

UFV 2011/1878

Investigators' Statement of Significant Financial Interests

Under Uppsala universitets guideline "Riktlinje avseende ansökningar till och beviljade medel från federala amerikanska finansiärer", the Principal Investigator and other investigators that share responsibility for the design, conduct or reporting of projects sponsored by certain American agencies, must declare their Significant Financial Interests.

Sponsor: _____

Reason for disclosure:

- New Proposal Annual Revision
 New Investigator New Interest Obtained

Title of Proposal: _____

Proposal or Award No.: _____

Disclosure and Certification

By signature below, each individual certifies that either no Significant Financial Interest exists or that a complete listing of all financial interests is provided in a supplement. All individuals named below further acknowledge their responsibility to disclose any new Significant Financial Interest obtained during the term of the award.

For a definition of Significant Financial Interest and Investigator, please see page 2.

The Principal Investigator's signature certifies that all individuals required to make disclosures have been listed below.

Do you, your spouse or co-habitant (Sw. *sambo*), or your dependent children have a Significant Financial Interest related to the work to be conducted under the proposed project?

1. _____ No Yes (supplement)
Signature (Principal Investigator) Date

Name of Principal Investigator

2. _____ No Yes (supplement)
Signature (Other Investigator) Date

Name of Investigator

3. _____ No Yes (supplement)
Signature (Other Investigator) Date

Name of Investigator

Significant financial interest means:

(1) 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 prices 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 or 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.

(2) Investigators also must disclose the occurrence of any reimbursed or sponsored travel (*i.e.*, that which is paid on behalf of the Investigator and not reimbursed to 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.

(3) The term *significant financial interest* does not include the following types of financial interests:

- 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 in these vehicles;
- income from seminars, lectures, or teaching engagements 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;
- 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 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.

Investigator means the project director or principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS, or proposed for such funding, which may include, for example, collaborators or consultants.