

**Michigan Technological University  
Significant Financial Interest Disclosure Form**

**General Instructions**

Maintaining objectivity in research requires a commitment from Institutions and their Investigators to completely disclose, appropriately review, and robustly manage identified conflicts in order to ensure that there is a reasonable expectation that the design, conduct, and reporting of research will be free from bias resulting from any Investigator financial conflict of interest (FCOI).

**Save this form and submit via email to [COI@mtu.edu](mailto:COI@mtu.edu)**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_ Department: \_\_\_\_\_

Project Title: \_\_\_\_\_

Sponsor/Funding Agency: \_\_\_\_\_

Interests Disclosed

No Interests Disclosed

Changes Since Prior Disclosure

Role in Research (Describe your principal role for this project):

Principal Duties:

**Interest in a Publicly Traded Entity:** Do you (or your spouse or dependent children) have an equity interest in any publicly traded entity, or have you (or your spouse or dependent children) received remuneration from any publicly traded entity in the past 12 months, where the combined value of the equity interest and remuneration equals or exceeds \$5000? (see definitions at the end of this document)

Yes (if yes, duplicate this page for each instance)

No (if no, go to next category)

Name of Publicly Traded Entity: \_\_\_\_\_

Holder(s) of Interest:      You      Your spouse      Your dependent child

Nature of Interest: Describe the interest you (or your spouse or dependent children) hold in this entity, such as the type of remuneration or the nature or conditions of the equity interest.

Relationship to Research: Explain how this interest is related to this research, sponsors of this research, or to your institutional responsibilities.

Value of Remuneration: What is the total value of any remuneration received from the entity in the 12 months preceding the disclosure (aggregated across all types of remuneration from this entity)?

Value of Remuneration Cannot Be Determined: If the value of the remuneration cannot be readily determined through reference to public prices or other reasonable measures of fair market value, explain why.

Value of Equity Interest: What is the total value of any equity interest in the entity as of the date of this disclosure?

Value of Equity Interest Cannot Be Determined: If the value of the equity interest cannot be readily determined through reference to public prices or other reasonable measures of fair market value, explain why.

Aggregated Value of Interest: What is the combined value of the equity interest in the entity and the remuneration received from the entity in the past 12 months?

Proposed Management Plan: In the event that this financial interest is determined to constitute a real or perceived conflict of interest by the institution, please propose a plan for managing, reducing, or eliminating this interest in order to safeguard objectivity in the research project. *The institution will make the final determination on the management plan and will communicate the management and monitoring plan in writing to you.*

**Interest in a Non-Publicly Traded Entity:** Have you (or your spouse/partner or dependent children) received remuneration in the past 12 months from a non-publicly traded entity that in aggregate equals or exceeds \$5000, or do you (or your spouse or dependent children) have an equity interest of any amount in a non-publicly traded entity? (see definitions at end of document)

Yes (if yes, duplicate this page for each instance)

No (if no, skip to next section)

Name of Non-Publicly Traded Entity: \_\_\_\_\_

Holder(s) of Interest:      You      Your spouse      Your dependent child

Nature of Interest: Describe the interest you (or your spouse/partner or dependent children) hold in this entity, such as the type of remuneration or the nature or conditions of the equity interest.

Relationship to Research: Explain how this interest is related to this research, sponsors of this research, or your institutional responsibilities.

Value of Remuneration: What is the total value of any remuneration received from the entity in the 12 months preceding the disclosure (aggregated across all types of remuneration from this entity)?

Value of Remuneration Cannot Be Determined: If the value of the remuneration cannot be readily determined through reference to public prices or other reasonable measures of fair market value, explain why.

Value of Equity Interest: What is the total value of any equity interest in the entity as of the date of this disclosure?

Value of Equity Interest Cannot Be Determined: If the value of the equity interest cannot be readily determined through reference to public prices or other reasonable measures of fair market value, explain why.

Proposed Management Plan: In the event that this financial interest is determined to constitute a real or perceived conflict of interest by the institution, please propose a plan for managing, reducing, or eliminating this interest in order to safeguard objectivity in the research project. *The institution will make the final determination on the management plan and will communicate the management and monitoring plan in writing to you.*

**Intellectual Property Interest:** Do you (or your spouse or dependent children) have any intellectual property rights or interests that reasonably appear to be related to this research, sponsors of this research, or your institutional responsibilities, for which you (or your spouse or dependent children) have received income at any time? (See Definitions at the end of this document)

Yes (if yes, duplicate this page for each instance)

No (if no, go to next category)

Intellectual Property: Describe the intellectual property, such as the patented device, copyrighted work, trade secret, or other intellectual property right.

