

# Significant Financial Interests (SFI) Disclosure Form

(For sponsored research applicable to [NDSU FCOI Policy 823](#))

Sponsored Programs Administration  
Rm 130, Research 1 231-8908

Investigator: \_\_\_\_\_ Dept: \_\_\_\_\_ College/Unit: \_\_\_\_\_

Type of disclosure:            Initial/Annual report            Change in SFI

Financial Conflict of Interest (FCOI) [training](#) :            completed/current            pending  
(Training required upon award from PHS, NSF or other applicable sponsor, and renewed at least every 4 yrs.)

**Significant Financial Interest (SFI):** anything of monetary value received or held by an investigator or family member (spouse, domestic partner, parents, siblings or children), whether or not the value is readily ascertainable, that reasonably appears to be related to the investigator's institutional responsibilities. SFI includes:

- Salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works) when the aggregated value received from a publicly traded entity during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds \$5,000; or
- Salary or other payments for services, when the aggregated value received from a non-publicly traded entity during the 12 month period preceding the disclosure exceeds \$5,000; or
- Equity interests (e.g., stocks, stock options, or other ownership interests) in a non-publicly-traded company of any value during the 12 month period preceding or as of the date of disclosure; or
- Income related to intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights) not reimbursed through NDSU; and
- Reimbursed or sponsored travel that is related to investigator's institutional responsibilities. This includes travel that is paid on behalf of the investigator rather than reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

**SFI does NOT include:** 1) Salary, royalties, or other remuneration from NDSU; 2) income from the authorship of academic or scholarly works; 3) income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, U.S. research institutes affiliated with institutions of higher education, academic teaching hospitals, or medical centers; or 4) equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the investigator does not directly control the investment decisions made in these vehicles.

Investigator certification: (mark one as applicable)

I certify **no SFI** related to my NDSU institutional responsibilities; or

I **disclose SFI** (as indicated above) which may be related to my NDSU institutional responsibilities. These interest(s) are described below, or provided as an attachment.

Describe the external entity, the type of business, the role/nature of financial interest that you or your family has in the entity, as well as any other relevant details:

By signing below, I certify that I have read and understand [NDSU Policy 823: FINANCIAL CONFLICT OF INTEREST](#). I understand that, if awarded, disclosure is required annually, and upon any changes throughout the duration of the applicable sponsored project.

Investigator Signature \_\_\_\_\_ Date \_\_\_\_\_

----- REVIEW SECTION -----

*This section completed by the investigator's administrative head (Dept. Chair/Head, Dean, Director, VP, Provost, President or equivalent officer) with primary authority for administering their unit.*

**Financial Conflict of Interest (FCOI):** a Significant Financial Interest (SFI) that the University determines could directly and significantly affect the design, conduct or reporting of NDSU research.

Dept. Chair/Head, Dean, Director, VP, Provost, or President response :  
(mark one as applicable)

**No SFI.** I have reviewed this disclosure form, and agree and acknowledge that the investigator has no significant financial interests related to their NDSU institutional responsibilities.

**Review pending.** I acknowledge receipt of this disclosure form, and will review upon notice of funding award, or if required under [Policy 151.1, EXTERNAL ACTIVITIES AND CONFLICTS OF INTEREST](#).

**Review of SFI disclosure.** I have reviewed the significant financial interest(s) described here, and in consultation with the investigator have determined:

No potential FCOI exists.

Actual or apparent FCOI exists that may directly and significantly affect the design, conduct or reporting of NDSU research. Referred to VP, Provost, or Conflict of Interest Advisory Committee (CIAC) for final review and management.

*By signing below, I certify that I have read and understand [NDSU Policy 823: FINANCIAL CONFLICT OF INTEREST](#).*

Administrative Head \_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Dean/Director/VP/Provost/President \_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Comments: