

FINANCIAL DISCLOSURE FORM
UW-Platteville Principal Investigator's Financial Disclosure Form
for Federal Grants

- I. Accurate completion of this report is essential for compliance with NSF and HHS requirements. Grant proposals cannot be submitted to federal agencies unless this form is completed, signed, and returned to your Department Chair and then to your Dean. To assure that any grant proposal will not be delayed, file this form by April 30, and update it throughout the year if circumstances change. Please see the reverse side of this form for information on which types of financial interests are reportable.
- II. Faculty or Academic Staff involved in research who have requested or may request Principal Investigator status must complete this section. Please check the applicable boxes below, and fill in the requested information. If more space is necessary, attach a separate sheet.

I have no financial interests to report

I and/or my immediate family receive or expect to receive payments totaling \$10,000 or more per year from a single for-profit business enterprise that would reasonably appear to be affected by research or educational activities which are funded or may be funded by federal agencies.

Name of Entity	Type of Payment	Amount of Payment
Making Payments	(salary, dividend, royalty, etc.)	

I and/or my immediate family have ownership interest of 5% or greater, or ownership interest totaling \$10,000 or more, in a single for-profit business enterprise that would reasonably appear to be affected by my research or educational activities which are funded or may be funded by federal agencies.

Name of Entity	Type of Payment	% of Interest
Making Payments	(salary, dividend, royalty, etc.)	

I hereby certify that, to the best of my knowledge, the above information is correct.

Signature: _____ Date: _____

- III. Department Chair and Dean are to complete this section.

I have reviewed the information itemized above and to the best of my knowledge find no potential conflict of interest.

I have reviewed the information itemized above and find a potential for conflict of interest. Accordingly, I have notified the faculty member, the Financial Disclosure Committee, and all other relevant parties.

Signature of Department Chair: _____ Date: _____

Signature of Dean: _____ Date: _____

Glossary of Definitions --- from the Federal Register
Vol. 59:33308 and 33242-33251, June 28, 1994 &
Federal Register Vol. 60:35810-35823, July 11, 1996

I. Types of interests that are reportable unless exempt under Section II:
Anything of monetary value that you and/or your immediate family received from for-profit business, including but not limited to:

- Salaries or other payments for services (e.g., consulting fees for honoraria)
- Equity interests (e.g., stocks, stock options, or other ownership interests)
- Intellectual property rights (e.g., patents, copyrights, and royalties from such rights, including books if published by commercial presses)

II. Types of interests that are NOT reportable:

- Salaries, royalties, or other payments from the University.
- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities.
- Income from advisory committees or review panels for public or nonprofit entities
- Payments from a single business if the entire amount of payments you and your immediate family together received is less than \$10,000.
- Ownership interest in a business if you and your immediate family's ownership interest in the business together represent less than 5% or less than \$10,000 of the total ownership interests in the business.

III. IMMEDIATE FAMILY means your spouse and dependent children.

IV. Formula to determine whether a financial interest is reportable:

Step One: Do you and/or your immediate family have a financial interest from or in a for-profit business that is reasonably likely to be affected by the research or educational activities for which you have received or expect within the year to seek and receive funding? If not, then the interest is not reportable. If yes, go to Step Two.

Step Two: Do you and/or your immediate family together receive from such a business \$10,000 or more per year, or is the ownership interest you and your family have together in such a business 5% or more, or equal to or greater than \$10,000 in value, of the total ownership interest? If no, then the interest is not reportable. If yes, you must report the interest(s) on the other side of this form.