

UNIVERSITY OF TORONTO, RESEARCH AND INNOVATION

FINANCIAL INTERESTS REPORT

Submitted pursuant to the U.S. National Science Foundation  
Policy Respecting  
**(Financial) Conflicts of Interest (FCOs)**

If you receive funding from the NSF (including through a subaward) or participate in NSF-funded research, you must disclose all your financial interests (and those of your spouse, common law partner or dependent children) on a single Financial Interests Report form.

If you are not sure whether a particular financial interest meets the criteria set out in this form and should be disclosed, disclose it. (The University's Institutional Delegate will assess whether it meets the criteria.)

Please note that the requirements and definitions used by the [U.S.] NSF are not the same as those used by the [U.S.] PHS (which includes the NIH). If you receive funding from both sources, your declarations may be different.

Name: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Department: \_\_\_\_\_  
Faculty: \_\_\_\_\_  
Academic Administrator: \_\_\_\_\_

Yes     No    Do you currently have any conditions or restrictions placed on you or your research in order to manage financial conflicts of interest? (*This includes a "management plan" to deal with FCOIs*)

**You must complete the form in full and disclose or update all financial interests, even if you already have conditions or restrictions placed on you or your research in order to manage financial conflicts of interest.**

This report is:     an initial report (prior to the application for funding, or at the time of joining an ongoing project)  
 a report of a new financial interest  
 an annual update (for the year \_\_\_\_\_ ) regarding previously disclosed financial interests

## I. Declarations regarding Initial or New Financial Interests

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yes  no **Income and other Payments:** Have you or your spouse, common law partner or dependent children (your “Family”) received from any entity in the past 12 months any payments described in a) or b) below whose value (when aggregated for you and your Family) exceeds \$US10,000 and that would reasonably appear to be affected by the research funded or proposed for funding by NSF?

- a) Salary or other payments for services (e.g. consulting fees, director fees, honoraria, or paid authorships for other than scholarly works)
- b) Royalties or other payments respecting intellectual property (e.g. patents, trademarks or copyrights)

*Exemption:* Do not include:

- salary, royalties or other remuneration received from the University of Toronto, if you are an employee or appointee of the University
  - income from the authorship of academic or scholarly works
  - income from seminars, lectures or teaching engagements sponsored by (or from service on advisory committees or review panels for) public or non-profit entities
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yes  no **Intellectual Property:** Do you or a member of your Family own (or have rights in) any intellectual property (e.g. patents, trademarks or copyrights) of any value?

yes  no **Equity Interests:** Do you or a member of your Family own stock, stock options or other ownership interests in an entity, where the financial interests of the entity would reasonably appear to be affected by the research and (when aggregated for you and your Family) its value exceeds \$US10,000 (as determined through reference to public prices or other reasonable measures of fair market value) or it represents more than a 5% ownership interest in any single entity?

yes  no **Sponsored Travel:** Has any entity that would reasonably appear to be affected by the research reimbursed you for travel expenses or sponsored travel for you?

*Exemption:* Do not include travel that is sponsored or reimbursed by a federal, state, provincial, or local government agency, an institution of higher education, an academic teaching hospital, a medical centre, or a research institute that is affiliated with an institution of higher education.

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**If you answered No** to all of the Declarations above, go directly to the Investigator Certification in Part III below (unless you are providing an Annual Update in Part II).

**If you answered Yes** to any of the Declarations above, complete the Details of Significant Financial Interests (including Sponsored Travel) section and the Research Project Information section below.

**Details of Significant Financial Interests (including Sponsored Travel):**

This section must be filled out separately for each financial interest that you disclosed above ("Significant Financial Interest"). If you have more than one Significant Financial Interest, attach additional pages.

The Significant Financial Interest is held by:

- You
- Family member:     name: \_\_\_\_\_  
  relationship: \_\_\_\_\_

Name of entity: \_\_\_\_\_

Address of entity: \_\_\_\_\_

Where applicable, you must make reasonable efforts to obtain from the entity any required consent for disclosure of personal or confidential information and submit the consent with this form.

