

CUNY Significant Financial Interest Disclosure (SFI) Form for PHS Funded Sponsored Projects

* to be completed by each investigator on the project

Name of Investigator¹:

Role of Investigator (project director / PI / co-PI / consultant / etc.):

Phone:

Email:

CUNY College/Site of Sponsored Project:

Title of Sponsored Project²:

Funding Agency:

Disclosure submission for:

New funding proposal or application

Annual progress report

Material change in a previously disclosed SFI

Discovery or acquisition of a new SFI

New investigator joining an ongoing sponsored project at CUNY

Please indicate whether **you, your spouse or your dependent children** have any of the following financial interests that may reasonably be related to your *institutional responsibilities*³:

Please note that this form must be completed by all individuals responsible for the design, conduct, or reporting of sponsored project.

EXCLUSIONS: This does NOT apply to any salary, royalties, or other remuneration paid by CUNY if you are currently employed or otherwise appointed by CUNY; income from seminars, lectures, or teaching engagements sponsored by a **United States** federal, state, or local government agency, an institution of higher education⁴, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; or income from service on advisory committees or review panels for such agencies or other entities.

¹ **Investigator:** The project director, principal investigator, co-principal investigators, and any other person, regardless of title of position, who is responsible for the design, conduct, or reporting of a University Sponsored Project, which may include, for example, collaborators or consultants, whether or not such individual is employed by the University or the Research Foundation.

² **Sponsored Project:** Projects or activities involving research, creative activity, training, instruction or service undertaken within or on behalf of the University pursuant to funding or other support from an External Sponsor.

³ **Institutional Responsibilities:** An investigator's professional responsibilities on behalf of the University, performed in the course of and within the scope of the Investigator's appointment or employment by the University, which may include, for example, activities such as research, research consultation, teaching, professional practice, institutional administration, committee memberships, and service on panels such as Institutional Review Boards, Institutional Animal Care and Use Committees or Institutional Biosafety Committees.

⁴ As defined at 20USC1001(a)

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| 1. With respect to any publicly traded entity , a total of (a) salary and any payment for services not otherwise identified as a salary (for example, consulting fees, honoraria, paid authorship) received from the entity in the past 12 months <u>AND</u> (b) the value of any equity interest in the entity (including any stock, stock option, or other ownership interest), as determined through reference to public prices or other reasonable measures of fair market value as of the date of this disclosure, in excess of \$5,000. | Yes No |
| 2. With respect to any non-publicly traded entity , a total of salary and any payment for services not otherwise identified as a salary (for example, consulting fees, honoraria, paid authorship) received from the entity in the past 12 months in excess of \$5,000. | Yes No |
| 3. With respect to any non-publicly traded entity , <i>any</i> equity interest in the entity (including any stock, stock option, or other ownership interest), regardless of value. | Yes No |
| 4. Intellectual property rights and interests (for example, patents and copyrights). | Yes No |

For yourself ONLY:

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| 5. If you are responsible for developing, discovering, or creating CUNY-owned intellectual property, are you aware of the acquisition or intention to acquire ownership of, or a license to, that intellectual property by any corporation, partnership, or other legal entity (excluding entities controlled by the U.S. government, the State or City of New York, or CUNY) in or from which you have a financial interest described in any of Items 1, 2, or 3 above? NOTE: If you answered "Yes" to this question you must also complete the CUNY Acquisition of or License to CUNY Intellectual Property (CALCIP) form and submit it to your College Conflicts Officer and the Director of the CUNY Technology Commercialization Office (TCO). | Yes No N/A |
| 6. Do you teach, supervise, or otherwise have control over any student or postdoctoral associate at CUNY who might be involved in work for any corporation, partnership, or other legal entity (excluding entities controlled by the U.S. government, the State or City of New York, or CUNY) in or from which you have a financial interest described in any of Items 1, 2, or 3 above? | Yes No |
| 7. Any reimbursed or sponsored travel (<i>i.e.</i> , travel paid on your behalf and not reimbursed to you so that the exact monetary value may not be readily available), related to your institutional responsibilities. EXCLUSIONS: This does NOT apply to travel reimbursed or sponsored by a United States federal, state or local government agency, an institution of higher education ⁵ , an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. | Yes No |

If you responded "yes" to any of the questions above, you must also complete a CUNY Significant Financial Interest Supplement Form. This Form and the Supplement Form, if required, should be submitted to your College Conflicts Officer, with a copy to your Grants Officer.

If you have any questions about this Form or the information it seeks, please refer to the [sponsored projects conflict of interest web site](#) or contact your [College Conflicts Officer](#).

⁵ As defined at 20USC1001(a)

Agreement & Signature:

By signing this form, I certify the following:

- The above statements are complete, true and accurate.
- I will submit an updated Form annually, prior to submission of annual progress reports; and also within 30 days of any material change to the above-disclosed Significant Financial Interest(s) or discovering or acquiring a new Significant Financial Interest.
- I will comply with all applicable regulations, CUNY policies, sponsor requirements and any conflict of interest management and oversight plans issued by CUNY.

Signature

Date