INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – Part 1

PROJECT TITLE:

PRINCIPAL INVESTIGATOR: ________

DEPT: ________

PHONE: ________

FUNDING AGENCY OR SPONSOR: ________

PROJECT AMOUNT: ________

START DATE: ________

TYPE: □ RESEARCH □ EDUCATION/TRAINING □ SERVICE □ OTHER

NOTHING TO DISCLOSE: CHECK "NO" COLUMN BELOW

I, my spouse, domestic partner, children, parents, and siblings who reside in the same household do not have any financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity.

DISCLOSURE TO BE MADE: CHECK "YES" COLUMN BELOW

I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DOES have financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized on Part 2 of this form.

I certify that the information on this form is correct; that I have read and understood the Kean University Investigator Significant Financial Disclosure Policy; that, to the best of my knowledge, all required disclosure of financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research, or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the office of Research & Sponsored Programs; that I will comply with any conditions or restrictions imposed by Kean to manage, reduce or eliminate conflicts of interest caused by my interests.

<table>
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<tr>
<th>NAME (PRINT &amp; SIGN) (see definition of &quot;investigator&quot; on the reverse side)</th>
<th>NO</th>
<th>YES</th>
<th>DATE</th>
<th>NAME (PRINT &amp; SIGN) (see definition of &quot;investigator&quot; on the reverse side)</th>
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<th>YES</th>
<th>DATE</th>
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USE ADDITIONAL FORM(S) FOR ADDITIONAL INVESTIGATORS.

☐ This project involves a contract, subcontract or collaboration with an outside institution or group.

☐ Attached is a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with the outside entity's investigator conflict-of-interest policy and that such policy meets the requirements of the PHS (42 CFR Part 50, Subpart F).

☐ In the event the outside entity has no investigator conflict-of-interest policy, attached are a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with Kean University's Investigator Significant Financial Interest Disclosure policy, plus all Kean Disclosure Forms completed by these individuals.

Signature of Dean (or VPAA if Dean is PI or co-PI) _____________________________

Date ________________

Signature of VPAA (if project involves more than one college) _____________________________

Date ________________

(continued)
INSTRUCTIONS AND DEFINITIONS

EACH investigator must disclose all significant financial interests that would reasonably appear to be directly and significantly affected by the research or educational activity proposed.

EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

• the principal investigator,

• co-principal investigators, co-investigators, and

• any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

The term "interest" means any financial or other personal involvement of the investigator, his or her spouse, domestic partner, children, parent, or siblings who reside in the same household that could be affected by the investigator's research, including, but not limited to:

• salary, consulting fees; honoraria or other payment for services (excluding salary or other remuneration from the University);

• financial interests in business enterprises or entities if the value of such interest exceeds $5,000 (or $5,000 per annum is such interest represents salary, fees, or other continuing payments) or represents any ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator’s spouse and dependent children;

• equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);

• intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);

• contracts, licensing and other agreements;

• employment and services, relationships or positions, even if uncompensated. Examples include but are not limited to Director, Trustee, Corporate Officer, and Advisory Board member.

If there is a financial or other personal interest requiring disclosure, provide on Part 2 of this form all relevant details about the relationship of the interest to the project, and sufficient information to determine if a conflict of interest exists, and how such a conflict of interest might be managed, reduced or eliminated. Use additional pages if needed. Be as specific as possible.
INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – PART 2

PROJECT TITLE:

PRINCIPAL INVESTIGATOR: DEPT: PHONE:

FUNDING AGENCY OR SPONSOR: PROJECT AMOUNT: START DATE:

TYPE: ☐ RESEARCH ☐ EDUCATION/TRAINING ☐ SERVICE ☐ OTHER

NAME OF "INVESTIGATOR" MAKING DISCLOSURE (see definition of "investigator" on the reverse side):

DISCLOSURE TO BE MADE: (I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DON'T have financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized below.

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<tr>
<th>NATURE OF INTEREST</th>
<th>VALUE (DOLLAR AMOUNT)</th>
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<td>BOARD OF DIRECTORS OR TRUSTEES</td>
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<td>ADVISORY BOARD</td>
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<td>OTHER</td>
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I certify that the above information is correct; that I have read and understood the KEAN Policy on Investigator Conflict of Interest; that, to the best of my knowledge, disclosure of all required financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the Research Dean or Vice President; that I will comply with any conditions or restrictions imposed by KEAN to manage, reduce or eliminate conflicts of interest caused by my interests.

Signature of Investigator Making Disclosure __________________________ Date __________

Signature of Department Chair or School Director ______________________ Date __________

Signature of Dean (or VPAA if interested party is a Dean) ________________ Date __________
INSTRUCTIONS AND DEFINITIONS

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EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

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- co-principal investigators, co-investigators, and
- any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

The term "interest" means any financial or other personal involvement of the investigator, his or her spouse, domestic partner, children, parent, or siblings who reside in the same household that could be affected by the investigator’s research, including, but not limited to:

- salary, consulting fees; honoraria or other payment for services (excluding salary or other remuneration from the University);
- financial interests in business enterprises or entities if the value of such interest exceeds $10,000 (or $10,000 per annum is such interest represents salary, fees, or other continuing payments) or represents more than 5% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator’s spouse and dependent children;
- equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);
- intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);
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