**University of Wisconsin-Milwaukee**

**SIGNIFICANT FINANCIAL INTEREST DISCLOSURE**

**For U.S. Public Health Service Sponsored Programs**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | Department/Unit |  |

In accordance with new Federal regulations and effective 8/24/12, all faculty and academic staff at UW-Milwaukee who plan to participate in or are participating as Key Personnel in Public Health Service (PHS)-funded research must fully disclose potential financial conflicts of interest and complete financial conflict of interest training. Key personnel are defined as those named on the application as Key Personnel and anyone responsible for the design, conduct, or reporting of a PHS-funded research activity. [Code of Federal Regulations, Title 42, Part 50, Subpart F; UWM Faculty Document 2466; and the UWM Policy for Financial Conflicts of Interest for PHS-funded Research]

This form must be submitted to the Office of Sponsored Programs no later than at the time of application for PHS funding, within 30 days of discovering or acquiring a new Significant Financial Interest, and at least annually during the period of award. Please read the Definition of Significant Financial Interest (below) for information on which types of financial interests must be reported.

I have read the Definition of Significant Financial Interest and do not have any Significant Financial Interests related to my institutional responsibilities. (If checked, Institutional Signatures [pg.2] are not required.)

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

**Significant Financial Interests**

I, my spouse, and any dependent children hold the following interests that relate to my institutional responsibilities:

□ Remuneration received from a single publicly traded entity in the twelve months preceding this disclosure and/or any equity interest held in the same entity at the date of the disclosure.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of Entity | Nature of Interest | Time Spent (days) | Check if: | |
| More than $5,000 | Held 10+% of Equity |
|  |  |  |  |  |

□ Remuneration received from a single non-publicly traded entity in the twelve months preceding this disclosure and/or any equity interest held in the same entity at the date of the disclosure.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of Entity | Nature of Interest | Time Spent (days) | Check if: | |
| More than $5,000 | Held 10+% of Equity |
|  |  |  |  |  |

□ Intellectual property rights (e.g., patents, copyrights) from which royalties or other income was received during the period covered by this disclosure. [Excluding intellectual property rights assigned to the UWM Research Foundation and agreements to share in royalties related to such rights].

|  |  |
| --- | --- |
| Name of rights: |  |

□ Travel paid for by an external party.

|  |  |  |  |
| --- | --- | --- | --- |
| Sponsor/Organizer | Purpose of Trip | Destination | Duration |
|  |  |  |  |
|  |  |  |  |

**Institutional Signatures**

Department Chair/Unit Director

I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.

I have reviewed the information itemized above and find a potential for conflict of interest.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

Dean

I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.

I have reviewed the information itemized above and find a potential for conflict of interest.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

Vice Chancellor for Research

I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.

I have reviewed the information itemized above and find a potential for conflict of interest.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

**University of Wisconsin-Milwaukee**

**SIGNIFICANT FINANCIAL INTEREST DISCLOSURE**

**For U.S. Public Health Service Sponsored Programs**

**Definition of Significant Financial Interest**

**Significant Financial Interest (SFI)**: Anything of monetary value that:

* Meets the PHS thresholds (below) for reporting received by the Investigator and, except for travel, received by the Investigator’s spouse and dependent children for the following categories
* Reasonably appears to be related to or is in the same field of expertise as the Investigator’s Institutional Responsibilities.
* Examples of SFIs include:
  + Income or honoraria received for activities such as providing expert testimony or consulting services; serving on a board of directors, scientific advisory board, committee, panel or commission sponsored by a for-profit or non-profit organization, including professional or scholarly societies; acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals for a for-profit or non- profit organization; or salary received outside UWM.
  + Any equity interest in a company that is developing, manufacturing or selling products or providing services used in an Investigator's clinical practice, teaching, research, administrative or committee responsibilities.
  + Receipt of income from any organization other than UWM or the UWM Research Foundation for use or sale of patented or copyrighted intellectual property, such as software, textbooks, or other scholarly works for which royalties or licensing fees are received, including income from previous employers and other universities.
  + The occurrence of travel by the Investigator which is reimbursed or sponsored by a for-profit or non-profit entity, excluding a federal, state, or local government, a U.S. institution of higher education or an affiliated medical center/hospital or research institute.

**PHS Thresholds for SFI Disclosure:**

* **For a publicly traded entity**: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, or any other payments or consideration of value, received during the prior 12 months and the value of any equity interest (including stock, stock options or other ownership interest, as determined by through reference to public prices or other reasonable measures of fair market value) in the entity as of the date of disclosure, which when aggregated, exceeds $5,000.

[Investigators are not required to disclose SFI in mutual funds or other investment vehicles such as retirement funds as long as the Investigator does not directly control the investment decisions made for these investment vehicles]

* **For a non-publicly traded entity**: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, any other payments or consideration of value, received during the prior 12 months that exceeds $5,000, or equity interest of any amount, including, but not limited to stock, stock options, or ownership interest in the entity.

[Investigators are not required to disclose (a) payments made by UWM, including salary, stipends, royalty payments, honoraria, reimbursement of expenses, or any other remuneration from the University of Wisconsin; or (b) income for seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education]

* **Intellectual property rights and interests**: Income received during the previous 12 months that exceeds $5,000 for such rights and interests.

[SFIs do not include royalties received from UWM or the UWM Research Foundation related to patents or copyrights]

* **Travel**: The occurrence of any sponsored or reimbursed travel must be disclosed whether payment is made to the Investigator directly or expenses are paid on behalf of the Investigator by a for-profit or non-profit organization:
* Either prospectively, by listing all travel that the Investigator anticipates will be sponsored or reimbursed during the next 12 months, or
* Within 30 days of the occurrence if the trip wasn’t reported prospectively.

[Investigators are not required to disclose travel that is reimbursed or sponsored by federal, state or local governments, a US institution of higher education, or a research institute, academic medical center or hospital that is affiliated with an institution of higher education]