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

**SUBMIT COMPLETED FORM TO MANDY KING VIA EMAIL AT** [**mlking9@olemiss.edu**](mailto:mlking9@olemiss.edu)

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| --- | --- | --- | --- |
| **Name:** | Click or tap here to enter text. | **Title** | Click or tap here to enter text. |
| **Department:** | Click or tap here to enter text. | **Email:** | Click or tap here to enter text. |
| **Signature:** |  | **Date:** |  |

**Definitions**

*Equity Interest* is stock, stock options, or other ownership interest

*Fiduciary role* means role in which one has the duty to act for someone else's benefit over that of one's personal interests

*Remuneration* is anything of monetary value

*Significant Financial Interest* is a financial interest, received in the past 12 months by an investigator, and/or their spouse or dependent children, consisting of one or more of the following that is related to teaching, research, administrative, or clinical duties:

1. Equity interest in a domestic or foreign publicly traded company of 0-1.99% with aggregate income totaling greater than $5,000;
2. Equity interest in a domestic or foreign publicly traded company of 2-9.99% with aggregate income totaling greater than $1,000;
3. Equity interest in a domestic or foreign publicly traded company of 10% or greater;
4. Any equity interest in a private company (including start-ups);
5. $5,000 or more in salary, consulting fees, advisory board fees, honoraria, gifts, “in kind” compensation, or any other remuneration from an outside entity;
6. An appointment to serve in a fiduciary role (director, officer, partner, trustee, or any position of management) for an outside company, whether or not remuneration is received;
7. Any commercialization proceeds, such as licensing fees and royalties, from intellectual property (patents and copyrights);
8. Any travel sponsored or reimbursed by an outside entity;
9. Any other compensation whose value could be affected by the outcome of research conducted at UM.

Excluded Financial Interests

1. Salary or other remuneration paid by UM to you if you are currently employed or otherwise appointed by UM;
2. Income from investment vehicles, such as mutual funds and retirement accounts, as long as you do not directly control the investment decisions made in these vehicles;
3. Income from seminars, lectures, or teaching engagements sponsored by a U.S. federal, state, or local government agency, an Institution of higher education as defined in 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 U.S. 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.

**Disclosures**

**Interests held individually by the Investigator, his/her spouse, and dependent children must be added together and the aggregate value reported for each entity.**

**Section 1 – Significant Financial Interests**

**Check this box if you have no significant financial interests to disclose. Skip to** [**Section 2**](#section)**.**

1. Entity Name Click or tap here to enter text. Entity location Click or tap here to enter text.

(Select all that apply)

I (and/or my spouse or dependent(s)) have equity or ownership in this publicly-traded entity in the following amount:

$Click or tap here to enter text. or Click or tap here to enter text.%

I (and/or my spouse or dependent(s)) have equity or ownership in this private entity in the following annual amount:

$Click or tap here to enter text. or Click or tap here to enter text.%

I (and/or my spouse or dependent(s)) receive salary, consulting fees, advisory board fees, honoraria, gifts, “in kind” compensation, or any other remuneration from this outside entity in the following annual amount:

$Click or tap here to enter text.

I (and/or my spouse or dependent(s)) serve in a fiduciary role for this entity

Describe: Click or tap here to enter text.

I (and/or my spouse or dependent(s)) receive/d commercialization proceeds, such as licensing fees and royalties, from intellectual property (patents and copyrights);from this entity

Describe: Click or tap here to enter text.

Check here if this Intellectual Property is UM-owned

I (and/or my spouse or dependent(s)) was reimbursed or sponsored to travel by this entity in the following amount:

Describe: Click or tap here to enter text.

I (and/or my spouse or dependent(s)) receive/d other compensation that could be affected by the outcome of research, in the following amount

$Click or tap here to enter text.

**Click anywhere and then the + button to add more entities**

**Section 2 – Foreign Talent Programs**

A Foreign Talent Recruitment Program (FTRP) is an effort organized, managed, or funded by a foreign governmentor entity to recruit professionals or students (regardless of citizenship or national origin). FTRPs generally involve two elements: (1) compensation from a foreign country or entity to the researcher in exchange for (2) specific research activities, opportunities, or obligations that may create a risk of conflict of interest, conflict of commitment, loss of IP, or other risks. Compensation need not be cash but could include in-kind contributions, access to resources, research funding, titles, travel, or items of non-de minimis value. Some examples can be found [here](https://chinatalenttracker.cset.tech/).

The CHIPS Act defines a malign foreign talent recruitment program (MFTRP) as any program, position, or activity that offers compensation in exchange for the **unauthorized** or **illegal** transfer of intellectual property, materials, data products, or other nonpublic information to a foreign government or entity. Participation in Maligned FTRPs (definition and UM policy can be found [here](https://policies.olemiss.edu/ShowDetails.jsp?istatPara=1&policyObjidPara=13278185)) must be disclosed and is prohibited for those participating in federally sponsored research.

Choose one:

I currently participate in a Foreign Talent Recruitment Program

I previously (within the past 5 years) participated in a Foreign Talent Recruitment Program

I currently participate in a Malign Foreign Government Talent Recruitment Program

I previously (within the past 5 years) participated in a Malign Foreign Government Talent Recruitment Program

I do not participate in a Foreign Government Talent Recruitment Program

**Section 3 – Other Support**

"Other Support" includes all outside resources (from foreign and domestic entities) directly supporting your research endeavors, regardless of whether or not they have monetary value. This includes (but is not limited to):

- Titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).

- Research resources such as personnel, lab space, scientific materials, or high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.).

Select One:

Check this box if you have no Other Support to Report. Skip to [Section 4](#section4).

Sources of foreign or domestic Other Support (include name, location, and description)

Click or tap here to enter text.

**Section 4 – Assurances**

I assure the information provided in this disclosure to be accurate and current to the best of my knowledge and belief.

I agree to submit a new disclosure within 30 days of acquiring any new interests or the information provided in the current disclosure changes

I agree to submit a disclosure annually hereafter.

For Department of Energy applicants: I understand that this Disclosure is required to obtain funding from the U.S. Government. I certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.