

## Financial Disclosure Requirements for Investigators of US Public Health Service Funded Projects

Disclosure Requirement: Under the US Public Health Service's (PHS) Financial Conflict of Interest (FCOI) regulation (42 CFR Part 50 Subpart F), **you must disclose your significant financial interests (SFI) on the attached Form, to include those of your spouse and dependent children, that are directly related to the research you are proposing to conduct.** Disclosures must be made:

- By 'Investigators', defined as the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS (e.g., NIH).  
*The PI, Co-PI, PD, Co-PD and Senior/Key Personnel named in the proposal, grant, award modification, subaward or subcontract are always considered an Investigator.*
- No later than at the time of application for PHS funded research;
- Within 30 days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new SFI. This includes any disclosures that arise between the time the proposal is submitted and an award is made; [The obligation to update your disclosure within 30 days of acquiring the new SFI also applies to any new reimbursed or sponsored travel \(see question 4 on the form\);](#) and
- At least annually during the period of successful award.

## Disclosure of Significant Financial Interests

PHS supported project title:

Name of Researcher Completing this form

Funding Body & Scheme:

Research Master #

### **Definitions:**

**Remuneration** includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship).

**Equity interest** includes any stock, stock options, or other ownership interest as determined through reference to public prices or other reasonable measures of market value.

1. **Do you (and your spouse and dependent children) have a significant financial interest that exceeds \$5,000 in a publicly traded entity and that reasonably appears to be related to this research project? When determining your response to this question, please add the value of any equity interest as of the date of this disclosure to any remuneration received from the entity in the twelve months preceding this disclosure.**

No  Yes (if yes, provide name of business entity):

2. **Do you (or your spouse and dependent children) have the following significant financial interests in a non-publicly traded entity that reasonably appears to be related to this research project?**

a. **Remuneration that when aggregated exceeds \$5,000.**

No  Yes (if yes, provide name of business entity):

b. **Any equity interest.**

No  Yes (if yes, provide name of business entity):

3. **Have you (and your spouse and dependent children) received income in excess of \$5,000 from intellectual property rights and interests (e.g, patents, copyrights) during the twelve months preceding this disclosure and that reasonably appears to be related to this research project?**

No  Yes (if yes, provide name of business entity):

4. **Has any organization sponsored or reimbursed you for any travel you have taken that is related to this work?** *Note: You are not required to disclose travel that is reimbursed or 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.*

No  Yes

If yes, report the name of sponsor/organizer, purpose, destination, and duration of trip):

5. **Additional details about reported financial interests:**

### Investigator Certification

I certify, to the best of my knowledge, that the information reported herein is complete and accurate.

\_\_\_\_\_  
Signature of Investigator

\_\_\_\_\_  
Date

*Submit completed form to [research-grants@deakin.edu.au](mailto:research-grants@deakin.edu.au)*