Nature of your (or the Family member’s) relationship with/interest in the entity: (check all that apply)

- |  |   |
|--|---|
| <input type="checkbox"/> Consultant                  | <input type="checkbox"/> Intellectual Property Rights |
| <input type="checkbox"/> Speaker                     | <input type="checkbox"/> Royalty Income               |
| <input type="checkbox"/> Employee or Appointee       | <input type="checkbox"/> Equity Holdings              |
| <input type="checkbox"/> Advisory Board or Committee | <input type="checkbox"/> Sponsored travel             |
| <input type="checkbox"/> Governing Board or Officer  | <input type="checkbox"/> Other (describe) _____       |

Provide a detailed description of each item that you checked above:

Value of payment(s):     \$US \_\_\_\_\_

Value of Intellectual Property (if known):     \$US \_\_\_\_\_

Value of equity interest(s):     \$US \_\_\_\_\_

*(For stock in non-publicly traded entities, use the most recent sales price recognized by the entity.)*

For sponsored travel, provide the following information:

Value:     \$US \_\_\_\_\_

Destination: \_\_\_\_\_

Purpose of the trip: \_\_\_\_\_

Duration of the trip: \_\_\_\_\_

**Research Project Information:**

List all NSF-funded research projects in which you are participating. If required, attach additional page(s).

1. Title of Grant (and Project Number, if known): \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

2. Title of Grant (and Project Number, if known): \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

**Comments or Explanatory Information:** (Attach additional page(s) if required)

**II. Annual Update Regarding Previously Disclosed Financial Interests:**

For all financial interests previously disclosed by you in a previous Financial Interests Report, provide in the space below any updated information (e.g., the updated value of a previously disclosed equity interest), any new information, or any information that was not disclosed previously. Be sure to specify which financial interest(s) you are updating. (Attach additional page(s) if required.)

If you have no updated, new or additional information, check this box.

### III. Investigator Certification: (Must be completed by the Investigator)

- NSF FCOI Policy:** I have read the University's [Guideline](#) for Compliance with the US NSF FCOI Policy and understand it, and I have consulted it as necessary to complete this report.
- Reporting:** I have completed this Report to the best of my knowledge and belief. I understand that completing and signing this Report does not exempt me from any other requirements determined by the NSF, or from any other University policies and procedures, as applicable, and that failure to reveal financial interests may constitute research misconduct under the University's Policy on Ethical Conduct of Research and may result in suspension of NSF funds or other consequences. If I (or my Family) acquire new financial interests or my financial interests (or those of my Family) change such that the information provided in this report is no longer accurate or complete, I will submit a new report within 30 days.

\_\_\_\_\_ (date)

\_\_\_\_\_ (signature)

- additional page(s) attached

#### Privacy:

The University of Toronto respects your privacy. Personal information that you provide to the University is collected pursuant to section 2(14) of the University of Toronto Act, 1971. It is collected for the purpose of fulfilling contractual obligations in U.S. NSF research grants, which require the University to collect this information and use it to monitor investigator compliance with the NSF policy regarding conflicts of interest. The NSF policy also requires the University to report the information to the NSF and to allow the NSF access to the information when a financial conflict of interest is found that cannot be satisfactorily managed. While with the University of Toronto, your information will be protected in accordance with the Freedom of Information and Protection of Privacy Act. If it is provided to or accessed by the NSF, it will be subject to applicable US law. If you have questions, please refer to [www.utoronto.ca/privacy](http://www.utoronto.ca/privacy) or contact the University Freedom of Information and Protection of Privacy Coordinator at McMurrich Building, room 104, 12 Queen's Park Crescent West, Toronto, ON, M5S 1A8.

### The following section is for the use of the Institutional Delegate Only

#### IV. Institutional Delegate Certification:

(To be completed only when a Significant Financial Interest has been disclosed)

I \_\_\_\_\_ have reviewed this Financial Interests Report and have determined that the Significant Financial Interests reported:

- Do NOT represent a financial conflict of interest as they relate to the listed NSF-funded research.

OR

- Do represent a financial conflict of interest as they relate to the listed NSF-funded research.

\_\_\_\_\_  
Signature of Institutional Delegate

\_\_\_\_\_  
Date