

# Non-University of Hawaii (UH) Employee

## Significant Financial Interest (SFI)/Conflicts of Interest (COI) Disclosure Form

**All non-UH Investigators, co-Investigators and Key Personnel must disclose any SFI/other COI when listed on any UH extramural proposal, award or contract.**

**EXCEPTION:** Federal employees listed as Investigator/Key Personnel are exempt from having to submit a disclosure form. Federal agencies have their own COI requirements and are excluded from UH disclosure requirements.

Please refer to:

- [University of Hawaii Conflicts of Interest policy E5.214](#)
- [University of Hawaii Administrative Procedures APM A5.504](#) and [APM A8.956](#)
- For additional guidance on significant financial interests see Attachment A.

Individual's Name: \_\_\_\_\_

Institution/Employer Name: \_\_\_\_\_

I am disclosing interests/activities for the calendar year: \_\_\_\_\_

|     |    |  |
|-----|----|--|
| yes | no | 1. <b>Compensation (including travel reimbursement or sponsorship).</b> Have you or a member of your immediate family <sup>1</sup> received compensation/remuneration (>\$5,000 when aggregated) from an entity <sup>2</sup> , not listed in the exclusions, for activities that could reasonably appear to be related to your professional responsibilities (e.g., consulting, speaking, advisory board membership) If yes, please furnish detailed information on next page. |
| yes | no | 2. <b>Equity.</b> Do you or a member of your immediate family own stock or hold stock options with a publicly-traded (value >\$5,000 when aggregated) or a non-publicly traded (any value) entity that could reasonably appear to be related to your professional responsibilities. <u>DO NOT include retirement or mutual fund type investments.</u> If yes, please furnish detailed information on next page.  |
| yes | no | 3. <b>Role.</b> Do you or a member of your immediate family serve on any advisory board, board of directors, or as trustee, officer or other membership, for compensation or not, in an entity that could reasonably appear to be related to your professional responsibilities? If yes, please furnish detailed information on next page.   |
| yes | no | 4. <b>Intellectual Property.</b> Do you or a member of your immediate family have rights to and/or receive royalties from intellectual property (including, patents, copyrights and trademarks but excluding academic or scholarly works) licensed to and/or owned by a for-profit entity? <u>DO NOT include intellectual property owned or managed by your primary employer or the University of Hawaii.</u> If yes, please furnish detailed information on next page.        |

<sup>1</sup>"Immediate family" signifies the employee's spouse, domestic partner, or reciprocal beneficiary and dependent children.

<sup>2</sup>"Entity" signifies any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business, real estate trust, or any other legal body organized for profit or nonprofit purposes.

## Outside Interest/Activity Details

If any questions on the previous page were answered “yes” complete all applicable fields.

| Interest/Activity Type  | Entity Name | Interest/<br>compensation/<br>reimbursement<br>amount | Describe interest/activity (person holding<br>interest, work performed...) |
|---|-------------|---|--|
| Equity/Ownership (stock, stock options...)                            |             |   |  |
| Remuneration (consulting fees, speaker’s bureau, honoraria...)        |             |   |  |
| Associations, Memberships, Positions (board of directors, offices...) |             |   |  |
| Intellectual Property rights/<br>Royalty Income (not via UH)          |             |   |  |
| Travel  |             |   | Destination/Duration:<br><br>Purpose:                                      |

Comments or explanatory information:

Certification:

I have read and understand the UH conflicts of interest policy and procedures and have accurately completed this disclosure. If required, I will comply with any conditions or restrictions imposed by UH to manage any real or perceived conflicts. I understand my obligation to disclose any change(s) to my significant financial interests and other conflicts of interests that may arise after submission of this form.

