



Office of Grants and Sponsored Research

Financial Conflict of Interest Disclosure Form

This form has been designed to aid in the implementation of the St. John's University's policy on "Financial Conflicts of Interest in Research and Other Sponsored Programs."

The University's Policy on Financial Conflicts of Interest was developed in response to regulations published by the National Science Foundation (NSF) and the U.S. Public Health Service (PHS) in 1994 and 1995. These regulations affect proposals submitted on or after October 1, 1995. Under this policy, a Financial Conflict of Interest Disclosure Form must be submitted by all persons who hold a key role in the performance of a project funded either directly or indirectly (e.g., subcontract) by an agency of the federal government.

The NSF and the PHS have generally agreed that the following persons perform a key role or function and, therefore, must submit a Disclosure Form: the principal investigator or project director, all co-PI's or co-PD's and any other person at the institution who is responsible for the design, conduct or reporting of research funded, or proposed for funding.

Persons completing this form are expected to have read the referenced University Policy.

Separate Disclosure Forms must be completed for each person engaged in a key role on the proposed sponsored project.

1. Are you, or is any member of your Immediate Family, an employee, consultant, officer, director, partner, trustee or other agent of any commercial enterprise participating in this project?

Yes. No. If yes please describe on a separate page the nature and extent of your affiliation.

2. Do you, or does any member of your Immediate Family, have any Significant Financial Interest, such as ownership, equity, stock or stock options, with in any commercial enterprise participating in this project?

Yes. No. If yes, please describe on a separate page the nature and extent of your affiliation.

3. Do any other conditions exist between you, or any member of your immediate family, and any commercial enterprise which could reasonably be perceived by an outside observer as a potential conflict of interest?

Yes. No. If yes, please describe on a separate page the nature and extent of your affiliation.

I certify that:

- I have read SJU's policy on "Financial Conflicts of Interest in Research and Other Sponsored Programs."

- I have made all required financial disclosures;
- (If the program leader, principal investigator or project director) I have made every effort to ensure that all *Researchers* responsible for the design, conduct, or reporting of the research have submitted the required disclosures;
- Prior to requesting the expenditure of award funds, I will have reached an agreement with SJU (Memorandum of Understanding) that provides for any conditions or restrictions necessary to manage, reduce, or eliminate any conflicts of interests under SJU policy.

Signature: _____ Date: _____

Typed/Printed Name: _____

Department: _____

Project Title: _____

Proposed Sponsor(s): _____

Special Notes (if any):

Please type or print clearly. Note: *Italicized* words and phrases used on this form have been defined in the University's policy statement