

Investigators' Annual Financial Conflict of Interest Disclosure Form

Date:	School/College
Investigator Name:	Department/Other Unit:
Title/Rank:	Project PI or PD Name:
Email:	Funding Agency:
Phone:	Project CFDA#
Support Year (<i>Year of Grant e.g., 1, 2 or 3</i>):	Project Title:

Each PI or senior research staff identified in NMHU's **Project Disclosure Form** must complete the *Annual Financial Conflict of Interest Disclosure Form* and submit it within 60 day after the funding of each research or sponsored proposal (new or renewal) to the Office of Research and Sponsored Projects (ORSP).

Nature of Financial Interest

Have **you, your spouse, domestic partner, and/or dependent children** had any financial interest(s) with an entity in regards to the following activities? Please click on all applicable items listed below.

	1. An entity sponsors my (our) research or program (even if unrelated to the research being proposed).
	2. I (we) receive products, services, or research interests that could reasonably appear to be affected by my research or sponsored program.
	3. An entity sells goods or services to the University that will be used in my (our) research or sponsored program.
	4. An entity has made or pledged a gift to the University Foundation that supports my (our) research or sponsored program.
	5. An entity has another involvement in my (our) research or sponsored program (such as a consulting agreement).
	6. I (we) have received remuneration from an entity in the 12 months preceding this disclosure and the value of the equity interest from the entity, when aggregated, exceeds \$5,000. <i>Examples of 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 ownership interest as determined through reference to public prices or other reasonable measures of fair market value.</i>
	7. With regard to any non-publicly traded entity, I (we) have received a value of remuneration from an entity in the 12 months preceding this disclosure, when aggregated, exceeds \$5,000 or I (or my spouse or dependent children) hold an equity interest (e.g., stocks, stock options, or other ownership interest).
	8. I (we) have received reimbursement or sponsored travel by a single entity in a 12-month period and it exceeds \$5,000. <i>You do not need to disclose travel if it was sponsored or reimbursed by any of the following: a U.S. federal, state or local government agency; a U.S. institution of higher education; a U.S. academic teaching hospital, a U.S. medical center; or a U.S. research institute affiliated with an institution of higher education.</i>
	9. I am aware of other potential or actual conflict of interest situations related to my/our research or sponsored program.

If you CLICKED any of the items above, you are required to sign this form, complete the following two pages, and submit the form to the Office of Research and Sponsored Projects (ORSP).

If you DID NOT CLICK any of the items above, please sign below and submit only the first page of this document to ORSP.

Investigator's Assurance

I agree to abide by the University's policy on Conflict of Interest and that the above and attached information is true to the best of my knowledge. I agree to:

1. Provide any additional information requested by ORSP;
2. Notify ORSP if there are any changes to this information within 30 days after it occurs; and
3. Cooperate in the development and implementation of an appropriate Management Plan if required.

Signature of PI	Date:
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Detailed FCOI Information

Instructions:

Please complete the following statements if you marked YES to any items on the first page of this document.

Financial Conflict of Interest (FCOI)	X	Amount/Monetary Value of FCOI <i>(select one in each appropriate category)</i>
1. An entity sponsors my (our) research or program.		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
2. I (we) receive products, services, or research interests that could reasonably appear to be affected by my research or sponsored program.		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
3. An entity sells goods or services to the University that will be used in my (our) research or sponsored program.		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
4. An entity has made or pledged a gift to the University Foundation that supports my (our) research or sponsored program.		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
5. An entity has another involvement in my (our) research or sponsored program (such as a consulting agreement).		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
6. I (we) have received remuneration from an entity in the 12 months preceding this disclosure and the value of the equity interest from the entity, when aggregated, exceeds \$5,000.		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>
7. I (we) have received remuneration from a non-publicly traded entity in the 12 months preceding this disclosure and the value of the equity interest from the entity, when aggregated, exceeds \$5,000, or I (we) hold an equity interest		\$0 to \$4,000,
		\$500-\$9,999
		\$10,000-\$19,999
		between \$20,000-\$100,00 by increments of \$20,000
		above \$100,000-\$599,999 by increments of \$50,000
		>\$600,000 specify amount
		Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>

8. I (we) have received reimbursement or sponsored travel by a single entity in a 12-month period and it exceeds \$5,000.	\$0 to \$4,000,
	\$500-\$9,999
	\$10,000-\$19,999
	between \$20,000-\$100,00 by increments of \$20,000
	above \$100,000-\$599,999 by increments of \$50,000
	>\$600,000 specify amount
	Value cannot be readily determined though reference to public prices or other pricing reasonable measures of fair market value. <i>Provide a statement below justifying this claim.</i>

Statement on interest where the value may not be readily determined. *Use separate sheet if more space needed.*

Description of how the FCOI relates to the research project. *Use separate sheet if more space needed.*