



**SIGNIFICANT FINANCIAL INTEREST (SFI) and
FOREIGN FINANCIAL INTEREST (FFI) DISCLOSURE FORM**

Disclosure Period: May 1, 2020 through April 30, 2021

This form is to be completed by all individuals participating in sponsored research and should be completed prior to the submission of a research proposal for federal funding and annually during the award period.

NAME: T-Number:
Title: Department:
Email:

Significant Financial Interest (SFI): anything of monetary value received or held by an investigator or family member (spouse, domestic partner, parents, siblings or children), whether or not the value is readily ascertainable, that reasonably appears to be related to the investigator's institutional responsibilities. SFI includes:

- Salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works) when the aggregated value received from a publicly traded entity during the 12-month period preceding the disclosure, and the value of any equity interest during the 12-month period preceding or as of the date of this disclosure, exceeds \$5,000; or
- Salary or other payments for services, when the aggregated value received from a non-publicly traded entity during the 12-month period preceding this disclosure exceeds \$5,000; or
- Equity interests (e.g., stocks, stock options, or other ownership interests) in a non-publicly-traded company of any value during the 12-month period preceding or as of the date of disclosure; or
- Income related to intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights) not reimbursed through TSU; and
- Reimbursed or sponsored travel that is related to investigator's institutional responsibilities. This includes travel that is paid on behalf of the investigator rather than reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

SFI does NOT include: 1) Salary, royalties, or other remuneration from TSU; 2) income from the authorship of academic or scholarly works; 3) income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, U.S. research institutes affiliated with institutions of higher education, academic teaching hospitals, or medical centers; or 4) equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the investigator does not directly control the investment decisions made in these vehicles.

Foreign Financial Interest (FFI)

Tennessee State University is committed to ensuring the safety and integrity of its research and intellectual property by implementing safeguards against security threats and undue influence, including those foreign and domestic. To ensure open collaboration with foreign entities while protecting the university's research against the increasing threat of undue foreign influence, employees should disclose any foreign financial interests they receive from a foreign institution of higher education or the government of another country.

- 1. During the last 12 months, did you, your spouse and/or dependent children, alone or in combination, acquire a significant financial interest related to your university responsibilities that meets the definition of an SFI (as described above)?**

Yes No

If you answered “Yes” to the question above, please describe below the university project impacted by the SFI, the external entity, the type of business (non-profit, for profit- publicly traded or non-publicly traded), the role/nature of financial interest that you or your family has in the entity (i.e., equity, consulting fee, honorarium), the value of the financial interest, as well as any other relevant details (such as whether the financial interest is derived from royalties or licensing fees).

Details of SFI:

- 2. During the last 12 months, did you, your spouse and/or dependent children, alone or in combination, participate in reimbursed or sponsored travel related to your institutional responsibilities (NOT including travel reimbursed or sponsored by a government agency or an institution of higher education)?**

Yes No

If you answered “Yes” to the question above, please describe below the pertinent details related to the sponsored travel, including the university project impacted by the sponsored travel).

Details of sponsored travel:

- 3. Do you currently have (or within the preceding 12-month period) any foreign financial interests, including affiliations with foreign institutions (i.e. a partnership or contract with a foreign institution) that may conflict with your responsibility to Tennessee State University?**

Yes No

Details of foreign financial interests:

- 4. Are you currently on a management plan related to a previously disclosed conflict of interest?**

Yes No

If you answered “Yes”, please document below the university project related to the management plan.

Project:

Please list below all of your current sponsored projects and the funding agency for each project

Project #1:

Project #2:

Project #3:

Project #4:

Project #5:

****If you are the principal investigator/project director (PI/PD) for any of the projects listed above, please identify all investigators/key personnel associated with the projects listed above and ensure that each investigator/key personnel files a SFI and FFI Disclosure Form.**

NAME / Email Address

I certify that I have completed the *Conflicts of Interest* (COI) Training via [CITI](#) within the past four years. My training was completed on [Click or tap to enter a date](#).

I certify that the information in this disclosure is true and that it is a complete and accurate report. This disclosure is being made in accordance with university and federal disclosure requirements. I understand and agree that if there is a material change (an acquisition of a significant financial interest or foreign financial interest) to this information, I **must** submit a new disclosure within 30 days of that change. I also understand and agree to submit a new form annually and prior to the submission of annual progress reports.

Signature

Date:

Please submit completed form to tsucoi@tnstate.edu .