Introduction

Purpose: The integrity of Cornell University's research, instruction, and outreach activities is of the utmost importance, as is maintaining the trust of the public and that of our sponsors in the integrity and credibility of our faculty, staff, and students as they perform their Cornell research and other Cornell duties.

The principles and procedures of the Cornell University Conflicts Policy and the Financial Conflicts of Interest Related to Research policy assure that members of the Faculty and Staff of Instruction and Research and other research personnel will report their external commitments and financial interests in a timely manner and that their real and apparent financial conflicts of interests and conflicts of commitment will be identified and responsibly managed. These principles and procedures ensure compliance with all applicable federal and state regulations, research award terms, and policies regarding financial conflicts of interest and conflicts of commitment.

Confidentiality: The University is committed to maintaining the confidentiality of reported information as far as is practicable and consistent with legal obligations. Information provided is shared only with Financial Conflicts of Interest Committee members and staff who are involved in the processing and review of the information. Other individuals, including those who create and implement management plans, unit heads, and Institutional Review Board (IRB) members and staff, receive this information on a need-to-know basis.

For resources and guidance on policy and procedures, please visit the Conflicts of Interest website at http://www.oria.cornell.edu/COI or contact the fCOI office by email at coi@cornell.edu and by phone (607)255-2214.

On the following screens, you will be asked questions about your external commitments and financial interests. The documents that you might need in order to complete this report include, but are not limited to: tax forms, consulting agreements, and licensing agreements. The amount of time it will take you to complete the report will vary based on your reported external commitments and financial interests.

The required information for each question and entity must be completed before the report can be submitted. You may save the report at any time and finish it later. Upon completion,
you must certify that you have fully and accurately disclosed your external commitments and financial interests. Upon completion and submission, your report will be reviewed by the Financial Conflicts of Interests Committee (FCOIC).

Click here to view a blank copy of the fCOI Report.

If you have questions or require assistance with completing this report, please email or call the fCOI office at coi@cornell.edu or (607)254-8878.
Screening Questions: Your answers to the screening questions will determine any additional information that will be requested later in the report.

A. Cornell Research Activity

"Cornell research," for purposes of this report, is research conducted in the course of an appointment with the university and/or using university resources, and includes sponsored research and extension, non-sponsored research, and research-related agreements.

A.1. Do you participate in the design, conduct, reporting, or direct administration of Cornell research in the following categories?

- **Sponsored research and extension**: research and extension funded by federal and non-federal sources through contracts, grants, gifts, clinical trials, training grants, or other forms of funding.
- **Non-sponsored research**: professional interests pursued through research that are supported by University funds including, but not limited to, internal allocations, gifts, endowment income, fellowships, licensing income, salary recovery, and cost sharing.
- **Research-related agreements**: including but not limited to licensing agreements, material transfer agreements, non-disclosure agreements, and product testing agreements.

  - Yes  
  - No

B. External Commitment or Financial Interest

B.1. Please provide the number of days that you spent in the last 12 months, on paid lectureships at other universities or appointments on review panels for federal, state or local government entities.

  days

Regulations and Cornell policy require that we collect information for you, your spouse/same-sex partner, and dependent child(ren). Unless noted otherwise, you must report for all of these individuals, who will be referred to as "you/your family" in the following questions.

An "entity" or "external entity," for purposes of this report, is an independent, separate organization, external to Cornell. This does **not include** federal, state or local government agencies, or another university or college.

Do not include participation in unpaid/volunteer activities.

