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](http://www.oria.cornell.edu/COI) or contact the FCOI office by email at coi@cornell.edu and by phone 607-255-8994.

Instructions: 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).
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

Regulations and Cornell policy require that we collect information for you, your spouse/same-sex partner, and dependent children. 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.

Do not include participation in professional service activities that support the primary missions of scholarship and teaching, such as lectureships at other universities, appointments on review panels for federal, state or local government agencies and non-profit professional societies. Do not include participation in unpaid/volunteer activities.

B.4. 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? (see exclusions above)

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 own sole proprietorship, partnership, or corporation).

  - Yes  
  - No

d. **Participation in** a licensing, patent, royalty, or other intellectual property agreement with an external entity not negotiated by CCE on behalf of the University.

  - 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 in which you do not
have any ownership interest.

☐ Yes  ☐ No

t. Participation in Cornell research activities whose outcome could lead to or impact your financial interest in an external entity.

☐ Yes  ☐ No

B.2. 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: (see exclusions in "B" above)

- Entity is a sponsor, subcontractor, or supplier 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.

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. Participation in a licensing, patent, royalty, or other intellectual property agreement with an external entity.

☐ Yes  ☐ No

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 (as defined in the procedures for each campus) for the past 12 months or expected over the next 12 months, exceeds the PHS threshold, currently $10,000.

B.3. 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.2 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 (excluding those from universities, federal, state or local government agencies and non-profit professional societies. Do not include 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, grants, awards, or other funding to the University for support of your Cornell activities (do not include sponsored awards executed through the Cornell Office of Sponsored Programs)
- 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 excluding consulting
• Income from monetary loans to the entity or money borrowed from the entity
• Fees for services or other monetary payments not included above

☐ Yes ☐ No

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 the Public Health Service (PHS) Threshold, currently: (i) $10,000 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.

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

• Entity is a sponsor, subcontractor, 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.

☐ Yes ☐ No

List below the entities in which you/your family 1) currently own an equity interest AND 2) that meet one or more of the criteria above. If no entities, list NONE.

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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 the Public Health Service (PHS) Threshold, currently: (i) $10,000 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 (as defined in the procedures for each campus) for the past 12 months or
expected over the next 12 months, exceeds the PHS threshold, currently $10,000.

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

☐ Yes ☐ No

Please explain:

Part III - Verification

Review your COI report:

1. Print a copy of this Report for your records.

By signing this form, I, ____________________________, certify that:

• This is a complete and accurate report of all the external commitments and financial interests that this
form requires me to report.

• 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.

• I am the person named above submitting the report.

• _____________________________ Date: ________________