



LANKENAU INSTITUTE FOR MEDICAL RESEARCH
Disclosure of Significant Financial Interests Form

Non-LIMR or Non-MLH Entity

Name:

Date:

Title:

Employer or Institution Name:

PI of Grant:

The Lankenau Institute for Medical Research (LIMR) requires that all *Investigators** self-identify those *Significant Financial Interests** of the *Investigator* (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to your *Institutional Responsibilities**.

**Relevant Definitions are provided on the last page (see EXHIBIT A).*

Indicate all agencies from which you receive funding through the Lankenau Institute for Medical Research for research activities, either directly or through a subcontract. *Include agencies to which you are currently applying for funding, as well as research contracts.*

National Institutes of Health (NIH)

Department of Defense (DOD)

National Science Foundation (NSF)

Administration for Children and Families

Administration for Community Living/Administration on Aging

Agency for Health Care Research & Quality (AHRQ)

Agency for Toxic Substances and Disease Registry (ATSDR)

Centers for Disease Control & Prevention (CDC)

Food and Drug Administration (FDA)

Health Resources and Services Administration (HRSA)

Indian Health Service (HIS)

Substance Abuse and Mental Health Services Administration (SAMHSA) Office of Global Affairs

Office of the Assistant Secretary for Health (OASH)

Office of the Assistant Secretary for Preparedness and Response (ASPR)

National Science Foundation (NSF) *(includes research & educational activities)*

Non-Public Health Service Agencies that require compliance with PHS Conflict of Interest Policy *(see footnote below – use additional page if necessary)*²

Other Funding not listed above *(use additional page if necessary)*

²Many non-Public Health Service Agencies are now requiring compliance with Public Health Service Conflict of Interest Standards and Thresholds; for example: Alliance for Lupus Research (ALS), American Asthma Foundation (AAF), American Cancer Society (ACS), American Heart Association (AHA), American Lung Association (ALA), Arthritis Foundation (AF), Juvenile Diabetes Research Foundation International (JDRF), Lupus Foundation of America (LFA), Susan G. Komen Breast Cancer Foundation. *Please note: these are updated often; verify with your funding agency whether the acceptance of an award requires compliance with the PHS policy.*



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PLEASE ANSWER THE FOLLOWING QUESTIONS:

1. Is your Employer Institution registered on the Federal Demonstration Partnership Institutional Clearinghouse website (http://sites.nationalacademies.org/PGA/fdp/PGA_070596) which certifies that it has an active and enforced financial conflict of interest policy that is consistent with the provision of 42 CFR Part 50 Subpart F?

Please Check One:

YES Check either box (a) or (b) below and obtain signature of Investigator and Institutional Authorized Representative (*required*).

- (a) The Employer or Institution certifies that the above-named Investigator (as defined by 42 CFR Part 50 Subpart F) does not have any significant financial interests related to this project. Therefore, no conflict of interest has been identified.
- (b) In accordance with 42 CFR Part 50 Subpart F, Employer or Institution certifies that the above-named investigator has significant financial interests related to this project. Therefore, a conflict of interest has been identified, and has been or will be: (1) managed*; (2) reduced*; (3) eliminated*.

* Please provide documentation supporting the identification and management of the conflict of interest, such as the management plan, Employer's or Institution's certification letter, etc.

NO

2. Do you or your immediate family member(s) serve as director, trustee, officer, or other key employee in a for-profit corporation, partnership, business, or other entity outside of LIMR?

YES*

NO

*If yes, provide a detailed response below. The response must include the 1) name of each entity; 2) nature of the financial interest; and 3) amount of income. If more space is needed, please attach additional page(s).

Signature

Date

Printed Name



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Provide an answer for each of the questions below and sign page 4 only if your Institution or Employer does not have an active and/or enforced Financial Conflict of Interest Policy that complies with PHS requirements. Your signature to this document certifies that you agree to comply with the LIMR's policy.

Please provide an answer for each of the questions below for 12 months preceding the date of this disclosure.

