

For PHS-funded, including NIH, NIMH, etc. Research and Other Sponsored Projects and Non-PHS Sponsors Incorporating PHS Regulations, e.g., AHA, ACS, Susan B. Komen Foundation, etc.

# **INVESTIGATOR FINANCIAL INTEREST DISCLOSURE FORM**

**INSTRUCTIONS:** In accordance with Section IV.A of the Addendum on Conflicts of Interest in Research and Other Sponsored Projects (the "Research COI Policy") attached to the Policy on Academic Conflict of Interest and Conflict of Commitment, effective August 24, 2012, all Investigators in Research and Other Sponsored Projects subject to the PHS Regulations must disclose their Significant Financial Interests by completing an Annual Disclosure Form and submitting this Investigator Financial Interest Disclosure Form to their school dean or his/her designee prior to submission of any proposal and annually for the duration of the project. This applies even if an Investigator has no financial interest to disclose. This form must be updated within 30 days of discovering or acquiring any relevant new activity or interest, including the occurrence of any paid or reimbursed travel.

Principal Investigators should identify any Investigators in their Project and ensure that each one has filed a disclosure. **Investigator** as defined in the Research COI Policy means the principal investigator or program director, and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of Research and Other Sponsored Projects, or who proposes funding for the Research and Other Sponsored Projects, at or under the auspices of NYU. Investigator also includes outside persons who are responsible for doing any of the foregoing for subgrantees, contractors, collaborators or consultants of NYU Research and Other Sponsored Projects as determined by the applicable School in consultation with the applicable principal investigator or program director. Section III of the Research COI Policy outlines the circumstances under which such external Investigators will be required to comply with the pertinent portions of this addendum. **Most, but not all, Investigators are NYU faculty members.**

The completed disclosures must be submitted in accordance with the implementation procedures adopted by the University and your school dean. The office designated by your Dean to receive the project submission will review this form. If it is determined by the Dean or his or her designee that any financial interest has been disclosed that could directly and significantly affect the design, conduct or reporting of this project, the packet may be referred to a Faculty Advisory Committee for review and evaluation as contemplated by the Research COI Policy.

<b>Principal Investigator:</b> Sara Steele	<b>PI School/Department:</b> FAS / Center for Neural Science	<b>PI Telephone:</b> (212) 998-3920
<b>Investigator/Key Personnel:</b>	<b>School/Department:</b>	<b>Telephone:</b>
<b>Proposal Title:</b> Dynamical systems theory for a dynamic auditory world		
<b>Sponsor:</b>  National Institutes of Health	Is this Human Subjects Research?: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, and more than minimal risk, there is no minimum dollar threshold. All interests must be disclosed.	
	Is this Pre-Clinical Research (i.e. research reasonably anticipated to contribute to an FDA application for research involving human subjects within the next 12 months)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, there is no minimum dollar threshold. All interests must be disclosed.	
	Have you filed an <u>Annual Disclosure Form</u> ? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
	If no: <u>file now</u>	
If yes, did you disclose any Interests or Activities related to your Institutional Responsibilities (defined as: Investigator's professional responsibilities on behalf of NYU, including research, research consultation, teaching, professional practice, institutional committee memberships and service on panels such as institutional review boards or data and safety monitoring boards)? Yes <input type="checkbox"/> No <input type="checkbox"/>		

	If yes, have there been any changes since your last filing? Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, list them on Addendum page at end of form.
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**Project-Specific Disclosure:**

Answer the questions below based on interests held by you and your Immediate Family Members as they relate to this specific project. A Financial Conflict of Interest means a Significant Financial Interest that could directly and significantly affect the design, conduct or reporting of a specific Research or Other Sponsored Project. **Interests in research sponsors will normally be a reportable interest.**

Immediate Family Members, as used in the Research COI Policy, include an individual's spouse or domestic partner or person in a civil union or similar relationship, dependent children, and any other family members residing in the same household.

The following types of financial interests do NOT need to be disclosed on this form:

- (1) Salary, royalties, or other remuneration paid by NYU while the recipient is currently employed or otherwise appointed by NYU;
- (2) Income from diversified investment vehicles, such as broad-based mutual funds and exchange traded funds, as long as the Investigator, or his or her Immediate Family members, collectively, do not have a 15% or greater direct or indirect interest in the vehicle and do not have an Employment/Management/Fiduciary Role in the vehicle;
- (3) Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education;
- (4) Income from service on advisory committees or review panels for a federal, state, or local government agency, or an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education; and
- (5) For projects which are not Human Subjects Research of greater than minimal risk and requiring review by an IRB or Pre-Clinical Research, interests in and remuneration from a publicly traded entity where the total aggregate value of (a) Remuneration received from the entity in the twelve months preceding the disclosure and (b) Ownership Interest in the entity as of the date of disclosure is less than \$5,000, provided that the Ownership Interest also is less than five percent (5%) in any class of the entity's securities and, the entity did not reimburse and/or sponsor the Investigator's travel.