B.2. Did **YOU** have during the past 12 months or currently anticipate having in the next 12 months, any of the following external commitments or financial interests with any external entity as defined above?

  a. Paid **consulting** or presentations/lectures etc.
b. Paid **service** in a management, advisory, policy, fund raising, or other fiduciary role.
   - Yes  No

c. Paid **employment** (including in your own sole proprietorship, partnership, or corporation).
   - Yes  No

d. **Party to or beneficiary of a licensing, patent, royalty, or other intellectual property agreement.**
   - Yes  No

e. **Conduct of Cornell research on a technology that you have developed and that is licensed, assigned, or otherwise legally obligated to an entity.**
   - Yes  No

f. Conduct of Cornell research activities whose outcome could reasonably be expected to impact your financial interest in an external entity.
   - Yes  No

B.3. Did **ANY MEMBER OF YOUR FAMILY** have during the past 12 months or currently anticipate having in the next 12 months, any of the following external commitments or financial interests with any external entity whose activities could be related to your Cornell duties in any of the following ways:

- Entity provides gifts, grants, awards, or other funding to the University for support of your Cornell activities (do not include awards executed by the Cornell Office of Sponsored Programs)
- Entity is a sponsor, subcontractor, sub awardee, or supplier or lessor of goods, materials, proprietary information, services, or facilities for your Cornell duties.
- Entity makes use of your Cornell research or scholarly work either directly or indirectly, for example-entity is contracted for your expert testimony, witness or opinion which is derived from your Cornell duties.
- Entity is a member of an industry, trade, or advocacy group that directly funds your research or funds a sponsor of your Cornell research.
- Entity manufactures, commercializes, or is developing a product that is being used, evaluated, or further developed by your Cornell duties.
- Entity will receive materials, data, or other information from your Cornell research and/or other Cornell duties.
- Entity is a competitor of a sponsor of your Cornell research.
- Entity refers human participants for your Cornell research.
- Entity has some other relationship not described above that could be related to or could be affected by your Cornell duties.

An "entity" or "external entity," for purposes of this report, is an independent, separate organization, external to Cornell, not including federal, state, or local government agencies or another university or college.
a. Paid **consulting** or presentations/lectures etc.
   - Yes  
   - No  

b. Paid **service** in a management, advisory, policy, fundraising, or other fiduciary role.
   - Yes  
   - No  

c. Paid **employment** (including in your sole proprietorship, partnership, or corporation).
   - Yes  
   - No  

d. **Party to or a beneficiary of a licensing, patent, royalty, or other intellectual property agreement.**
   - Yes  
   - No  

B.4. **Did you or any member of your family receive Significant Financial Income from an external entity whose activities could be related to your Cornell duties (see B.3 for an explanation of relatedness)?** Some examples of reportable income include:

- Honoraria or speaking fees, service on an advisory committee or review panel, lectureships or other paid appointments (Do not include income from universities, federal, state or local government entities or reimbursement for reasonable travel expenses)
- Royalties (in which Cornell may or may not be a party) from licensing or other activities (Do not include royalty income from publications of scholarly or academic work.)
- Gifts, vacations, airline tickets, and other non-monetary payments for personal use
- Housing or travel support beyond what is reasonably needed to discharge services rendered
- Financial bonus payments or other compensation and/or penalties related to the speed of human participant enrollment, number of enrollees, or other milestones
- Compensation from sale of goods or services (Do not include income from consulting)
- Income from monetary loans to the entity or money borrowed from the entity
- Fees for services or other monetary payments not included above

**Significant Financial Income:** Payments or anything of monetary value (including the value of an equity interest) from a **single entity that when aggregated for you and your family for the past 12 months and expected over the next 12 months, exceeds $5,000.**

   - Yes  
   - No  

If you have questions or require assistance with completing this report, please email or call the ICOI office at coi@cornell.edu or (607)254-8878
C. Significant Equity Interest

*Equity includes bonds, publicly traded stocks or stock options; privately held stocks or stock options; convertible securities; warrants (i.e., promise of funds upon a demonstration of need); interest in real or personal property; dividends, royalties, profit sharing, capital gains; legal partnerships or other ownership interests. Equity, for the purposes of this report, does not include mutual fund interests or stocks held through any non-self-directed 403B, 401K, IRA, or other retirement accounts.*

**Significant Equity Interest:** For a publicly held business, an equity interest that exceeds: (I) $5,000 in value as determined through reference to public prices or other reasonable measures of fair market value; or (ii) representing 5% ownership in such business; for a privately held business, any equity interest in such business, regardless of the amount.

