

**UNIVERSITY OF MISSOURI**  
**GENERAL FINANCIAL DISCLOSURE RELATED TO**  
**PHS GRANTS OR COOPERATIVE AGREEMENTS FOR RESEARCH AND**  
**NSF-FUNDED RESEARCH OR EDUCATIONAL ACTIVITIES**

Name \_\_\_\_\_

Sponsoring Federal Agency \_\_\_\_\_

**Project Title**

**My position on this project is: (Check)**     **PI**     **CoPI**     **Other (Explain)**

\_\_\_\_\_

The information requested is required under the Financial Disclosure Policy of the Public Health Services (PHS) and the National Science Foundation (NSF). This disclosure form is consistent with University Executive Guideline 32, Section 420.030 of the Collected Rules and Regulations of the University of Missouri. The information requested "must be disclosed: (a) at the time the proposal is submitted; (b) on an annual basis during the project period; and (c) immediately as new significant interests are obtained."

**I hereby declare that I, my spouse, or dependent children, have significant financial interests related to the work to be conducted under this sponsored project as reported on the reverse side of this form. If no significant financial interests exist, indicate NONE in this space \_\_\_\_\_ and no additional information is required.**

I certify that the information provided is a complete listing of all significant financial interests related to this sponsored project.

**Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**I understand that this Disclosure is not a confidential document.**

This form should be included with the People Soft Signature Routing Sheet at the time the proposal is prepared. Updated forms should be forwarded to the Missouri S&T Conflict of Interest Officer.

*The term "significant financial interest" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights).*

*The term does not include*

- a. salary, royalties or other remuneration from the University;*
- b. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;*
- c. income from service on advisory committees or review panels for public or nonprofit entities; or*
- d. an equity interest that when aggregated for you, your spouse and dependent children is both not more than \$10,000 and is not more than 5% ownership interest in any single entity; or*
- e. salary, royalties or other payments that when aggregated for you, your spouse and dependent children for the next twelve months, is expected to be not more than \$10,000.*

*PHS: Investigator means the principal investigator and any other person who is responsible for the design, conduct, or reporting of research funded by PHS, or proposed for such funding. Subgrantees, contractors, and collaborators for PHS proposals and awards, have the same duty to disclose as investigators. PIs have the responsibility to obtain and submit the relevant financial disclosures for the subgrantees, contractors, and collaborators.*

*NSF: The term investigator means the principal investigator, co-principal investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by NSF.*

This page should be copied as needed.

**UNIVERSITY OF MISSOURI**  
**DETAILED FINANCIAL DISCLOSURE RELATED TO**  
**PHS GRANTS OR COOPERATIVE AGREEMENTS FOR RESEARCH AND**  
**NSF-FUNDED RESEARCH OR EDUCATIONAL ACTIVITIES**

Name \_\_\_\_\_

Sponsoring Federal Agency \_\_\_\_\_

Project Title \_\_\_\_\_

*Disclosure is required for all significant financial interests for you, your spouse and dependent children (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.*

Name of Entity: \_\_\_\_\_

Type of Entity: (Check)  For-profit  Non-profit  Private  Public  Other (Explain)

Estimated income from this entity for the next 12 months \$ \_\_\_\_\_

Source and amount of income: Dividends \$ \_\_\_\_\_ Salary \$ \_\_\_\_\_  
Consulting \$ \_\_\_\_\_ Royalty \$ \_\_\_\_\_ Honoraria \$ \_\_\_\_\_  
Spouse or dependent child(ren) earnings \$ \_\_\_\_\_

Type of equity interest: (Check all that apply)  None  Stock  Stock Options  
 Real estate  Other investments (Explain)

Value \$ \_\_\_\_\_ Ownership \_\_\_\_\_%

Type of intellectual property rights: (Check all that apply)  None  Patent(s)  Copyright(s)

This entity (check appropriate statement)  will  will not serve as a proposed subcontractor, consortium member, supplier of goods, lessor or otherwise be involved with the project. Other comments that would assist in understanding the relationship of this project with this entity:

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

This financial disclosure must be updated during the period of the award, either on an annual basis or as new reportable Significant Financial Interests are obtained.

**I understand that this Disclosure is not a confidential document.**