

**DISCLOSURE QUESTIONNAIRE FOR SIGNIFICANT FINANCIAL INTERESTS
(For Federal Grant Applications)**

Effective October 1, 1995, all institutions submitting proposals to federal agencies must have a conflict of interest policy in place that complies with established regulations. These regulations require that, prior to the submission of the proposal, each investigator who is planning to participate in the sponsored activity disclose, to the university, all significant financial interests* of the investigator (including those of the investigator's spouse and dependent children):

- (1) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding; or
- (2) in entities whose financial interests would reasonably appear to be affected by such activities.

Do you (your spouse or dependent children) have, or anticipate having, a **Significant Financial Interest**, as described above, during the next one-year period beginning with the date of your signature?

YES (must complete Form B that is attached) NO

If your answer is **NO**, please complete the section below and return the form to the Grants and Research Office for the normal administrative review process.

If your answer is **YES**, please complete the section below, as well as **Form B**, and return both forms to the Grants and Research Office for the normal administrative review process.

NAME (print) _____

DEPARTMENT/UNIT _____

PROPOSAL TITLE _____

AGENCY _____

- My answer to the question in this Disclosure Questionnaire is true and complete to the best of my knowledge.
- I certify that I have read and understood University of Wisconsin - Superior's Conflict of Interest Policy.
- I agree to immediately submit a disclosure Statement (Form B), should additional reportable significant financial interests occur during the next year beginning with the date of my signature.
- I agree to comply with all conditions or restrictions imposed by the University to manage, reduce, or eliminate conflicts of interest.

Signature of Investigator

Date

*See page 2 for definition

FORM A

Significant Financial Interest: 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 for the University of Wisconsin-Superior
2. Any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program
3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities
4. Income from service on advisory committees or review panels for public or nonprofit entities
5. An equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a 5% ownership interest in any single entity
6. Salary, royalties, or other payments that, when aggregated for the investigator, the investigator's spouse and dependent children are not expected to exceed \$10,000 during the next 12-month period.