

CONFLICT OF INTEREST FINANCIAL DISCLOSURE FORM

Williams College

Name _____

Grant Number _____

Funding Agency _____

Williams College PeopleSoft Project Number _____

1. Do you, or any member of your family, have a significant financial interest in a business whose activities relate in any way to the research proposed in this grant application.

Yes____(If you check Yes, please continue to question 2)

No____(If you check No, please sign form and return to the Provost's Office)

2. Please provide the following information about the significant financial interest identified above.

Name of business_____

Activities or Products of the business_____

Is this business a for-profit entity?_____

Is this business publicly traded?_____

3. Please describe the nature of your, or your immediate family's relationship to the business identified above, e.g., consulting, employee, executive position, board of directors, honoraria, stock ownership. Provide details about the nature of activities with the business.

I have answered fully and to the best of my ability and will update this form promptly if my circumstances change.

Signature

Date

Attachment 1

DEFINITIONS:

Firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes.

Business means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes.

Conflict of Interest means a situation in which significant financial interests in a business, or other personal considerations provided by a business, may compromise, or have the appearance of compromising, an investigator's professional judgment in conducting or reporting research, the results of which could affect the aforementioned business, either directly or indirectly

Immediate Family means the investigator's spouse, minor children and any other persons living in the same household.

Investigator means the principal investigator and any other person at Williams College who is responsible for the design, conduct or reporting of research, and the investigator's immediate family. This shall include faculty and research staff (research associates and assistants, visiting scientists, and students engaged in research conducted in the department).

Participate means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator or research collaborator. The term is not intended to apply to individuals who provide primarily technical support who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) unless they are in a position to influence the study's results or have privileged information as to the outcome.

Significant Financial Interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria)' equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

1. Salary, royalties, or other remuneration from Williams College;
2. Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities;
3. Income from service on advisory committees or review panels for public or non-profit entities; or
4. An equity interest that when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: Does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than 5% ownership interest in any single entity; or,
5. Salary, royalties or other payments what when aggregated for the investigator and the investigator's spouse and dependent children over the next 12 months, are not expected to exceed \$10,000.

Research means a systematic investigation designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social sciences research. The term encompasses basic and applied research, and product development.

Technology means any compound, drug, device, diagnostic, medical, dental or surgical procedure intended for use in health care or health care delivery.