

Woods Hole Oceanographic Institution
Addendum Financial Interest Report

For all personnel involved with projects that are funded by a Public Health Services agency*.

Name: _____ Department: _____

Institution (if subrecipient or subcontractor on a WHOI award) _____

I am reporting on activities: ☐ for the year _____
☐ as an addendum to my most recent PHS Financial Interest report

- ☐ Check here if you, your spouse, or your dependent children have **no** financial interest (see page 3) or activities to report that are reasonably related to your institutional activities. Otherwise, report details below.

Check yes, if financial interest applies (but see exclusions**)

Check no, if there is no financial interest, or if there is a financial interest and exclusions **apply.

☐ yes	☐ no	1. Remuneration. Have you, your spouse or dependent children (family) received aggregated compensation from a <i>publicly traded entity</i> for activities such as consulting, expert witness, advisory board membership or <u>sponsored travel</u> ? If yes, furnish information on the next page.**
☐ yes	☐ no	2. Equity. Do you or a member of your family own stock or hold stock options with a <i>publicly-traded entity</i> of which the aggregated value with remuneration in 1 is greater than \$5000. ☐ yes ☐ no Do you or a member of your family own <u>any</u> stock or hold stock options in a <i>privately-owned entity</i> ? If yes, furnish information on the next page.**
☐ yes	☐ no	3. Role. Do you or a member of your family serve as a director, trustee, officer or other key employee in a <i>for-profit</i> corporation, partnership, business, or other entity outside of WHOI? If yes, furnish information on the next page.
☐ yes	☐ no	4. Intellectual Property. Do you or a member of your family receive <i>royalties or other income</i> from intellectual property (including, patents copyrights and trademarks but excluding academic or scholarly works) licensed to and/or owned by a <i>for-profit</i> entity? If yes, furnish information on the next page.**

*NIH, CDC, FDA, etc., http://nrc59.nas.edu/pub/fcoi_agencies_phs_regs.html

**** See definitions and exclusions on the last page.**

I certify that to the best of my knowledge the information is complete and true and that I have read WHOI conflict of interest policies for PHS project funded personnel. I acknowledge that I am responsible for updating information annually or within 30 days of acquiring any new financial interest (e.g. through purchase, inheritance or marriage). I will promptly correct any incomplete or inaccurate information. If required, I will comply with conditions or restrictions imposed by WHOI to manage real or perceived conflicts.

Signature

Date

Detailed Financial Interests Report for (name): _____Reporting for: ☐ self☐ family member: Name: _____ Relationship: _____**1) Remuneration**

Type (consulting fees, salary, etc.)	Entity name and address	Amount of compensation or financial interest	Services Provided
		\$	
		\$	
		\$	

2) Travel

Sponsor name and address	Destination	Duration	Purpose

3) Equity

Equity type (stock, stock options, etc.)	Market value	Entity name stock/options are in	Percent of ownership
	\$		
	\$		
	\$		

4) Role in for-profit business, corporation, partnership

Role	Entity name and address

5) Intellectual Property

Type (patent, trademark, copyright)	Total royalties or other income in past 12 mos.	Owner/inventor	Subject matter of IP (description)
	\$		
	\$		
	\$		

Copy this page to report individual family members on separate pages

Administration only:

PHS Financial Interest form reviewed by: _____ Date: _____

COI Committee Review: _____

Signature (Committee Chair or Officer)

Date

Comments (actions taken) _____

Definitions and Exclusions

Investigators who are planning to participate in PHS-funded research must disclose their Significant Financial Interests (SFIs) over the previous twelve-month period to their Institution no later than at the time of application for PHS-funded research. Annual disclosure (and updated disclosure for changes in financial interest during the year) is required after an award is granted.

Remuneration – Any salary or payment for services (e.g., consulting fees, authorship fees, honoraria) that reasonably appears to be related to your institutional responsibilities, whether or not it is related to the research.

Exclusions: You do not have to disclose:

- a) Salary or royalties paid by WHOI if the recipient is currently employed or otherwise appointed by WHOI.
- b) Income from lectures, seminars, teaching engagements or service on advisory committees or review panels sponsored by Federal, state or local government agency, an institution of higher learning, a research institute that is affiliated with an institution of higher learning, or academic teaching hospital or medical center.
- c) If remuneration is from a *publicly-traded* entity and, aggregated with equity interest (see below) from a publicly traded entity, is less than \$5000.

Reimbursed or sponsored travel- travel related to your institutional responsibilities paid on your behalf (or on behalf of your spouse or dependent children) and not reimbursed so that the monetary value may not be readily available.

Exclusions: You do not have to disclose:

- a) Travel expenses that are reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, a research institute that is affiliated with an institution of higher learning, a medical center or an academic teaching hospital.
- b) Travel expenses that are less than \$5000 aggregated per entity.

Equity interests – Stock, stock options or other ownership interests in any *publicly or non-publicly* traded entities that reasonably appear to be related to your institutional responsibilities, whether related to the research or not.

Exclusions: You do not have to disclose:

- a) Interests in a *publicly-traded* entity that have an aggregated total with remunerations (see above) in the past 12 months less than \$5000, based on public prices or other fair market value.
- b) Income from investment vehicles such as mutual funds and retirement accounts, when you, your spouse or dependent children do not directly control the investment decisions in these vehicles.

Royalties and Income related to Intellectual Property - Royalties or other income related to intellectual property and interests (patents, copyrights).

Exclusions: You do not have to disclose:

- a) Intellectual property rights assigned to WHOI and agreements to share in royalties related to such rights (e.g., royalties received under the relevant WHOI Patent Policy).
- b) If any of the following are less than \$5000: (i.) Interests in licensed intellectual property rights (e.g. patents, copyright) (ii.) royalties from such rights, and (iii) agreements to share in royalties related to licensed intellectual property rights.

Sources:

WHOI addendum PHS financial interest policy (link to be added)

<http://www.who.edu/DoR/policies-resources/policies-procedures>

NIH rules and regulations <http://grants.nih.gov/grants/policy/coi/>