

University of Alabama at Birmingham (UAB)
Disclosure of Significant Financial Interests

Use this form for disclosure only if directed to do so by the CIRB Office!

Name			
Address			
Telephone Number		eMail Address	
UAB Department/Division			

Answer questions 1.a.-c. (and 2.a.-e. if relevant). Definitions of terms are provided on page 3.

1. Purpose of submission:

- a. Initial Disclosure?
 No Yes *If Yes, answer questions 2.a.-e. below.*
- b. Modification of previously reported financial interests?
 No Yes *If Yes, provide the revised information in appropriate table(s) on page 2 of this form.*
- c. Annual Certification?
 No Yes *If Yes, skip to the Investigator Certification at the bottom of this page.*

2. Answer a. through e. as related to your institutional responsibilities for the University of Alabama at Birmingham.
During the past 12 months:

- a. Have you, your spouse, and/or dependents had a significant financial interest in a publicly traded entity?
 No Yes *If Yes, provide the requested information in Table 1 on page 2 of this form.*
- b. Have you, your spouse, and/or dependents received remuneration from a non-publically traded entity?
 No Yes *If Yes, provide the requested information in Table 1 on page 2 of this form.*
- c. Have you, your spouse, and/or dependents received remuneration had any equity interest in a non-publically traded entity?
 No Yes *If Yes, provide the requested information in Table 1 on page 2 of this form.*
- d. Have you, your spouse, and/or dependents had intellectual property that was licensed, optioned, or resulted in income?
 No Yes *If Yes, provide the requested information in Table 2 on page 2 of this form.*
- e. Has any organization sponsored or reimbursed you for any travel? Do not report travel that is reimbursed or sponsored by a federal, state, or local government agency, and institution of higher education, and academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.
 No Yes *If Yes, provide the requested information in Table 3 on page 2 of this form.*

Description of responsibilities As an investigator who is responsible for the design, conduct or reporting of research, with regard to my financial interests and those of my spouse and/or dependents that reasonably appear to be related to my work for UAB, I am required to notify the UAB CIRB Office within 30 calendar days of discovering or acquiring a new financial interest and certify at least annually that the disclosed information is accurate and up to date for the duration of the work at UAB. I also am required to complete conflict of interest training. (Disclosure forms, directions for submitting, and information about training are available at <http://www.uab.edu/research/administration/offices/CIRB/HowTo/Pages/HowSubrecipientsDisclose.aspx>.)

Investigator Certification I certify, to the best of my knowledge, that the information reported herein is complete and accurate. I also acknowledge my responsibility for financial interest disclosure and training as described above.

Signature of Investigator

Date

University of Alabama at Birmingham (UAB)

Disclosure of Significant Financial Interests

Use this form for disclosure only if directed to do so by the CIRB Office!

Complete this page as needed based on your responses to the questions on page 1 of the form. DO NOT submit this page if it is not used.

Subrecipient Investigator	
---------------------------	--

Table 1. Use to provide the additional information required by questions 2.a.-c. on page 1.

Entity/ Sponsor/Organization ¹	Person(s) with Financial Interest ²	Remuneration or Financial Interest ³	Value (US \$)	Calendar Year ⁴	Kind of Disclosure ⁵

Table 2. Use to provide the additional information required by question 2.d. on page 1.

Intellectual Property (Provide a brief description. Use a separate page if needed.)	Inventor ²	Licensee or Option Holder ¹	Royalty or Other Payment (US \$)	Calendar Year ⁴	Kind of Disclosure ⁵

Table 3. Use to provide the additional information required by question 2.e. on page 1.

Entity/ Sponsor/Organization ¹ Sponsoring or Reimbursing Travel	Traveler ²	Purpose of Travel	Destination	Duration (Days)	Calendar Year ⁴	Kind of Disclosure ⁵

- 1 Name of entity, sponsor, or organization as it appears on a public website.
- 2 Enter "Me" or "Spouse/Dependents". Names are not required. Aggregate interests held by multiple family members.
- 3 Consulting fees, copyrights, gifts, honoraria, licensing agreement, milestone payments, none(unpaid), other payment, ownership interest, payment for research tools, revenue from copyrighted works, royalties, salary, speaking fee, stock, stock options, or trademarks.
- 4 If a financial interest for the past 12 months extends over two calendar years, report separately for each.
- 5 Enter "New" or "Revision". If this is a revision, enter the new total amount. DO NOT enter the difference of the new and previously reported total.

University of Alabama at Birmingham (UAB)

Disclosure of Significant Financial Interests

Use this form for disclosure only if directed to do so by the CIRB Office!

DO NOT submit this page with the form.

Definitions

Conduct – The supervision or management of a study's execution. This is typically done by the principal investigator (PI) and co-investigators, but also may be performed by postdoctoral fellows and graduate students who have significant supervisory roles for junior researchers or technicians who are part of the study. For studies involving human subjects, this includes anyone who is responsible for explaining the study, risk-benefit, and/or alternatives to potential participants, is listed on the 1572 or device agreement, and/or must complete a sponsor's conflict of interest form.

Dependents – A dependent is anyone, regardless of his or her legal residence or domicile, who receives 50% or more of his or her support from you or your spouse or who resided with you for more than 180 days during the reporting period.

Design – The planning of the scientific strategy to test a research proposal.

Entity – For the purposes of reporting financial interests, an entity may be a person, company, organization, institution, etc. but does not include a federal state, or local government agency, institution of higher education, academic teaching hospital, medical center, or a research institute that is affiliated with an institution of higher education.

Financial Interests – Anything of monetary value, whether or not the value is readily ascertainable.
(Note exclusions described in the definition of entity above.)

Institutional Responsibilities – All activities, duties, and responsibilities performed by an employee in the course of his/her employment, including but not limited to scholarship, research, research consultation, teaching, professional practice, administration, contracting or procurement responsibilities, or professional public service activities.

Professional Public Service Activities – Specific activities that are performed for specific entities outside the UAB ENTERPRISE and considered part of an employee's institutional responsibilities, whether or not separately compensated:

- Seminars, lectures, service on advisory committees or boards of directors, or review panels for US federal, state, or local government agencies, institutions of higher education, academic teaching hospitals, medical centers or research institutes that are affiliated with an institution of higher education;
- Professional studies, services, participation on boards of directors, or participation in manuscript review, grant/contract review, or academic program review for nonprofit/philanthropic entities, professional societies, or professional associations, that are not affiliates of or affiliated with industry or other for profit entities;
- Seminars, presentations, performances, or board service for civic groups; and
- Participation on boards of directors with UAB Enterprise affiliated entities.

Research – For the purposes of reporting financial conflicts of interest on this form, the term research includes any grant/contract application processed by the Office of Sponsored Programs (OSP) and all work involving human subjects regardless of funding source.

Reporting – The authorship of publications or reports to the sponsor related to the research. This includes anyone who will likely present the data at national/international meetings.

Responsible – Any person who is responsible for controlling the design, conduct, or reporting of research must disclose financial interests including those of their spouse or dependents to the Conflict of Interest Review Board (CIRB).

Spouse – Lawful spouse whether by a ceremonial marriage or by common law.