An "entity" or "external entity," for purposes of this report, is an independent, separate organization, external to Cornell. This does **not include** federal, state or local government agencies, or another university or college.

C.1. Do you/your family hold a Significant Equity Interest in an external entity that could be related to your Cornell duties in any of the following ways?

- Entity is a sponsor, subcontractor, sub awardee or supplier or lessor of goods, materials, proprietary information, services, or facilities for your Cornell duties
- Entity provides gifts, grants, awards, or other funding to the University for support of your Cornell activities
- Entity makes use of your Cornell research or scholarly work either directly or indirectly, for example-entity is contracted for your expert testimony, witness or opinion which is derived from your Cornell duties.
- Entity is a member of an industry, trade, or advocacy group that directly funds your research or funds a sponsor of your Cornell research.
- Entity manufactures, commercializes, or is developing a product that is being used, evaluated, or further developed by your Cornell duties.
- Entity will receive materials, data, or other information from your Cornell research and/or other Cornell duties.
- Entity is a competitor of a sponsor of your Cornell research.
- Entity refers human participants for your Cornell research.
- Entity has some other relationship not described above that could be related to or could be affected by your Cornell duties.

- [ ] Yes
- [ ] No
Listed below are the entities that you have entered in this or a previous report. Select those entities in which you/your family 1) currently own an equity interest AND 2) that meet one or more of the criteria above. Add any additional entities if appropriate.

<table>
<thead>
<tr>
<th>Entity</th>
<th>Check all that apply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Entity</td>
<td>☐</td>
</tr>
</tbody>
</table>

Add New Entity

**D. Other Significant Financial Interests**

**Significant Financial Interest (SFI) is defined as follows:**

1. **Significant Equity Interest:** For a publicly held business, an equity interest that exceeds (i) $5,000 in value as determined through reference to public prices or other reasonable measures of fair market value; or (ii) representing 5% ownership in such business; for a privately held business, any equity interest in such business, regardless of the amount.

And/Or

2. **Significant Financial Income:** Payments or anything of monetary value (including the value of an equity interest) from a single entity that when aggregated for you and your family for the past 12 months or expected over the next 12 months, exceeds $5,000.

**D.1. Do you/your family have any other Significant Financial Interests not mentioned above with an external entity that engages in activities that are related to your Cornell duties?**

An "entity" or "external entity," for purposes of this report, is an independent, separate organization, external to Cornell. This does not include federal, state or local government agencies, or another university or college.

- Yes
- No

**Please explain:**

If you have questions or require assistance with completing this report, please email or call the fCOI office at coi@cornell.edu or (607)254-8878.
**Detailed Reporting of External Commitments and Financial Interests**

Based on your responses to the questions on the previous pages, more detailed information is required. To complete a report, please click on the corresponding action in the column labeled, "report actions."

<table>
<thead>
<tr>
<th>Entity Name</th>
<th>Status</th>
<th>Report Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Entity</td>
<td>Update Required</td>
<td>✍ Start/Update Report</td>
</tr>
</tbody>
</table>

Need to add another Entity? [Click Here]

*Note: You must complete the report for each entity listed above before you can go to the Verification page.*

If you have questions or require assistance with completing this report, please email or call the fCOI office at coi@cornell.edu or (607)254-8878.
A. Consulting, Management or Employment

A.1. Indicate if you/your family hold, or currently anticipate holding during the next 12 months, any of the following positions with this entity.