Holder(s) of Interest:      You              Your spouse              Your dependent child

Nature of Interest: Describe the interest you (or your spouse or dependent children) hold in this intellectual property, such as the rights assigned to you (or your spouse or dependent children) under the terms of intellectual property agreements or the nature or conditions of royalties received from the interest.

Patent/Copyright #: Provide any patent or copyright numbers assigned to the intellectual property. If there is no patent/copyright number, indicate whether one is pending or explain why one will not be obtained.

Relationship to Research: Explain how this interest is related to this research, sponsors of this research, or your institutional responsibilities.

Name of Sponsor: Name the sponsor, research institution, or other entity to which this intellectual property right or interest reasonably appears to be related.

Income from Intellectual Property Interest: What is the value of the income you have received from this intellectual property interest as of the date of this disclosure?

Income from Intellectual Property Interest Cannot Be Determined: If the value of the income you have received from this intellectual property interest cannot be readily determined by through reference to public prices or other reasonable measures of fair market value, explain why.

Proposed Management Plan: In the event that this financial interest is determined to constitute a real or perceived conflict of interest by the institution, please propose a plan for managing, reducing, or eliminating this interest in order to safeguard objectivity in the research project. *The institution will make the final determination on the management plan and will communicate the management and monitoring plan in writing to you.*

**Reimbursed or Sponsored Travel:** Have you (or your spouse or dependent children) made any reimbursed or sponsored travel which is related to this research, sponsors of this research, or your institutional responsibilities? (See definitions at end of document)

Yes (if yes, duplicate this page for each instance)

No (if no go to next category)

Name of Travel Sponsor/Organizer: \_\_\_\_\_

Traveler(s)    You        Your spouse        Your dependent child

Purpose of Travel:

Destination: \_\_\_\_\_

Duration of Travel: \_\_\_\_\_

Relationship to Research: Explain how this travel is related to this research, sponsors of this research, or your institutional responsibilities.

Value of Travel: What is the value of the reimbursed or sponsored portions of this trip, aggregated for all reimbursed/sponsored costs of this trip (e.g., hotel, transportation, meals, entertainment, etc.)?

Value of Travel Cannot Be Determined: If the value of the sponsored travel cannot be readily determined, explain why.

Proposed Management Plan: In the event that this travel is determined to constitute a real or perceived conflict of interest by the institution, please propose a plan for managing, reducing, or eliminating this interest in order to safeguard objectivity in the research project. *The institution will make the final determination on the management plan and will communicate the management and monitoring plan in writing to you.*

## Form Complete and Certification

Thank you for completing this Significant Financial Interest Disclosure Form. By completing this form, you attest that all information provided in this disclosure is complete and accurate to the best of your knowledge. You also acknowledge that you have reviewed the applicable conflict of interest policies and agree to abide by all applicable policies and regulations.

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

**Save this form and submit via email to [COI@mtu.edu](mailto:COI@mtu.edu)**

### Definitions:

**“Remuneration”** includes any of the following that may have been received in the past 12 months, where the remuneration reasonably appears to be related to this research, sponsors of this research, or your institutional responsibilities: Salary, Consulting fees, Honoraria, Paid authorship, Rent, Deferred income, Loans (other than secured commercial loans), Wages, Retainers, Any other economic benefit received for services rendered or to be rendered.

**“Equity interest”** includes any of the following types of ownership interest that you (or your spouse/partner or dependent children) hold at the time of this disclosure, where the interest reasonably appears to be related to this research, sponsors of this research, or your institutional responsibilities: Stocks, Stock options, Warrants, Equity/membership, Profit-sharing, Convertible securities, Any other ownership interest

**“Remuneration” and “equity interest” do not include** the following:

- ~Salary, royalties, or other remuneration paid by the Institution that is applying for, or that receives, PHS research funding for this project to you if you are 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 that is applying for, or that receives, PHS research funding for this project held by you, if the Institution is a commercial or for-profit organization
- ~Income from investment vehicles, such as mutual funds and retirement accounts, as long as you do 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
- ~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.

**Management Plan:** Potential management strategies may include (but are not limited to):

- Disclosure of interests to collaborators and/or subjects
- Disclosure of interests in any public release of research results
- Objective observation or monitoring of research activities
- Objective review of manuscripts prior to submission for publication
- Changes to research design or activities
- Changes or limitations to your role in the research (such as recruitment, consenting, or data analysis)
- Reduction or divestiture of the interest

**“Intellectual property right or interest”** includes any direct or indirect interest in a patent, trademark, copyright, trade secret, or other intellectual property right.

**“Intellectual property rights or interests” do not include** intellectual property rights assigned to the Institution that is applying for, or that receives, PHS research funding for this project or agreements to share in royalties related to such rights.

**“Reimbursed or sponsored travel” does not include** 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.