



SIGNIFICANT FINANCIAL INTEREST (SFI) DISCLOSURE FORM

This form must be completed by Bradley Principle Investigators and Project Directors (PIs/PDs) who receive or intend to seek funding support from external entities in compliance with the Bradley University Sponsored Programs Significant Financial Interest policy. This completed form is considered CONFIDENTIAL, and should be submitted directly to the Office of Sponsored Programs (do not include this form with other routing materials for review by department chairs, college deans, etc.). This form will be kept in a locked file in the office of the Executive Director of Research and Sponsored Programs and a copy will be kept in a locked file in the Provost's Office.

PI/PD Full Name (Last, MI, First): \_\_\_\_\_

Position Title: \_\_\_\_\_

University Contract Period: (check all that apply): % Appointment: \_\_\_\_\_

Summer  Fall  Spring  9 month  10 month  12 month

Department/Unit: \_\_\_\_\_ College/Division: \_\_\_\_\_

Section 1: Principal Investigator/Project Director Responsibilities must: Bradley University PIs/PDs must:

- 1. Complete the CITI Conflict of Interest Course under a Bradley University Learner Group and submit certification of completion to OSP prior to the submission of a request for funding support from an external entity.
2. Re-take the CITI course OR complete the Sponsored Programs COI Training Manual and submit certification of completion to OSP at least once every four years after their initial completion of the CITI COI course modules.
3. Submit a Sponsored Programs Significant Financial Interest Form (this form) to OSP prior to the submission of a request for external funding support and then at least once annually when seeking or receiving external funding support.
4. Submit an updated SFI Form to OSP within thirty (30) days of when a new SFI is identified.
5. Cooperate with any actions that may be undertaken to identify and manage financial conflicts of interest when the potential for a conflict of interest is identified in regards to a specific initiative or activity being proposed to an external entity for funding support.

Section II: Definitions and Guidelines

Principle Investigator/Project Director (PI/PD): Any individual acting as a principal investigator or project director AND any other person, regardless of title or position, responsible for the design, conduct, or reporting of research or the project AND the individual's spouse and dependents.

Institutional Responsibilities: An investigator's/project director's responsibilities on behalf of the University, such as research, teaching, service, administrative responsibilities, and institutional committee memberships.

Significant Financial Interest (SFI): Consisting of one or more of the following interests of the PI/PD (and those of the PI/PD's spouse and dependent children) received from a single entity in the 12 months prior to disclosure including:

- Remuneration from an outside entity exceeding \$5,000
• ANY equity interest in a non-publicly traded entity
• Equity interests in publicly traded entities exceeding a value of \$5,000
• Intellectual property rights exceeding \$5,000
• Reimbursed travel expenditures from a single entity exceeding \$5,000

DO NOT DISCLOSE:

- Remuneration, intellectual property interests, equity in publicly traded entities, or sponsored or reimbursed travel received that aggregates to less than \$5,000 from a single entity in the previous 12 months.
• Unlicensed intellectual property that does not generate income OR that is owned/administered through BU
• Equity interests in publicly and non-publicly traded entities in the form of stock ownership through personal retirement accounts and mutual funds, as long as the investigator/project director does not directly control the investment decisions made in these vehicles. (For example, do not disclose TIAA-CREF retirement accounts)

Section III. Disclosure: Each PI/PD must respond to each of the five questions below. Disclose any interests indicated that relate to the PI/PD's institutional responsibilities and were received in the 12 months prior to the date of completing this disclosure form. If a response to any question is "YES," the detail requested is required. Attach additional copies as needed.

1. In the past 12 months, have you received remuneration from an entity that, when aggregated, totals more than \$5,000? **RESPONSE:**  
 Yes  No

Entity #1 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

Entity #2 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

2. Do you hold ANY equity interest in a non-publicly traded entity? **RESPONSE:**  
 Yes  No

Entity #1 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

Entity #2 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

**RETURN COMPLETED FORM TO:**  
The Office of Sponsored Programs  
Kaufman Building, sshumaker@fsmail.bradley.edu

3. Do you hold equity in a publicly-traded entity valued at more than \$5,000?

RESPONSE:  
 Yes       No

Entity #1 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

Entity #2 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

4. Do you have any intellectual property rights that are NOT owned/administered by Bradley University from which you receive income that exceeds \$5,000 in the past 12 months?

RESPONSE:  
 Yes       No

Entity #1 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

Entity #2 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

**RETURN COMPLETED FORM TO:  
The Office of Sponsored Programs  
Kaufman Building, sshumaker@fsmail.bradley.edu**

5. Have you received sponsored or reimbursed travel from any entity that, when aggregated, totals more than \$5,000 in the previous 12 months? **RESPONSE:**  
 Yes  No

Entity #1 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

Entity #2 Name: \_\_\_\_\_

Last Date of Remuneration: \_\_\_\_\_ Aggregate Amount of Remuneration: \_\_\_\_\_

REASON for Remuneration:

---

**Section IV. Investigator/Project Director Certification**

I affirm:

- I hereby adhere to and comply with Bradley University’s Sponsored Programs Significant Financial Interest Policy;
- I have submitted certification to the Office of Sponsored Programs within the last four years confirming that I have reviewed and understand the training I received from:
  - CITI Conflict of Interest Course
  - The Office of Sponsored Programs Conflict of Interest Training Manual
- The information I have provided in this Form is complete and accurate to the best of my knowledge; and
- I understand that I will disclose all new Significant Financial Interests (SFI) related to my Institutional Responsibilities to the Office of Sponsored Programs within thirty (30) days of identifying a new SFI.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

---

**Resources:**

- [CITI Conflict of Interest Training Modules](#)
- [Bradley University Sponsored Programs Significant Financial Interest Policy](#)
- [Bradley University Office of Sponsored Programs Contacts](#)

**RETURN COMPLETED FORM TO:  
The Office of Sponsored Programs  
Kaufman Building, sshumaker@fsmail.bradley.edu**