- | | | |
|------------|-----------|--|
| Yes | No | 1. Have you, your spouse and dependent children, received any remuneration from a publicly traded company, in the twelve months preceding the date of this disclosure and or have an equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000? <i>Remuneration includes salary and any payment for services not otherwise identified as salary (e.g. consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest as determined through reference to public process or other reasonable measures of fair market value.</i> |
| | | <i>*If yes, provide a detailed response below. The response must include the 1) name of each entity; 2) nature of the financial interest; and 3) value of the remuneration and/or equity interest. If more space is needed, please attach additional page(s).</i> |

- | | | |
|------------|-----------|--|
| Yes | No | 2. Have you, your spouse and dependent children, received any (a) remuneration from a non-publicly traded company, in the twelve months preceding the date of this disclosure <u>or</u> (b) hold any equity interest in the entity as of the date of disclosure (e.g. stock, stock option, or other ownership interest), when aggregated, exceeds \$5000? |
| | | <i>*If yes, provide a detailed response below. The response must include the 1) name of each entity; 2) nature of the financial interest; and 3) value of the remuneration or equity interest. If more space is needed, please attach additional page(s).</i> |



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Yes

No

- 3.** Do you, your spouse and dependent children, hold any Intellectual property rights and interests (e.g. patents, copyrights) not owned by LIMR, for which you have received income related to such rights and interests?

*If yes, provide a detailed response below. The response must include the 1) name of each entity; 2) nature of the financial interest; and 3) amount of income. If more space is needed, please attach additional page(s).

Yes

No

- 4.** Have you had any occurrences of reimbursed or sponsored travel (i.e. that which is paid on your behalf so that the exact monetary value may not be readily available), related to your Institutional Responsibilities? *This excludes travel that is reimbursed or sponsored by a Federal, State or local government agency; an Institution of higher education; an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.*

*If yes, provide a detailed response below. The response must include the 1) purpose of each trip; 2) identity of the sponsor/organizer; 3) destination; 4) and estimated monetary value of each trip. If more space is needed, please attach additional page(s).

Certification: I certify that the information provided on this form is complete and accurate, and all Significant Financial Interests are disclosed. I agree to promptly notify LIMR of any situation that would change my current disclosure within 30 days of discovery of any previously undisclosed or recently acquired SFI. For additional information about your responsibilities, refer to the LIMR Financial Conflicts of Interest Policy and Procedure (www.limr.org).

Signature

Date

Printed Name



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EXHIBIT A – DEFINITIONS

- a.) *Institutional Responsibilities* means an Investigator's professional responsibilities on behalf of the Institution, including but not limited to research, research consultation, teaching, professional practice, institutional committee memberships and service on panels such as Institutional Review Boards or Data Safety Monitoring Boards.
- b.) *Investigator* means a) any person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding, and includes collaborations, consultations, subrecipients, sub-contracts, sub-awardees, and cooperative agreements; b) any person employed by LIMR or a LIMR wholly owned subsidiary, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by sources other than PHS.
- c.) *Significant Financial Interest (SFI)** means:
- a. A financial interest consisting of one or more of the following interests of the *Investigator* (and those of the *Investigator's* spouse and dependent children) that reasonably appears to be related to the *Investigator's Institutional Responsibilities*:
 - i. With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g. consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest as determined through reference to public process or other reasonable measures of fair market value.
 - ii. With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the *Investigator* (or the *Investigator's* spouse and dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest) or;
 - iii. Intellectual property rights and interests (e.g. patents, copyrights), upon receipt of income related to such rights and interests.
 - b. *Investigator's* also must disclose the occurrence of any reimbursed or sponsored travel (i.e. that which is paid on behalf of the Investigator so that the exact monetary value may not be readily available), related to their *Institutional Responsibilities*; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, State or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

* The term *Significant Financial Interest* does not include the following types of financial interest: salary, royalties, or other remuneration paid by the *Institution* to the *Investigator* if the *Investigator* is currently employed or otherwise appointed by the *Institution*, including intellectual property rights assigned to the *Institution* and agreements to share in royalties related to such rights; any ownership interest in the *Institution* held by the *Investigator*, if the *Institution* is a commercial or for-profit organization; income from investment vehicles, such as mutual funds and retirement accounts as long as the *Investigator* does not directly control the investment decisions made by the vehicles; income from seminars, lectures, or teaching engagements sponsored by Federal state or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or income from service on advisory committees or review panels for a Federal, state or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.