

Financial Disclosure Form 800D

This Submittal is for: New Disclosure Updated Disclosure

Investigator Making Disclosure

Investigator Email Address

Investigator Phone Number

Principal Investigator Name (if different)

Proposal/Project Title

OSP ID Number

Sponsor Award Number *(if awarded)*

All Investigators must answer the following question:

Do you, your spouse, or dependent child(ren) have any Significant* and Related Financial Interest(s)* that would:

- (i) reasonably appear to be affected by the research for which funding is sought or,
- (ii) are in the sponsor of the research or
- (iii) are in entities whose financial interests would reasonably be affected by the research?

*See next page for definitions. Yes No

If you answered **YES**, and the funding has been or definitely will be awarded, please complete the addendum pages, sign and submit to ORCA.

If you answered **YES**, and the funding is still in the proposal stage, please sign and submit to your OSP staffer.

When you get notification that the funding will be awarded, please complete the addendum pages, sign and submit to ORCA.

If you answered **NO**, please sign this form and submit with your proposal.

Investigator Signature

Date

Definitions

Investigator is defined as *'the principal investigator, co-principal investigators/co-project directors, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.'*

Significant Financial Interest (SFI) are defined as *anything of monetary value including, but not limited to:*

- Salary, income, honoraria, royalties, dividends, consulting, loans, travel reimbursement, or other payment or consideration with value (e.g., equipment loans) from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the Investigator, spouse, and dependent child(ren).
- Equity interest (stock, stock options, real estate, etc.) that exceeds \$10,000 or 5% ownership.
- Management position such as board member, director, officer, partner, or trustee held by the Investigator.
- Intellectual property interest held by the Investigator, spouse, and dependent child(ren) assigned or to be assigned to a party other than the Regents.

Please note that SFI does not include:

- income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities
- income from service on advisory committees or review panels for public or nonprofit entities

Related Financial Interest (RFI) is defined as *work performed under a sponsored project, which results would appear to affect the Investigator's SFI.* The following are examples of situations which are considered RFIs:

- The results of the sponsored project being carried out by Investigator would be relevant to development, manufacturing, or improvement of product or service of entity in which the Investigator has a SFI.
- The investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure, or any other product used in the project or that will predictably result from the project.
- The Investigator gets consulting income from a single entity that exceeded \$10,000 during the prior twelve months and the financial interests of that entity, or the Investigator's financial interest related to consulting for that entity, would reasonably appear to be affected by the research to be conducted.