

CONFIDENTIAL
Seattle University
FCOI Disclosure Attachment

This form is confidential and may be reviewed only by the appropriate Department Head/Director/Dean and others as designated in the SU Financial Conflict of Interest policy. Originals are submitted to the Office of Sponsored Projects. Information on this form may be posted at [link to site] as required by law. Copies may be made only by the signer and the Office of Sponsored Projects.

Who should complete this form?

If you answered "Yes" to any question on the FCOI Annual Disclosure Form you must complete an attachment for *each entity* in which you and/or your family member(s) have a significant financial interest (SFI) or for each *asset* in which you or your family member have an interest or any reimbursed or sponsored *travel* related to your institutional interests. "Family members" is defined as your spouse, domestic partner, and/or dependent children.

When do I complete this form?

Complete this form at the same time as your FCOI Annual Disclosure Form. FCOI Annual Disclosures are due May 1st of each year, prior to expenditure of funds, within 30 days of discovering or acquiring a new SFI. Please submit both forms at the same time.

Please use a separate FCOI Disclosure Attachment for *each* external entity, asset or travel sponsor.
Additional sheets may be used if more space is needed for your responses.

Name:

Disclosure Date:

Report for the 12-month period prior to date of submission

1. Please describe your role(s) and responsibilities at SU:

2. What is the name of the external entity in which you and/or your family member(s) have a SFI, asset in which you or a family member have an interest or sponsor of travel related to your SU responsibilities?

3. Entity type: Non-profit For-profit (publicly-owned) For-profit (privately-held) Governmental
 Unknown Institution of Higher Education or Affiliated Entity Not applicable

4. What is the primary business or purpose of this entity or sponsor or the nature of the asset?

5. What position, if any, do you and/or your family member(s) hold with this entity (e.g., shareholder, director, officer, employee)?

6. (a) What is the nature of the work that you and/or your family member(s) perform for this entity?

(b) Do you and/or your family member(s) have a written employment agreement with this entity? No Yes

7. How is the work you and/or your family member(s) perform for or the travel sponsored by this entity similar to, different from or related to the focus of your University research or sponsored program or your SU responsibilities? Or how is this asset related to your research project?

8. Check all of the following relationships that this entity has with SU:

- | | | |
|---|---------------------------------------|----------------------------------|
| <input type="checkbox"/> Research Collaborator | <input type="checkbox"/> Vendor | <input type="checkbox"/> Unknown |
| <input type="checkbox"/> Licensee of SU Innovations | <input type="checkbox"/> Donor (Gift) | |
| <input type="checkbox"/> Employs SU Graduate Students | <input type="checkbox"/> None | |
| <input type="checkbox"/> Other (please describe): | | |

9. (a) Are any SU resources (e.g. facilities, equipment, employees) used on behalf of the entity?

- No
 Yes, in the last 12 months
 Yes, within the next 12 months

(b) If yes, is there a written agreement between the SU and the entity to manage their use? No Yes

(c) If yes, what resources are shared?

10. (a) Is the financial interest derived from royalties or licensing fees? No Yes If yes, please describe the intellectual property to which these interests are related:

(b) Is there or will there be a SU licensing agreement associated with this interest? No Yes

(c) What is the value of your financial interest in the entity, asset or the value in the last year of sponsored travel?

\$0 - \$4,999 \$5,000 - \$9,999 \$10,000 - \$19,999 \$20,000 - \$100,000

Over \$100,000 Value cannot be readily determined.

If the value exceeds \$20,000, please state the actual value:

11. With respect to your SU sponsored research or sponsored program:

(a) Do you collaborate with any family members? No Yes

(b) Are any family members paid through your award? No Yes

If "Yes" to either (a) or (b) please provide their name(s): _____

(c) Have you applied for or do you have current funding from NIH? No Yes

(d) Have you applied for or do you have current funding from NSF? No Yes

(e) Does the research involve human participants? No Yes

12. Do you have an SU Management Plan in place for this financial interest with this entity? No Yes

13. Please explain what steps you and/or your family member(s) take (or propose to take) to manage, reduce, or eliminate potential or actual financial conflicts of interest with this entity (attach additional sheets, if necessary):

I agree to abide by Seattle University's Financial Conflict of Interest policy. In submitting this form and disclosure attachments, if required, I certify that the information provided is true to the best of my knowledge. I supply this information for confidential review by Seattle University, and for such other limited purposes as are required by law, regulation, or contract. I do not authorize release of any of it for any other purpose. I understand and agree that if there is a material change (an acquisition of a significant financial interest) to this information, I must submit a new disclosure and attachment within 30 days of that change.

Signature: _____ Date: _____

TO SUBMIT THIS FORM:

Via Campus Mail or U.S. Mail: Send to Office of Sponsored Projects, Seattle University, 901 12th Avenue, PO Box 222000, Seattle, WA 98122.

Via Email: Send to OSP@seattleu.edu. **If you choose to submit via email**, please be advised that email is not a secure or confidential communication medium. By submitting your form by email, you acknowledge that the university cannot guarantee the security or confidentiality of the email and you assume all risk of loss.