**Occidental College Sponsored Research Office**

**Financial Disclosure Form for Investigators**

All investigators on research proposals to and awards from the federal government. are required to disclose all significant financial interests that appear related to the investigators’ institutional responsibilities. Should it be determined that a financial conflict of interest exists, the information may be released to the funding agency. Complete one form for each Entity in which you have a financial interest and submit in a sealed envelope. See *At a Glance: Occidental College Financial Conflict of Interest Policy* at [www.oxy.edu/sro/policies](http://www.oxy.edu/sro/policies) for definitions of “significant financial interest”, “investigator”, and other terms. 12/2/2016

This submittal is for (check one) □Proposal submission □New Disclosure □ Annual update

Individual Making Disclosure: Last: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ First: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ M.I.: \_\_\_\_\_\_\_

Department: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Principal Investigator’s Name (if different): Last: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ First: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ M.I.: \_\_\_\_\_\_

|  |  |  |
| --- | --- | --- |
| Project Title or Oxy Fund Number (i.e. G493): | **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |  |
| Agency: | □ NSF □ PHS/NIH □ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |

**Provide the following information about the related Entity in which you have a financial interest.**

Name of Entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Principal Business: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. IF THE ENTITY IS PUBLICLY TRADED: Does the total remuneration plus equity interest (stock, stock option, real estate, investment, or other ownership) of you or your partner, spouse, or dependent children exceed $5,000 over the last 12 months?

□ No □ Yes – Equity interest **and** remuneration exceeds $5,000

IF YES: Describe the nature of the financial interest and explain how it may be related to your institutional responsibilities (research, teaching, service to the college). For example, does this project include the Entity as a subcontractor, consortium member, supplier of goods, lessor? Is it reasonable to anticipate that the Entity will manufacture or commercialize any product, or process that is likely to result from the project? Is it reasonable to anticipate that the Entity could be directly and significantly affected by the design, conduct, or reporting of the project? Is it reasonable to anticipate that the Entity or your financial interest could be directly and significantly affected by the design, conduct, or reporting of the activity proposed? Attach a separate page if needed.

2. IF THE ENTITY IS NON-PUBLICLY TRADED: Have you, or your partner, spouse, or dependent children had any equity interest (stock, stock option, real estate, investment, or other ownership) OR received remuneration exceeding $5,000 over the past 12 months?

□ No □ Yes - Equity interest **or** remuneration exceeds $5,000

IF YES: describe the nature of the financial interest and explain how it may be related to your institutional responsibilities (research, teaching, service to the college). For example, does this project include the Entity as a subcontractor, consortium member, supplier of goods, lessor? Is it reasonable to anticipate that the Entity will manufacture or commercialize any product, or process that is likely to result from the project? Is it reasonable to anticipate that the Entity could be directly and significantly affected by the design, conduct, or reporting of the project? Is it reasonable to anticipate that the Entity or your financial interest could be directly and significantly affected by the design, conduct, or reporting of the activity proposed? Attach a separate page if needed.

3. Have you, or your partner, spouse, or dependent children received income related to intellectual property rights (e.g., patents or copyrights) exceeding $5000 over the past 12 months?

□ No □ Yes

IF YES: describe how the income from intellectual property rights may be related to your institutional responsibilities (research, teaching, service to the college). For example, is it reasonable to anticipate that the income could be directly and significantly affected by the design, conduct, or reporting of the project? Attach a separate page if needed.

4. Additional Comments. Attach a separate sheet if needed:

5. I certify that this is a complete disclosure of all financial interests related to this Entity.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Review Action**

By Associate Dean for Research (or other designee of the Dean of the College)

□ The project is not reasonably expected to have a “direct and significant” impact on the disclosed financial interest and the financial interest is not expected to affect the design, conduct, or reporting of the project. No further review is required.

□ A financial conflict of interest may exist with this project and the financial disclosure. Further review is required.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature and Title Date

**Please attach this disclosure form in a sealed envelope to the Financial Disclosure Cover Sheet and return to the**

**Please place this disclosure form in a sealed envelope and attach it to the Financial Disclosure Cover sheet and return both to the Undergraduate Research Center, Academic Commons, Room 253A (Mail Stop F24)**

Retention: Three (3) years from that date of final payment on the sponsored project or three years after resolution of any action by the sponsor, whichever is later.