

**UNIVERSITY OF VERMONT**  
**Investigator's Statement of Significant Related Financial Interest**  
**for Sponsored Projects**

This form is to be completed by all Investigators with significant related financial interests who are involved in a University sponsored project. The form is to be completed before the project is initiated and annually thereafter for the duration of the project or when new interests arise.

Please return the completed form to Ruth Farrell, Assoc. VP for Research Administration, Office of Sponsored Programs, 340 Waterman Building.

Name of Investigator Making Disclosure:

Department  Email address

Name of Principal Investigator (if different):

Title of Proposal or Award and Award Number if known:

Sponsor:

Reason for Disclosure:  New Funding  New Investigator  New Interest  
 Annual disclosure for continuation of Contract or Grant #

Please provide the following information about the entity in which you have a financial interest:

Name of Entity:

Principal Business or Area of Specialty:

A. MANAGEMENT POSITION: Are you, your spouse and/or dependent children a director, officer, partner, or employee of, or do you hold any position of management, in the entity listed above?

No  YES If yes, specify position:

B. INCOME: Have you, your spouse, and/or dependent children received \$10,000 or more in income in the last 12 months from the entity listed above? ("Income" includes any anticipated payment such as salary or consulting fees but does not include any salary or summer salary paid by the University with funds provided by the entity listed above.)

No  YES

C. ANTICIPATED INCOME: Do you, your spouse, and/or dependent children anticipate receiving income of \$10,000 or more in the next 12 months from the entity listed above?

No  YES

D. INVESTMENT: Do you, your spouse and/or dependent children have an interest or hold equity (ownership interest, stock, or stock options) which exceeds \$10,000 in monetary value or 5% of the total value of the company?

No  YES

Please indicate type:  Stock  Stock options  Bonds  Other (specify):

Percentage of total value of the company your interest represents (if applicable):

E. INTELLECTUAL PROPERTY:

1. Does the entity listed above hold rights to a pending patent application, issued patent, or license to an invention; copyright of software, or other intellectual property which you, your spouse or dependent children have developed?

No     YES, but the license is from the University  
 YES, and the application, patent, or license is NOT from the University

2. Does the entity listed above manufacture, sell or distribute any drug, vaccine, device, or any other product involved in the proposed project?

No     YES    If yes, specify:

F. SUBCONTRACTOR: Is the entity listed above proposed as a subcontractor or consortium member, lessor or otherwise involved in the proposed project?

No     YES    If yes, specify:

G. Describe how any financial interest disclosed above may be or appear to be affected by the design, conduct, or reporting of the research.

H. What plans or actions do you think should be considered to reduce or eliminate the conflict? Describe (attach additional pages if necessary):

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**Verification**

I declare that I have used all reasonable diligence in preparing this Statement and to the best of my knowledge it is true and complete.

Signature \_\_\_\_\_ Executed on \_\_\_\_/\_\_\_\_/\_\_\_\_