COLUMBIA UNIVERSITY
ANNUAL FINANCIAL INTEREST REPORT
FOR NON-UNIVERSITY PERSONNEL

A. Please enter the following information about yourself:

Name: ____________________________

Phone Number: ____________________

Email address: ____________________

Affiliation and Title: ____________________

B. Please enter the following information about the particular research project for which funding is sought (the “Proposed Research”):

Project Title: ____________________

Principal Investigator: ____________________

Funding Agency: ____________________

Your Proposed Role: ____________________
C. Please answer the following questions about financial interests you may have that relate to the Proposed Research:

All questions below, even if written in the present tense, apply to your current activities, activities in the past 12 months, and activities anticipated during the next 12 months.

NOTE: All underlined terms are explained in the “Definitions” attached at the end of this document.

For each question 1-6 please circle YES or NO.

Any YES response Questions 1-6 below requires an explanation that includes specific information about the nature of the financial interest and related activities, as set forth in the instructions at the bottom of this form.

1. Do you or a member of your Family have a Financial Interest in any Business (including a non-profit entity) that provides funding (through a research agreement, gift, or other arrangement) for this Proposed Research?
   YES    NO

2. Do you or a member of your Family have a Financial Interest in any Business (including a non-profit entity) that: supplies drugs, devices or other goods required for the research that is the subject of this Proposed Research, or provides services or other deliverables in connection with this Proposed Research, pursuant to a material transfer agreement, research agreement or otherwise?
   YES    NO

3. Do you or a member of your Family have a Financial Interest in any Business (including a non-profit entity) that owns, licenses or has any other contractual interest in a Technology being investigated in this Proposed Research?
   YES    NO

4. Do you or a member of your Family have a Financial Interest in any Business (including a non-profit entity) that holds a U.S. Food and Drug Administration Investigational New Drug application or Investigational Device Exemption for a Technology being investigated in this Proposed Research?
   YES    NO
5. Do you or a member of your Family have a Financial Interest in a medical education company, marketing partnership or other entity that acts for or on behalf of a Business (including a non-profit entity) that funds this Proposed Research or otherwise fits within one of the categories identified in Questions 1-4?  
YES  NO

6. In addition to any interest you disclosed in response to Questions 1-5, do you or a member of your Family have any other Financial Interest that relates to this Proposed Research?  
YES  NO

If you have answered YES to any of Questions 1-6 above, you must write a separate explanation for each Financial Interest, Business and activity here. If you have disclosed travel, you must disclose the purpose, destination, and duration of the travel, as well as the travel sponsor. (Please attach additional pages if you need more space):
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

Certification:
Certification/Changed Circumstances
I certify that I have read and agree to be bound by the Columbia University Policy on Financial Conflicts of Interest and Research, and, where applicable, the accompanying Appendix on Compliance With Revised Public Health Service Regulations.

I will promptly submit a revised Financial Interest Report if there are any changes in or additions to the interests and relationships described in this Financial Interest Report.

__________________________________ ___________________  
Signature      Date

_________________________________  
Print Name
Financial Interest Report Definitions (alphabetical order)

"Business" means:

  a. any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, limited liability company, trust or other for-profit commercial entity; and
  b. any not-for-profit entity.

"Family" means:

  a. your spouse or domestic partner;
  b. your children and grandchildren;
  c. your parents and grandparents; and
  d. any trust, organization or enterprise over which you, alone or together with your family, exercise a controlling or significant interest.

You are deemed to know, and must report, any relevant financial interests of your spouse, domestic partner, and dependent children. You must report any relevant financial interests of your grandchildren, adult children, parents, and grandparents only if they are known to you.

"Financial Interest" includes anything of monetary value, including but not limited to:

  a. salary or other compensation for services (e.g., consulting fees or honoraria);
  b. equity interests (e.g., stock, stock options or other ownership interests);
  c. intellectual property rights (e.g., patents or copyrights);
  d. royalties, license fees, or similar payments ("Royalty Payments") from intellectual property rights received from any source, including a Business or through an institution, e.g., an academic technology transfer office;
  e. royalties or other income received from an independent publishing company arising out of authoring, editing, or reviewing publications (print or electronic);
  f. directorships, executive roles and other special relationships with a Business having the potential for personal material gain; and
  g. paid or reimbursed travel expenses.

A Financial Interest does not include:

  a. income from seminars, lectures or teaching sponsored by a Federal, state or local government agency, a U.S. institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with a U.S. institution of higher education;
  b. income from service on advisory committees or review panels for a Federal, state or local government agency, a U.S. institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with a U.S. institution of higher education; and
c. diversified financial holdings that are not controlled, influenced or managed by you (e.g., mutual funds); and financial interests held by a member of your Family but not known to you, except for interests held by your spouse or domestic partner or dependent children, which you are deemed to know.

"Technology" means any methodology, information, software, compound, drug, device, diagnostic, medical or surgical procedure, or composition of matter intended for public use or research.