

### Significant Financial Interest Report

Submitted pursuant to the requirements of the University of Hawaii's Conflict of Interest policy (E5.214) and UH APMs (A5.504 and A8.956). For additional guidance on Significant Financial Interest, see Attachment A.

Investigator Name: \_\_\_\_\_

I am reporting on activities: \_\_\_\_\_ for the year \_\_\_\_\_ ; or

as an addendum to my most recent report.

yes	no	1. Compensation (including travel reimbursement or sponsorship). Have you or a member of your immediate family received compensation (>\$5,000 when aggregated) from an entity, not listed in the exclusions, for activities such as consulting, expert witness, advisory board membership, and the like? If yes, furnish detailed information on additional page.
yes	no	2. Equity. Do you or a member of your immediate family own stock or hold stock options with a publicly-traded (value when aggregated is >\$5,000) or a non-publicly traded (any value) entity? If yes, furnish detailed information on additional page.
yes	no	3. Role. Do you or a member of your immediate family serve as a director, trustee, officer or other key employee in a corporation, partnership, business, or other entity outside of the University of Hawaii. If yes, furnish detailed information on additional page.
yes	no	4. Intellectual Property. Do you or a member of your immediate family have rights to and/or receive royalties from intellectual property (including, patents, copyrights and trademarks but excluding academic or scholarly works) licensed to and/or owned by a for-profit entity? Do NOT include intellectual property owned or managed by the University of Hawaii. If yes, furnish detailed information on additional page.

Certification:

I have read and understand the UH conflicts of interest policy and procedures and have accurately completed this report to the best of knowledge and belief. If required, I will comply with any conditions or restrictions imposed by the University of Hawaii to manage any real or perceived conflicts. Should my outside financial or managerial interests, or those of my immediate family, change in a way that results in different answers to any of the questions asked in this report, I agree to submit a revision.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature)

## Significant Financial Interest Report (Details)

Please complete a separate sheet for yourself and each immediate family member (if applicable).

Reporting for                      self                      family member:

name: \_\_\_\_\_

relationship: \_\_\_\_\_

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

Address of External Entity: \_\_\_\_\_

Type of external relationship: (check all that apply)

	TYPE	AMOUNT
	Consultant	
	Speaker	
	Advisory Board or Committee	
	Equity Holdings	
	Governing Board or Officer	
	Intellectual Property Rights	
	Royalty Income	
	Other (describe below)	

If travel paid by entity:

Destination/Duration \_\_\_\_\_ Purpose of travel \_\_\_\_\_

Amount (if over \$5,000) \$ \_\_\_\_\_

Comments or explanatory information:

# Significant Financial Interest (SFI)

- I. Remuneration<sup>1</sup> and Equity Interest<sup>2</sup> received or held by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.

## Not SFI

Value of any remuneration received from the entity in the 12 months preceding the disclosure date and value of equity interest as of the disclosure date, when aggregated is \$5,000 or less.

Value of any remuneration received in the 12 months preceding the disclosure date is \$5,000 or less.

**Publicly Traded Entity**

**Non-Publicly Traded Entity**

**Intellectual Property Rights and Interests**

## SFI

Value of any remuneration received from the entity in the 12 months preceding the disclosure date and value of equity interest as of the disclosure date, when aggregated exceeds \$5,000.

Value of any remuneration received in the 12 months preceding the disclosure date exceeds \$5,000 or ANY equity interest held.

Upon receipt of income related to such rights and interests.

<sup>1</sup> For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (i.e. consulting fees, honoraria, paid authorship);

<sup>2</sup> For purposes of this definition, equity interest includes stock, stock options, or other ownership interests, as determined through reference to public prices or other reasonable measures of fair market value.

# Significant Financial Interest (SFI)

II. Reimbursed or Sponsored Travel<sup>†</sup> received by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.

<sup>†</sup> Travel as defined in UH APM A8.851.

## Not SFI

## SFI



## III. Other exclusions (Not SFI)

- Salary, royalties, or other remuneration paid by UH if the Investigator / Key Personnel is currently employed or otherwise appointed by UH, including intellectual property rights assigned to UH and agreements to share in royalties related to such rights
- Income from investment vehicles as long as the Investigator does not directly control the investment decisions (i.e. mutual funds, retirement account)
- Income from seminars, lectures, or teaching engagements sponsored by a U.S. Federal, state or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with U.S. institution of higher education
- Income from service on advisory committees or review panels for a U.S. Federal, state, or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with the U.S. institution of higher education