

**University of Puerto Rico**  
**Disclosure of Investigator's Significant Financial Interest**  
**FORM 1.A**

*42 CFR Part 50 Subpart F – Title 42: Public Health; Part 50: Policies of General Applicability;  
 Subpart F: Promoting Objectivity in Research*

**Date of this Disclosure:** \_\_\_\_\_ **New**      **Update**

Investigator      Collaborator      or consultant      at University of Puerto Rico \_\_\_\_\_ Campus

First Name	Middle Initial	Last Names

**Office phone:** \_\_\_\_\_ **E-mail address:** \_\_\_\_\_

If you answer **Yes** to any of the following questions you may have a significant financial interest in an entity and should file Form B. A *significant financial interest* means 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.

ANSWER THE FOLLOWING QUESTIONS	Yes	No
<p><b>(i) Over the past 12 months, have you received remuneration from any publicly-traded entity, and/or do you or your family members have any equity interest in that entity, the value of which exceeds \$5,000 when aggregated?</b></p> <p>For this question:</p> <p><b>“Remuneration”</b> includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);</p> <p><b>“Equity interest”</b> includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.</p> <p><b>“Entity”</b> means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an</p>		
<p><b>(ii) With regard to any non-publicly traded entity, did you receive any remuneration from the entity in the twelve months preceding this disclosure, that 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)?</b></p>		

**University of Puerto Rico**  
**Disclosure of Investigator's Significant Financial Interest**  
**FORM 1.A**

<p><b>(ii) Over the past 12 months, have you received remuneration from any non-publicly traded entity that exceeds \$5,000 when aggregated, and/or do you or your family hold any equity interest in such entity?</b>  For this question:</p> <p><b>"Remuneration"</b> includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);</p> <p><b>"Equity interest"</b> includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.</p> <p><b>"Entity"</b> means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.</p>		
<p><b>(iii) Do you receive income from intellectual property rights and interests (e.g., patents, copyrights), not assigned to the UPR?</b></p>		
<p><b>(iv) Do you hold a position giving rise to fiduciary duty (e.g., director, officer, partner, trustee, employee, or any position of management) in a publicly or non-publicly traded entity?</b></p>		
<p><b><u>(v) For Investigators applying for or conducting research funded by the Public Health Service(PHS): Have you had 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 your institutional responsibilities?</u></b></p> <p>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 Institution's FCOI policy specifies the details of this disclosure, <u>and the institutional official(s) will determine if further information is needed.</u></p>		

The evaluation of these forms by the Financial Conflict of Interest (FCOI) institutional officer will determine if you have a financial conflict of interest that may bias the result of your scientific research and to establish any pertinent actions to mitigate or eliminate the effect of such conflict in the results of the research.

**Financial Interests** means anything of monetary value, whether or not the value is readily ascertainable, in any one of the following categories: compensation, compensation for management, advisory, or consulting roles; gifts, services, loans; payments or in-kind gifts for services; licensing, patent, royalty, and other intellectual property agreements; equity interests in a public or private company (e.g., stocks, stock options, bonds, property interests, dividends, convertible securities, or other ownership interest); a position in an external entity giving rise to a fiduciary duty such as director, officer, partner, trustee, employee or any position of management; or, for researchers with funding from the Public Health Service, any reimbursed or sponsored travel.

A **financial conflict of interest** exists when a financial interest, or other opportunity for personal financial gain, is likely to compromise or influence the objective design, conduct, reporting, or direct administration of funded research.

**Institution** means any domestic or foreign, public or private, entity or organization (excluding a Federal agency) that is applying for or that receives research funding.

**University of Puerto Rico**  
**Disclosure of Investigator's Significant Financial Interest**  
**FORM 1.A**

**Investigator** means the project director or principal investigator and any other person, regardless of title or position, who is responsible and has the authority to make independent decisions related to the design, conduct, reporting or direct administration of University research funded by the federal sponsor, or proposed for such funding, which may include, for example, sub grantees, contractors, collaborators or consultants.

**Entity** means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.

The term **significant financial interest** (SFI) includes remuneration and anything of monetary value or potential monetary value held by an investigator (and by the investigator's spouse and dependent children), and that reasonably appears to be related to the investigator's institutional responsibilities. Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship), and 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.

An SFI **does not include** salary or other remuneration paid by the University to the investigator if the investigator is currently employed or otherwise appointed by the University; income from investment vehicles; income from seminars, lectures, teaching engagements, or travel reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, medical center, or research institute 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 or institution of higher education.

**This disclosure is applicable to any Investigator planning to participate, or participating in the Research, independently of its source of funding.** *However*, several provisions of the University of Puerto Rico's Policy and Guidelines on Financial Conflict of Interest (Certification Number 8 (2012-2013) from the Board of Trustees) apply only to investigators applying for or conducting research funded by the Public Health Service (including the National Institutes of Health) and must be enforced by each Institution that is applying for, or that receives, PHS research funding by means of a grant or cooperative agreement and each Investigator who is planning to participate in, or is participating in, such research. This does not apply to SBIR Program Phase I applications.

I agree to abide by the UPR Policy and Guidelines on Financial Conflict of Interest. I certify that the above information is true to the best of my knowledge and that it has been submitted as required by law, regulation, contract, and by *42 CFR Part 50 Subpart F*. I understand and agree that if there is any change in my financial status, I must submit a new disclosure and attachment within 30 days of that change.

Print name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Proposal Title. \_\_\_\_\_

Agency: \_\_\_\_\_

Department Head or Unit Supervisor: Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_