
SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

DIRECTIONS

The following is a list of screening questions related to your potential Significant Financial Interests (SFI). A Significant Financial Interest is defined as anything of monetary value (whether that value can be easily determined or not), that belongs to you, your spouse, your domestic partner, or your dependent children and reasonably appears to be related to your Institutional Responsibilities. Institutional responsibilities means an Investigator's professional responsibilities on behalf of the Institution/company receiving the subaward, which may include for example: activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

To be considered a SFI, interests must meet ANY of the following criteria which apply to you, your spouse/domestic partner, and/or your dependent children:

- Remuneration from a publicly-traded entity* during the previous 365 days and/or hold any equity interest in the entity, the combined value of which exceeds \$5,000.
- ANY equity interest in a non-publicly traded entity*.
- Receipt of more than \$5,000 in remuneration from a non-publicly traded entity* during the previous 365 days.
- Remuneration of any dollar amount from intellectual property rights and interests (such as patents, copyrights, royalties, licensing fees) during the previous 365 days.
- Reimbursement for travel or any travel costs sponsored by an entity (other than a U.S. government, academic medical center or higher education institution) if costs for that travel when aggregated, exceed \$5,000 per sponsoring entity* in the previous 365 days.

*The use of entity above excludes the institution/company that is receiving the subaward.

UO Policy and federal regulations require you to declare Significant Financial Interests that "reasonably appear related" to your Institutional Responsibilities. While in some cases, a relation will be obvious (such as a financial interest in a pharmaceutical company for which you evaluate potential drugs); in many cases the relation will be less obvious. In such instances, you should declare this SFI to the University, as the compliance burden shifts to the University to determine whether the SFI is reasonably related your Institutional Responsibilities, reducing your risk for noncompliance.

If you answer any screening question with Yes, you must fill out Attachments A, B, C, D, E, or F depending on the Significant Financial Interest type you indicated.

SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

1. NON-PUBLICALLY TRADED ENTITY

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination have an equity interest in a non-publicly traded entity that reasonably appear to be related to your responsibilities with the institution receiving this subaward? Do not include equity interest in the institution/company that is receiving the subaward.

Equity interest includes stock, stock options, a partnership and other ownership interests.

Equity interest does NOT include stock owned through mutual funds where investment decisions and management are made by an independent entity other than yourself (e.g., Edward Jones® Investments, Fidelity Investments, Charles Schwab®).

A non-publically traded entity is defined as any non-governmental, for-profit or non-profit company, corporation, partnership, LLC or organization other than the institution/company receiving the subaward, where the ownership interests are privately held and are not traded on public markets or exchanges, such as the NASDAQ or NYSE or other commodity exchanges.

YES Example - *Your research involves the application of nanoparticles to make dyes that are less permeable to water. You have \$500 worth of shares in Eugene Tye Dye, Inc. a non-publicly traded, for-profit family-owned company that specializes in tye-dye production and distribution of t-shirts.*

YES Example - *Your research involves a math intervention for high school students. You are the CEO of a non-profit organization called "Math for Tomorrow" that uses your math curriculum in schools across the country.*

YES Example - *You are advising a student whose thesis focuses on the application of nanoparticles to make dyes that are less permeable to water. You have 500 worth of shares in Eugene Tye Dye, Inc. a non-publicly traded, for-profit family-owned company that specializes in tye-dye production and distribution of t-shirts.*

NO Example - *Your research involves studying environmental themes in literature from the early nineteenth century. You have \$500 worth of shares in Eugene Tye Dye, Inc, a non-publicly traded, for-profit family owned company that specializes in tye-dye production and distribution.*

YES

NO

If you answered yes to this question, please complete **Attachment A**.

SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

2. PUBLICLY TRADED ENTITY

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination have an equity interest in a publicly traded entity of over \$5000 that reasonably appears to be related to your responsibilities with the institution receiving this subaward? Do not include equity interest in the institution/company that is receiving the subaward.

- Equity interest includes stock, stock options, a partnership and other ownership interests.
- Equity interest does NOT include stock owned through mutual funds where investment decisions and management are made by an independent entity other than yourself (e.g., Edward Jones® Investments, Fidelity Investments, Charles Schwab®).
- Equity interest does include stock or investment in mutual funds or other investment vehicles (hedge funds, retirement accounts, annuities, bond accounts, Roth IRAs, and traditional IRAs) where investment decisions and management are made and controlled directly by you, your spouse, domestic partner or dependent children.
- A publicly traded entity includes any non-governmental, for-profit or non-profit company, corporation, partnership, LLC or organization, other than the institution/company receiving the subaward, where shares and/or options are traded on stock or other commodity exchanges (e.g., NASDAQ, NYSE).
- **YES Example** - *Your research involves identifying new genetic markers that identify women who metabolize a cancer drug more quickly. Your spouse inherited stock worth \$1,000,000 in Mesa Laboratories, a company that specializes in selling genetic diagnostic kits and is traded on the NASDAQ.*

YES

NO

If you answered yes to this question, please complete **Attachment A**.

SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

3. **SERVED IN A MANAGEMENT ROLE**

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination serve on a paid or unpaid basis on the Board of Directors or participate in any fiduciary or management role for any entity other than the institution/company receiving this subaward?

- Service includes, but is not limited to the role of an officer, partner, trustee, and any other supervisory or management position.
- An entity is defined as any non-UO, non-governmental, for-profit or non-profit company, corporation, partnership, LLC or organization, not including the institution/company receiving the subaward.
- **YES Example** - *You wrote a textbook on vocational assessment methods for high schoolers. Your spouse serves on the Board of Directors of an educational research institute that develops career interest assessment tests for high school students. Your spouse is not paid by the institute, but does participate in making executive decisions with the other members of the Board, including allocation of philanthropic gifts and grants/contracts.*

YES

NO

If you answered yes to this question, please complete **Attachment B**.

SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

4. **COMPENSATION**

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination receive any remuneration, salary or other form of compensation, for payment of services from an external entity of over \$5000 that reasonably appears to be related to your responsibilities with the institution receiving this subaward? Do not include compensation paid by the institution/company receiving the subaward.

- Compensation includes consulting fees, honoraria, paid authorship, or any payment related to services provided.
- Compensation for services does NOT include compensation from seminars, lectures, or teaching engagements sponsored by a federal, state or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.
- **YES Example** - *You received a \$5,000 advance from Atlantic Publishing Company for a book you wrote that will be published later this year about crime and punishment. Your research and teaching are in criminology.*
- **YES Example** - *Your research is on improving solar energy panels in rainy climates. You are paid \$6000 by Sunshine Catchers, LLC as a consultant on their solar panel energy project.*
- **NO Example** - *You work at Saturday Market over the holiday and earn \$5,500 selling your home-made jewelry. Your research and teaching focus on microbial communities.*
- **NO Example** - *Your research focuses on digital presentation and asynchronous music. You receive \$6,000 from the University of Hawaii to speak at a winter seminar on using technology in luau music.*

YES

NO

If you answered yes to this question, please complete **Attachment C**.

SIGNIFICANT FINANCIAL INTEREST DECLARATION FORM

5. **REIMBURSED OR SPONSORED TRAVEL**

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination receive sponsorship or reimbursement for travel from any entity other than any U.S government organization, academic medical center or higher education institution and the costs of that travel, when aggregated, exceeded \$5,000 per sponsoring entity? Do not include travel sponsored or reimbursed by the institution/company receiving the subaward.

- Sponsored travel includes any payment made on your behalf but not reimbursed to you for travel related to your responsibilities with the institution receiving this subaward.
- Sponsored travel does not include payments made by the institution/company receiving the subaward, any local, state or governmental organization, any academic medical center associated with a higher education institution, any payment from University of Oregon or any other higher education institution.
- **YES Example** - *You have attended a professional training seminar in Atlanta, GA in which all of your travel expenses including flight, hotel, and meals are provided for by Kaplan, Inc., a private company, that makes tutoring software to improve high school performance on standardized tests. Your research involves assessment of item difficulty to improve standardized testing methods.*
- **NO Example** - *The University of New Mexico paid for your travel to provide a guest lecture on your research related to green energy.*
- Reimbursed travel includes any reimbursement payment made to you by an external entity for travel, originally paid by you/your spouse/your domestic partner/your child.
- Reimbursed travel does not include reimbursements payments made by the institution/company receiving the subaward, any local, state or governmental organization, any academic medical center associated with a higher education institution, any payment from University of Oregon or any other higher education institution.
- **YES Example** - *You paid \$5000 to attend a pharmaceutical conference in Chicago, IL. Your plane tickets, hotel and conference materials were then reimbursed by Eli Lilly several weeks later. You have long taught the series to the biochemistry students on drug discovery and high throughput screening.*
- **NO Example** - *You paid for travel to a conference to present your research findings and were reimbursed by your UO department for the trip.*

YES

NO

If you answered yes to this question, please complete **Attachment D**.

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6. **INTELLECTUAL PROPERTY**

During the previous 365 days, did you, your spouse, domestic partner or dependent children, alone or in combination receive any income from intellectual property rights or interests?

- Intellectual Property rights include any patents, copyrights, publication fees or any other royalty or licensing agreements.
- **YES Example** - *Your domestic partner receives royalties from Houghton Mifflin for a revised edition of a chemistry textbook he wrote. You use the textbook in the chemistry course that you teach regularly.*
- **NO Example** - *You receive royalties from a book you wrote before you went to graduate school called "Poems for Peace". Your area of research is art history and is unrelated to this publication.*

YES

NO

If you answered yes to this question, please complete **Attachment E**.



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7. SEI DECLARATION CERTIFICATION

- I certify that I understand what is required of me as an Investigator in the University of Oregon community participating in the design, conduct and reporting of research. I further certify that I have declared all Significant Financial Interests reasonably related to my Institutional Responsibilities on this form.

Investigator Name

Investigator Institution

Investigator Signature

Date