**NOTE: For more than minimal risk research involving human subjects, all payments and ownership must be disclosed regardless of the amount received or owned.**

**1. EMPLOYMENT/MANAGEMENT/FIDUCIARY ROLE –**

Do you or does any member of your Immediate Family have an employee, executive, manager, officer, director, trustee, or equivalent role in a business, enterprise or entity (other than NYU or an entity that is 50% or more owned or controlled by NYU), such as the research sponsor, which would affect or reasonably appear to be affected by, or might in turn affect, this project?

Yes  
☐

No  
☐


If yes, provide details in part 6, below.			
<b>2. PUBLICLY TRADED ENTITIES</b>			
With regard to Publicly Traded Entities, do you or your Immediate Family Members have Remuneration (including salary and any payment for services not otherwise identified as salary such as consulting fees, honoraria, paid editorial or authorship activities from the entity in the twelve months preceding the disclosure and/or do you or your Immediate Family Members have any Ownership Interest, including stock, stock option, warrant, convertible debt, partnership or LLP/LLC interest, or other ownership interests in the entity as of the date of disclosure, which, when aggregated, exceeds \$5,000?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, is the Entity one, such as the research sponsor, which would affect or reasonably appear to be affected by, or might in turn affect, this project?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, provide details in 6, below.			
<b>3. NON-PUBLICLY TRADED ENTITIES</b>			
With regard to Non-Publicly Traded Entities, do you or your Immediate Family Members have any (i) Remuneration, including salary and any payment for services not otherwise identified as salary such as consulting fees, honoraria, paid editorial or authorship activities from the entity in the twelve months preceding the disclosure, which, when aggregated, exceeds \$5,000, or (ii) any Ownership Interest, including stock, stock option, warrant, convertible debt, partnership or LLP/LLC interest, or other ownership interests in the entity?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, is the Entity one such as the research sponsor, which would affect or reasonably appear to be affected by, or might in turn affect, this project?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, provide details in 6, below.			
<b>4. INTELLECTUAL PROPERTY RIGHTS</b>			
Do you or your Immediate Family Members have Intellectual Property Rights (e.g., patent or copyrights), royalties from such rights, or agreements to share in royalties related to such rights (including any right to royalty income from intellectual property assigned to NYU under NYU's intellectual property policies)?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, are the Intellectual Property Rights held in intellectual property covering products or processes being used in this project?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, provide details in 6, below.			
<b>5. REIMBURSED OR SPONSORED TRAVEL</b>			
Have you received within the last 12 months any Reimbursed and/or Sponsored Travel related to this Project (Sponsored Travel is that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available) ?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please note that you do NOT need to disclose the occurrence of travel that is reimbursed and/or sponsored by a federal, state, or local government agency, or an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education.			
If yes, provide details in 6, below, including purpose of trip, identity of sponsor, destination and duration.			
<b>6. SUPPLEMENTAL INFORMATION</b>			

If you answered 'Yes' to any of the foregoing questions, please provide specific information regarding each applicable significant financial interest on a separate page. If you answer 'Yes' to the first question of Part 2 or 3 and answered 'No' to the second question of such Part, update your Annual Disclosure Form, as necessary. For all other disclosures related to this specific project, in addition to the name of the entity(ies), please attach an explanation of why each entity may affect the study, the nature and amount of the financial interest, and note whether there are any students, residents, trainees or post-docs participating in this project.

#### 7. CERTIFICATION

I certify that the above information is complete and true to the best of my knowledge and that I have read and agree to abide by the University's Policy on Academic Conflict of Interest and Conflict of Commitment, including the Research COI Policy, as it pertains to me and I understand and will comply with its requirements. If I am the Principal Investigator/Project Director, I further certify that all other Investigators I intend to appoint will file an Investigator Financial Interest Disclosure Form for this project in accordance with the Research COI Policy.

I acknowledge my obligation while the project remains ongoing to submit an updated Investigator Financial Interest Disclosure Form at each continuation or renewal of this project or within 30 days of discovering or acquiring any new financial interest related to the project.

  
Signature of Investigator

12/13/2012  
Date