\_\_\_\_\_

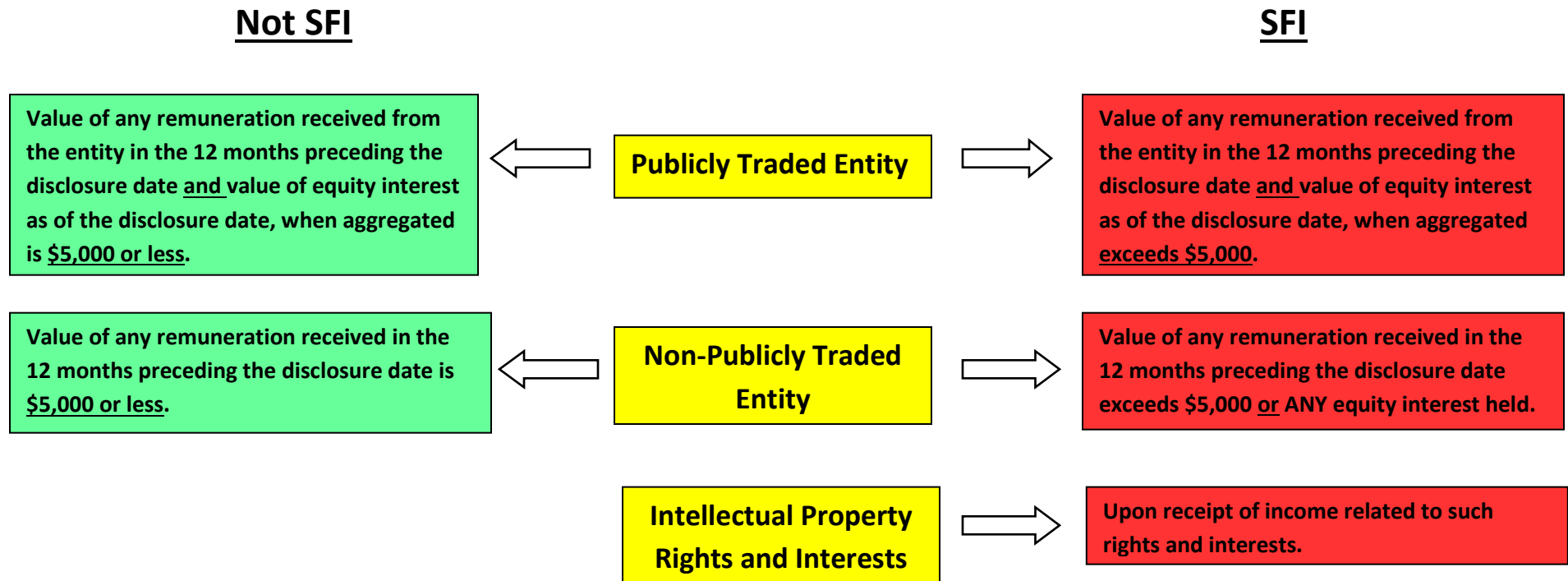
(Signature)

\_\_\_\_\_

(Date)

# Significant Financial Interest (SFI)

I. Remuneration<sup>1</sup> and Equity Interest<sup>2</sup> received or held by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.



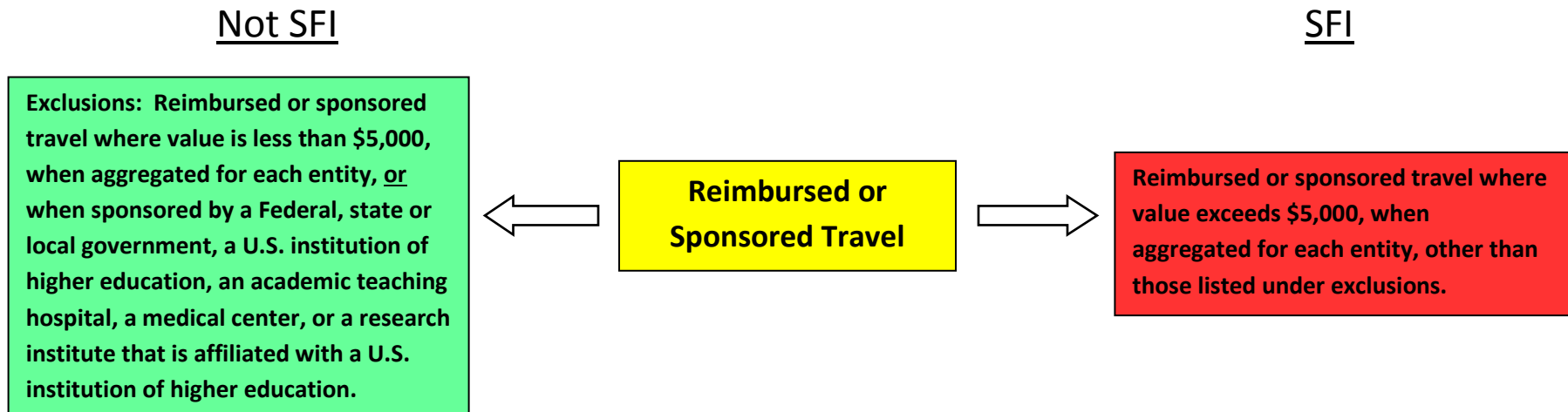
<sup>1</sup> For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (i.e. consulting fees, honoraria, paid authorship);

<sup>2</sup> For purposes of this definition, equity interest includes stock, stock options, or other ownership interests, as determined through reference to public prices or other reasonable measures of fair market value.

# Significant Financial Interest (SFI)

II. Reimbursed or Sponsored Travel<sup>†</sup> received by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.

<sup>†</sup>Travel as defined in UH APM A8.851.



## III. Other exclusions (Not SFI)

- Salary, royalties, or other remuneration paid by UH if the Investigator / Key Personnel is currently employed or otherwise appointed by UH, including intellectual property rights assigned to UH and agreements to share in royalties related to such rights
- Income from investment vehicles as long as the Investigator does not directly control the investment decisions (i.e. mutual funds, retirement account)
- Income from seminars, lectures, or teaching engagements sponsored by a U.S. Federal, state or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with U.S. institution of higher education
- Income from service on advisory committees or review panels for a U.S. Federal, state, or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with the U.S. institution of higher education