Financial Disclosure Form for Investigators in Federally-Funded Research

Pursuant to Appendix C of the George Washington University Policy on Conflicts of Interest and Commitment for Faculty and Investigators

This form must be completed by investigators who plan to participate in research funded, or proposed to be funded, by the federal government. Please answer all of the questions. Do not leave any questions blank. If a question does not apply to you, simply put "N/A" or "None" in the box. Once completed, this form should be sent by email to rescomp@gwu.edu for filing. It is also recommended that you save an electronic copy of your completed form for future reference and updates. If the form is associated with a project currently pending, please also let us know in the body of the email to rescomp@gwu.edu.

GWID: __________________________________________

Investigator Name: ________________________________

Department/Unit: _________________________________

School/Unit: _____________________________________

Title of Proposal: _________________________________

Project PI: _______________________________________

Sponsor: _________________________________________

This form asks you to provide information regarding outside financial interests that are or reasonably appear to be related to your institutional responsibilities at GW. Please note that this is a personal form.

Significant Financial Interests

(1) Have you received any remuneration, gift, or in-kind support, regardless of amount, from a foreign institution of higher education, foreign academic teaching hospital, and/or the government of a foreign country (which includes local, provincial, or equivalent governments of another country)?

Yes ☐ No ☐
(2) Have you negotiated participation or participated in a Foreign Talent Recruitment Program by a foreign institution of higher education, foreign academic teaching hospital, and/or the government, at any level, of a foreign country?

Yes [ ] No [ ]

If you answered Yes to question 1 or 2, please provide additional details, including identifying the foreign entity, describing your relationship to it, and including the approximate value of any remuneration received.

Definition:

Foreign Talent Recruitment Program: means any program sponsored by, or benefit offered (whether in the form of remuneration or in-kind support) by a foreign researcher, foreign government (at any level), foreign institution, or foreign government–controlled entity for the purpose of facilitating the transfer or acquisition of expertise, technical know-how, research results/data/designs, or technology. These programs may involve entering into a contract with a foreign institution or entity and may be accompanied by an honorary, adjunct, or temporary appointment.

Significant Financial Interests in Publicly-Traded Entities

(3) Do you, your spouse/domestic partner, or your dependent children have any of the following interests in a publicly-traded entity that, alone or when aggregated, exceeds $5,000 and that is or reasonably appears to be related to your institutional responsibilities at GW:

- Remuneration (such as consulting fees, honoraria, or paid authorship) received in the last twelve months

- Equity interest (stock, stock options, or other ownership interest)

If so, please provide details, including the name of the outside entity, the nature of the activity for which remuneration was received, the amount of remuneration received over the last twelve months, the value of any equity interest as of the date of this disclosure (as determined through reference to public prices or other reasonable measures of fair market value), the
percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.

Significant Financial Interests in Non-Publicly-Traded Entities

(4) Have you, your spouse/domestic partner, or your dependent children received from a non-publicly traded entity over the last twelve months any remuneration (such as consulting fees, honoraria, or paid authorship) that alone, or when aggregated, exceeds $5,000 and that is or reasonably appears to be related to your institutional responsibilities at GW? (A non-publicly-traded entity may be for-profit, non-profit, or governmental, but does not include GW.)

If so, please provide details, including the name of the outside entity, the nature of the activity for which payment was received, and the amount of the remuneration received over the last twelve months.

(5) Do you, your spouse/domestic partner, or your dependent children hold, in a non-publicly-traded entity, any equity interest (e.g., stock, stock option, or other ownership interest) that is or reasonably appears to be related to your Institutional Responsibilities at GW? (Please note that this question applies to any equity interest, regardless of value.)

If so, please provide details, including the name of the outside entity, the dollar value and percentage of ownership interest in the outside entity, and the manner in which the equity interest was acquired.
**Intellectual Property Rights and Interests**

(6) Do you, your spouse/domestic partner, or your dependent children have any intellectual property rights and interests (e.g., patents and copyrights) from which you or they have received any related income in the last twelve months and that are or reasonably appear to be related to your institutional responsibilities at GW? (Please note that this question applies regardless of the value of the income received. You need not disclose intellectual property rights assigned to GW and agreements to share in royalties related to such rights.)

If so, please provide details, including the nature of the intellectual property rights and interests, how they were acquired, and the amount of income received.

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**Reimbursed or Sponsored Travel**

(7) Please disclose any reimbursed or sponsored travel, regardless of value that occurred in the last twelve months and that is or reasonably appears to be related to your institutional responsibilities at GW. (You need not disclose travel that is reimbursed or sponsored by GW, 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.)

(a) What was the purpose of the trip?

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(b) What is the name of the organization that reimbursed or sponsored the travel?

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(c) What was the destination of the trip?
(d) What was the duration of the trip?

Federally-Funded Proposals or Awards

(8) Do you believe that any of the Significant Financial Interests you described in response to Questions (1)-(5) relate to any federally funded proposal or award on which you are an Investigator? Please explain.

Note: A Significant Financial Interest relates to federally-funded research if (a) the Significant Financial Interest could be affected by the federally-funded research or (b) the Significant Financial Interest is in an entity whose financial interest could be affected by the research.

I certify that all of the foregoing information in this form is true and complete to the best of my knowledge. I acknowledge that, during the period of a federally-funded award, I am required to update this form annually and within 30 days of discovering or acquiring a new Significant Financial Interest.

Signature      Date

Full Name (Printed)     Position Title