



FINANCIAL INTEREST DISCLOSURE FORM 1

(Please submit form to grants@yu.edu)

Full Name:	School:
Banner ID:	Academic Unit:

PART A: REQUIRED TRAINING

I certify that I have reviewed and understand the contents of the required training. [Link to NIH Policy and Compliance](#)

[Link to eRA Training](#)

PART B: SIGNIFICANT FINANCIAL INTEREST

[Link to CITI Programs](#)

- | | | |
|---|-----|----|
| 1. Have/will you ⁱ receive(d) income (e.g. gifts, favors, loans, services, salary, consulting fees), and/or have/will you possess(ed) an equity/managerial interest from/in a <u>publicly traded entity</u> deemed a Significant Financial Interest (SFI) ⁱⁱ ? | YES | NO |
| | YES | NO |
| 2. Have/will you receive(d) income (e.g. gifts, favors, loans, services, salary, consulting fees) from a <u>non-publicly traded entity</u> deemed a SFI ? | YES | NO |
| 3. Do/will you possess an equity/ managerial interest in a <u>non-publicly traded entity</u> deemed a SFI ? | YES | NO |
| 4. Do you receive income from any Intellectual property rights and interests (e.g. patents, licenses, royalties, and copyrights) deemed a SFI ? | YES | NO |
| 5. Do you have an appointment with another institution where you receive compensation? | YES | NO |
| 6. Have/will you receive(d) reimbursed or sponsored travel deemed a SFI ? | YES | NO |

If you have answered YES to any of the questions in Part B, please provide a list of all entities in the box below and complete, sign, and return an additional form, **Financial Interest Disclosure Form 2 | To request form 2, email grants@yu.edu**, for each significant financial interest along with this form to the Office of Sponsored Programs.

Entities/ Intellectual Property:

I certify, to the best of my knowledge and belief, that the above questions have been answered correctly and that I will update and revise the answers as required.

Signature _____ Date _____

You means you, your spouse, and/or dependent children.

ⁱⁱ **Significant Financial Interest (SFI)** means a financial interest of a value exceeding a *Defined Threshold** that is reasonably related to your *Institutional Responsibilities* ** and/or could reasonably affect or be affected by the outcome of the sponsored project and has been/will be possessed and/or received during a 12-month period prior to and/or after the disclosure. The following **EXCLUSIONS** apply to the definition of a SFI:

- Salary, royalties, or other remuneration paid by the University to University Personnel (UP) if UP are currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights;
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as UP 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 (Government Agency), an Institution of higher education as defined in 20 U.S.C. 1001(a) (Higher Education Institution), an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
- Income from service on advisory committees or review panels for a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution;
- Travel reimbursed or sponsored by a Government Agency, a Higher Education Institution, an academic teaching hospital, a medical center, or a research institute that is affiliated with a Higher Education Institution; and
- Grants and contracts administered through the University.

**Defined Threshold* means:

- \$5000 aggregate amount, on an entity-by-entity basis, for each of the following categories: 1) income from and equity in a publicly traded entity; 2) income from a non-publicly traded entity and 3) reimbursed or sponsored travel
- \$0 aggregate amount, on an entity-by-entity basis, for: 1) equity in a non-publicly traded entity; 2) income from managerial interest 3) income from any intellectual property rights and interests

** *Institutional Responsibilities* means University Personnel's professional responsibilities on behalf of the University, which may include for example: current or proposed activities such as research, research consultation, research-related student supervision, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.