-publicly traded entity, a significant financial interest 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 (e.g., stock, stock option, or other ownership interest); or
- (iii) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

(2) Investigators also 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 their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, 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. The Institution's FCOI policy will specify the details of this disclosure, which will include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. In accordance with the Institution's FCOI policy, the institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes an FCOI with the PHS-funded research.

(3) The term significant financial interest does not include the following types of financial interests: salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights; any ownership interest 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 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; or income from service on advisory committees or review panels for a Federal, state, or local government agency, 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.

**Freedom of information and protection of privacy**

The information on this form is collected under the general authority of the University Act (R.S.B.C. 1996, c. 468), SFU Policy GP 37 and to research funding from US Public Health Services awarding components, such as NIH (Title 42 Code of Federal Regulations, Part 50, Subpart F). It relates directly to and is necessary to comply with the [Financial Conflict of Interest Compliance Program](#) established by those agencies and in particular, NIH. This information is used only in assessing and deciding the real or potential conflict of interest disclosed in it. It is related directly to and needed by the University to ascertain Questions about the collection and use of this information should be directed to the Vice President, Research/Vice President, Legal Affairs.