Check all that apply:

- Paid lectureships or speaking engagements
- Paid Consultant
- Owner/Partner
- Member, Scientific Advisory Board
- Member, Board of Directors
- Self-employed (in your sole proprietorship, partnership, or corporation)
- Trustee
- Director/Manager
- Member, Scientific Review Committee
- Management or Employee role not stated above - Please Specify:
- No paid consulting, management or employee role for me or my family

If you personally held any of the above positions with this entity, state the total number of days you spent performing the related duties. Otherwise state "N/A" Do not include days while on unpaid leave of absence or periods in the summer when not drawing salary from Cornell.

Number of days over the past 12 months:

[ ] days

Current estimate of number of days you expect to personally spend over the next 12 months:

[ ] days  [ ] Don't Know

Please indicate who held the position/s (you or your family), and describe the responsibilities.
For the purposes of this report, compensation refers to receiving remuneration for work performed. Do not include reimbursement for reasonable travel expenses.

B.1. Indicate if you/your family received any of the following forms of compensation from this entity in the past 12 months or if you/they currently anticipate or have been promised to receive such compensation during the upcoming 12 months.

Check all that apply:

- Honoraria
- Royalties (in which Cornell may or may not be a party) from licensing or other activities. (Do not include royalty income from publications of scholarly or academic work.)
- Personal gifts, airline tickets, vacations or other non monetary gifts/payments for personal use
- Housing, beyond what is reasonably needed to discharge services rendered
- Financial bonus payments or other compensation and/or penalties related to the speed of human participant enrollment, number of enrollees, or other milestones
- Compensation from sale of goods or services excluding consulting
- Income from monetary loans made to this entity, or money borrowed from this entity
- Fees for services or other monetary payments not included above
- No additional compensation

Please indicate who received the compensation (you or your family) and describe the work performed:
B.2 Total Dollar Value Compensation (excluding equity)

Please select the appropriate value of the total combined dollar value of the compensation that you/your family received or expect to receive from this entity. This total should include compensation for activities indicated in B.1 above, as well as compensation for any consulting, management, or employment roles reported in section A.1 of this report. Do not include income from any equity interest.

For the past 12 months:

| None | < $5,000 | $5,000 - $25,000 | $25,001 - $50,000 | >$50,000 |

Anticipated for the next 12 months:

| None | < $5,000 | $5,000 - $25,000 | $25,001 - $50,000 | >$50,000 | Don't know |
C. Licensing and Copyright

Please answer the following questions in reference to Example Entity

C.1. Have you entered into an agreement or are you aware of any agreement that requires that this entity be granted an exclusive license or option from the outcome of your research?

- Yes
- No

If yes, please explain:

C.2. Does this entity currently hold rights, or is it negotiating rights, to a pending application or issued patent to an invention(s), license rights, or software copyright for which you/your family are listed as inventors or authors?

- No
- Yes, and I have assigned the rights to Cornell.
- Yes, and Cornell University has assigned the rights to me personally.
- Yes, but the application, patent, license right or software copyright did not arise from my employment with Cornell University.
D. Conduct of Cornell Duties

D.1. Is this entity related to the design, conduct, reporting, or direct administration of your Cornell research and/or Cornell duties, in any of the following ways?

- This entity is a sponsor, subcontractor, sub awardee or supplier or lessor of goods, materials, proprietary information, services, or facilities for your Cornell duties.
- This entity provides gifts, grants, awards, or other funding to the University for support of your Cornell activities (do not include awards executed by the Cornell Office of Sponsored Programs).
- This entity makes use of your Cornell research or scholarly work either directly or indirectly. For example, entity is contracted for your expert testimony, witness or opinion, which is derived from your Cornell duties.
- This entity manufactures, commercializes, or is developing a product that has been or is being used, evaluated, or further developed by your Cornell research.
- This entity has or will receive materials, data, or other information from your Cornell duties.
- This entity is a competitor of a sponsor of your Cornell research.
- This entity is a member of an industry, trade, or advocacy group that directly funds your research or funds a sponsor of your Cornell duties.
- This entity refers human participants for your research.
- Another relationship not stated above.
- This entity is not related to my Cornell research or duties.

