

CONFIDENTIAL

DISCLOSURE STATEMENT OF SIGNIFICANT FINANCIAL INTERESTS

**** FORM B ****

PROJECT TITLE: _____

SPONSOR: _____

CONFLICT OF INTEREST

In compliance with Federal and Simmons University policies, disclosure of *relevant* significant interest is required of all full-time faculty, staff, and all other members of the University community who are responsible for the design, conduct, or reporting of research or educational activities. The disclosure of interests includes those of the University employee, her/his spouse, dependent children, and other members of the personal household.

“*Significant Financial Interests*” 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 any of the following:

- i. Salary, royalties, or other remuneration from the University;
- ii. Income (e.g., salary, fees, or other continuing payments) in an amount of \$10,000 or less per annum from any one business enterprise or entity when aggregated for the employee and members of her/his family;
- iii. Financial interest in any one business enterprise or entity if the value of those interests does not exceed a five percent (5%) ownership interest when aggregated for the employee and members of her/his family.

A. Employee Identification

Name: _____
 Last First MI

B. Employer _____
 School Department

C. Identification of Possible Conflict

Identify the relevant research and educational activities that may be affected by the financial or ownership interest that you, your spouse, dependent children or other members of your personal household may have. Complete the remainder of this section with this possible conflict in mind.

D. Ownership Interests

List any corporation, partnership, proprietorship, trust, joint venture, and every other business interest, including land use for income in which either you or other members of your household have owned within the preceding 12 months a legal or equitable interest exceeding \$10,000 or five percent, whichever is less. If you or members of your household own more than five percent (5%) of a business, you must disclose the percentage held. Please insert additional pages if necessary to complete this section.

If you have nothing to report in Section “D,” please check here []*

E. Receipt of Compensation

List all places of employment in the last calendar year and other business from which you or any member of your household received \$10,000 or more in compensation (salary, item of value, or economic benefit conferred in return for services rendered or to be rendered).

E.1 Your place(s) of employment or other business in the preceding year.

If same as Section "B" (current employment), check here []

If you have nothing to report in Section "E1," check here []

	Name of Business	Address	Type of Business
1			
2			

E.2 Spouses place(s) of employment /other business in the preceding calendar year.

If you have nothing to report in Section "E.2," please check here []

	Name of Business	Address	Type of Business
1			
2			

E.3 Other Household Members(s) place(s) of employment or other business in the preceding calendar year.

If you have nothing to report in Section "E.3," check here []

	Name of Business	Address	Type of Business
1			
2			
3			

F. Officer or Director of an Organization or Business

List any organization or business in which you, your spouse, or any other member of your household, hold a position or office, director, associate, partner, or proprietor at the time of filing, for which more than \$10,000 compensation was received or more than five percent is owned. Please insert additional pages if necessary to complete this section.

If you have nothing to report in Section "F," check here []

	Name of Business	Position Held	By Whom
1			
2			
3			
4			
5			

G. Receipt of Fees and Commissions

List each client or customer from whom you, your spouse, or any household member received an aggregate of \$10,000 or more in the preceding calendar year. *The Phrase "client or customer" relates only to businesses or combination of businesses.* In the cases of partnership, it is the partner's proportionate share of the business, and hence of the fee which is significant, without regard to expenses of the partnership. An individual who receives a salary as opposed to portions of fees or commissions is generally not required to report under this provision. Please insert additional pages if necessary to complete this section.

If you have nothing to report in Section "G," check here []

Name & Address of Business	Position Held	Held by Whom
1 _____		
2 _____		
3 _____		

H. Declaration

I, _____, declare that this statement of significant financial interest (including accompanying pages and statements) has been examined by me and to the best of my knowledge and belief is a true, correct, and complete statement of all of my significant interests and other matters required by law. I have read and understand my employer's conflict of significant financial interest policy, and I understand that the intentional failure to file this statement as required by law or intentionally filing a false statement may result in disciplinary action. Any changes to this statement will be disclosed prior to proposal submission.

_____ Date

_____ Signature of person making statement

Number of Additional Pages _____

Please return this form—in a sealed envelope marked "confidential"—to Director, Office of Sponsored Programs, Simmons University.