

UNIVERSITY OF MISSOURI-KANSAS CITY
General Financial Disclosure Related to
Sponsored Program Agreements

This General Financial Disclosure is designed to help the University to promote objectivity in research by ensuring that "there is no reasonable expectation that the design, conduct, or reporting of research . . . will be biased by any conflicting financial interest of an Investigator" (42 CFR Part 50). It, additionally, is designed to ensure that the protection of human subjects involved in research will not be jeopardized by conflicting financial interest of the Investigator. (Please see below for definitions of Significant Financial Interest and Investigator)

The information requested is required under the Financial Disclosure Policy of the Public Health Services (PHS), the National Science Foundation (NSF), the Food and Drug Administration (FDA) and other public and private funding sources. This disclosure form is consistent with University Executive Guideline 32, Section 420.030 of the Collected Rules and Regulations of the University of Missouri. The information requested must be disclosed (a) at the time an application is submitted; (b) on an annual basis during the project period; and (c) immediately as new significant interests are obtained.

Name: _____
Sponsoring Agency: _____
Project Title: _____

My position on this project is: (check)	Principal Investigator	Project Director	Co Investigator	Other (explain)

I hereby declare that I, my spouse, or dependent children, have significant financial interests related to the work to be conducted under this sponsored project as reported on page 2 of this form. If no significant financial interests exist, indicate NONE in this space _____ and no additional information is required.

I certify that the information provided is a complete listing of all significant financial interests related to this sponsored project.

Signature: _____ Date: _____

I understand that this Disclosure is not a confidential document.

Updated forms should be forwarded to Office of Research Services, 5211 Rockhill Road or faxed to 816.235.6532.

The term 'significant financial interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights).

The term does not include:

- a. salary, royalties or other remuneration from the University;*
- b. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;*
- c. income from service on advisory committees or review panels for public or nonprofit entities; or*
- d. an equity interest that when aggregated for you, your spouse and dependent children is both not more than \$5,000 and is not more than 5% ownership interest in any single entity; or*
- e. salary, royalties or other payments that when aggregated for you, your spouse and dependent children for the next twelve months, is expected to be not more than \$5,000.*

Investigator means the principal investigator and any other person who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding. Subgrantees, contractors, and collaborators for PHS proposals and awards, have the same duty to disclose as investigators. PIs have the responsibility to obtain and submit the relevant financial disclosures for the subgrantees, contractors, and collaborators.

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Disclosure is required for all significant financial interests for you, your spouse and dependent children (a) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding: or (b) in entities whose financial interests would reasonably appear to be affected by such activities.

Name of Entity: _____

Type of Entity: (check)	<input type="checkbox"/>	Non-Profit	<input type="checkbox"/>	Private	<input type="checkbox"/>	Public	<input type="checkbox"/>	Other (explain)	<input type="checkbox"/>
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Estimated income from this entity for the next 12 months: \$ _____

Source and amount of income: Dividends \$ _____ Salary \$ _____
 Consulting \$ _____ Royalty \$ _____ Honoraria \$ _____
 Spouse or dependent child(ren) earnings \$ _____

Type of equity interest: (check all that apply)	<input type="checkbox"/>	None	<input type="checkbox"/>	Stock	<input type="checkbox"/>	Stock Options	<input type="checkbox"/>	Real Estate	<input type="checkbox"/>	Other Investments (explain)

Value	\$						Ownership		%	

Type of intellectual property rights: (check)	<input type="checkbox"/>	None	<input type="checkbox"/>	Patent(s)	<input type="checkbox"/>	Copyright(s)	<input type="checkbox"/>
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This entity (stated above) *will not* serve as a proposed subcontractor, consortium member, and supplier of goods, lesser or otherwise be involved with the project. Other comments that would assist in understanding the relationship of this project with this entity:

This financial disclosure must be updated during the period of the award, either on an annual basis or as new reportable Significant Financial Interests are obtained.

I understand that this Disclosure is not a confidential document.

Signature: _____	Date: _____
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