Please explain how the entity is related to your Cornell research or duties:

D.2. Restrictions on research results: Have you entered into any agreement that allows this entity to restrict, in any way, the release of Cornell research results by you or by Cornell faculty, students, or staff?

- Yes  
- No

Please explain the nature and scope of the restrictions:

D.3. Student/Employee involvement:

1. Have any Cornell students under your academic supervision or any Cornell employees under your direct or indirect supervision performed or assisted with any work with this entity, or do you expect that any such individuals will perform or assist in this work?
Please explain and state whether you are the student’s thesis/academic advisor or the employee’s direct supervisor.

2. Do you supervise or direct the activity of any employee or representative of this entity?

Please explain.

3. Does any employee or representative of this entity participate in the design, conduct, reporting, or direct administration of your Cornell research?

Please explain.

D.4. Use of Cornell resources:

1. Do you use any Cornell facilities, resources or services to fulfill your obligations to this entity?

Do not include:

- routine use of your Cornell office and library resources
- use of Cornell shared and core facilities under terms and fees available to all outside commercial users.

Please explain.

2. To the best of your knowledge, does any employee or representative of this entity use any Cornell facilities or equipment?

Do not include:
- routine use of Cornell resources available to the public
- use of Cornell shared and core facilities under terms and fees available to all outside commercial users.

○ Yes ○ No

Please explain.
E. Equity

You indicated in the Screening Section that you/your family hold a Significant Equity Interest in this entity and that this entity engages in activities that could be related to or could be affected by your Cornell research and/or other Cornell duties.

Some examples of reportable equity interests are (not an all-inclusive list):

- Legal partnership with the company sponsor or other ownership interests
- Privately held stocks/stock options
- Interest in real or personal property
- Dividends, royalties, profit sharing, capital gains
- Bonds
- Publicly traded stocks/stock options
- Convertible security
- Warrants (i.e., promise of funds upon a demonstration of need)

Do not report: Mutual fund interests or stocks held through any non-self-directed 403B, 401K, IRA, or other retirement accounts.

Please describe your equity interest in this entity.

E.2. Indicate the total percentage ownership interest currently held—or currently anticipate being held in the next 12 months—by you/your family:

- <5%
- 6-25%
- 26-50%
- 51-75%
- 76-100%

E.3. If this entity is publicly traded, please indicate the total dollar value of the equity interest held by you/your family:

- < $5,000
- $5,001-$25,000
- $25,001-$50,000
- >$50,000

This entity is not publicly traded.
Report Summary

You have completed reporting for the entities listed below:

- Example Entity

Is there an additional entity in which you have an external commitment or financial interest that you have not yet reported? If you select "Yes" you will be directed to a "Summary" page where you can click on "Add an Entity" to provide the required information.

- Yes  - No

If you have questions or require assistance with completing this report, please email or call the fCOI office at coi@cornell.edu or (607)254-8878.
Part III - Verification

Review your COI report:

1. You can view/print a copy of this Report for your records by clicking on the following link: Print a Copy of My Report
2. Click on the Screening tab or Entity List tab to review and/or update your answers.

By submitting this form, I, , certify that:

- This is a complete and accurate report of my and my family’s external commitments and financial interests in entities that are related to my Cornell duties.
- I have read and I understand the Financial Conflict of Interest Related to Research policy, the Cornell University Conflicts Policy and the procedures set forth by Cornell University as they apply to me. I agree to comply with the policies and procedures of Cornell University related to financial conflicts of interest and conflicts of commitment reporting.

Note: You do not have to complete this tutorial as a condition of submitting your annual disclosure.

- I am the person named above submitting the report.

If you have questions or require assistance with completing this report, please email or call the FCOI office at coi@cornell.edu or (607)254-8878