Florida State University

**Significant Financial Interest Disclosure (SFI) Form for the**

**National Science Foundation (NSF)**

See ***Purpose of this Form*** and ***Definitions*** on Page 2.

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| --- | --- |
| **SECTION 1. Does the Investigator (including the Investigator’s spouse and dependent children) have any significant financial interests as defined in NSF regulations: (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF as identified below; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities? If the answer is “No”, this form is not required. If “Yes”, please complete the remaining Sections.** | **Response** |
| Yes  No |

**SECTION 2. Investigator and Project Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date of Disclosure: | | New Disclosure Amendment of Previous Disclosure dated: | | |
| Investigator Name (last, first, middle initial): | | | | |
| Email: | Phone: | | | Role in Project: |
| FSU Dept Name: | | | Funding Agency:  NSF Direct NSF Pass Thru From: | |
| Proposal/Award Title: | | | | |
| FSU PI (if PI is not the disclosing Investigator named above): | | | | |

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| **SECTION 3. Have you received remuneration from an entity that, when aggregated,** **totals more than $10,000 in the previous 12 months? If “Yes”, enter the appropriate information below:** | | | | | | | **Response** | |
| Yes  No | |
|  | | | | | | | | |
| Entity #1 Name | | | |  | Entity #2 Name | | | |
|  | | | |  |  | | | |
| Remuneration Date | |  | Amount |  | Remuneration Date | | Amount | |
|  | |  |  |  |  |  |  | |
|  |  |  |  |  |  |  |  |  |
| Reason for Remuneration | | | |  | Reason for Remuneration | | | |
|  | | | |  |  | | | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SECTION 4: Do you hold equity in an outside entity exceeding 5% ownership or valued at more than $10,000? If “Yes”, enter the appropriate information below:** | | | | | | | **Response** | |
| Yes  No | |
| Entity #1 Name | | | |  | Entity #2 Name | | | |
|  | | | |  |  | | | |
| Remuneration Date | |  | Amount |  | Remuneration Date | | Amount | |
|  | |  |  |  |  |  |  | |
|  |  |  |  |  |  |  |  |  |
| Reason for Remuneration | | | |  | Reason for Remuneration | | | |
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| **SECTION 5: Do you have any intellectual property rights from which you receive income that exceeded $10,000 in the previous 12 months? If “Yes”, enter the appropriate information below:** | | | | | | | **Response** | |
| Yes  No | |
| Entity #1 Name | | | |  | Entity #2 Name | | | |
|  | | | |  |  | | | |
| Remuneration Date | |  | Amount |  | Remuneration Date | | Amount | |
|  | |  |  |  |  |  |  | |
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| Reason for Remuneration | | | |  | Reason for Remuneration | | | |
|  | | | |  |  | | | |

**SECTION 6: Investigator Certification**

I hereby certify that the information I have provided in this form is complete and accurate to the best of my knowledge and that I will:

* Adhere to FSU’s Significant Financial Interest Disclosure Policy during the term of the work for FSU;
* Update this disclosure during the period of the award, either on an annual basis or as new reportable significant financial interests are obtained.
* Cooperate in the development of a Conflict of Interest Management Plan.
* Comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate conflicts of interest or forfeit the award.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed: |  | Date: |  |

Submit this form to:

Director, Research Compliance Programs

2021 Westcott North

Tallahassee, FL 32306-1330

[dkey@fsu.edu](mailto:dkey@fsu.edu)

***Purpose of this Form***

NSF regulations and FSU’s [Financial Disclosure Policy](http://www.research.fsu.edu/contractsgrants/documents/policies/Policy%207A-21.docx) require that each Investigator disclose to FSU’s Institutional Official all significant financial interests of the Investigator (including those of the Investigator's spouse and dependent children): (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities. This form is to be used for disclosing significant financial interests (as defined below) that meet the conditions described in (i) or (ii). Significant Financial Interests in two different entities can be reported on this form (one in each column). If there are more than two entities to disclose, please attach additional copies of the form, as needed.

***Definitions***

*Investigator* means the principal investigator, co-principal investigators, and any other person who is responsible for the design, conduct or reporting of the research or educational activities funded or proposed for funding by the applicable funding agencies. Investigators may also include subrecipient investigators, contractors, consultants, collaborators, undergraduate and graduate students, and post-docs.

*Significant Financial Interest (SFI)* 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:

1. Salary, royalties, or other remuneration from the applicant institution;
2. Any ownership interest in the organization, if the organization is an applicant under a Phase I Small Business Innovation Research Program or Small Business Technology Transfer Program;
3. Income from seminars, lectures, teaching engagements sponsored by public or non-profit entities;
4. Service on advisory committees or review panels for public or non-profit entities.
5. Any equity interest that, when aggregated for the Investigator and the Investigator’s spouse and dependent children, meets both of the following tests: (a) does not exceed $10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and (b) does not represent more than a 5% ownership interest in any single entity; or
6. Salary, royalties or other payments that, when aggregated for the Investigator and the Investigator’s spouse and dependent children, are not expected to exceed $10,000 during the twelve month period.