

**THE UNIVERSITY OF DENVER**  
**Office of Research and Sponsored Programs**  
**Conflict of Interest Assurance of Compliance**

**Instructions:** Please review the University of Denver Office of Research and Sponsored Programs Conflict of Interest Policy (the "Policy") prior to completing this form. Please keep copies for your files.

Name (Print): \_\_\_\_\_ Title: \_\_\_\_\_

Department(s): \_\_\_\_\_

Campus Address: \_\_\_\_\_

Email Address: \_\_\_\_\_

**Definition of Significant Financial Interests**

"Significant financial interests" 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 the University as an employee;
- (2) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- (3) Income from service on advisory committees or review panels for public or nonprofit entities; or
- (4) Financial interests in business enterprises or entities if the value of such interests does not exceed \$10,000 (or \$10,000 per annum if such interests represent salary, fees or other continuing payments) or represent more than 5% ownership interest for any one enterprise or entity when aggregated for the investigator, the investigator's spouse, and dependent children.

Activities that fall within items (1) through (4) above do not require disclosure.

**No Conflict of Interest to Report**

I have read the University of Denver Office of Research and Sponsored Programs, Conflict of Interest Policy. I do not have any relationships or financial interest that are or could be perceived to be in conflict with my duties and responsibilities at the University of Denver.

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

**Definition of COI:** Under the Policy, a conflict of Interest (COI) arises when an employee, or related party has a significant financial interest in an outside funding source, which interest could directly and significantly affect decision making in the design, conduct, or reporting of externally funded instruction, research, or service activities performed on behalf of the University.

Please circle your answer.

- I. Do you (or members of your immediate family, i.e., spouse or dependent children is determined by the Internal Revenue Service, or domestic partner) have an employment, consulting, or other financial relationship, including ownership, which represents a significant financial interest with:  
(Please include only that equity which is directly under your control, not that managed by a third party such as a mutual fund.)
- a) a sponsor of your University teaching or research activities?      **No    Yes**
- b) a company that does business with the University that involves you as an employee of the University?      **No    Yes**
- c) an outside organization contributing gift funds to the University of Denver which are under your control or of direct benefit to your teaching or research activities?      **No    Yes**

If your response is **YES** to Ia, Ib, or Ic, please attach supporting documentation that identifies the business enterprise or entity and the nature and amount of interest. Place this form and any supporting documentation in an envelope marked confidential and send it to the Office of Research and Sponsored Programs.

- II Did you submit a proposal to or receive funding from or conduct research that could benefit a company in which you either had a consulting arrangement or had significant financial interests?      **No    Yes**

If **NO**, proceed to Part III.

If yes, were those arrangements or financial interests disclosed at the time of proposal submission?      **No    Yes**

- III. Were you an inventor of intellectual property which has been or will be licensed through the University of Denver to any outside entity in which you (or members of your immediate family, as described above) have an employment, consulting or other significant financial relationship?      **No    Yes**

If **YES**, please attach supporting documentation that identifies the business enterprise or entity and the nature and amount of interest.

### **CERTIFICATION**

By signing this form, I certify that the above information is true to the best of my knowledge and that I have read the "University of Denver, Office of Research and Sponsored Programs, Conflict of Interest Policy." I supply this information for confidential review by the University and understand that it will be kept as confidential as legally possible. Further, I certify that I will complete a new disclosure annually or if I have new reportable significant financial interests to disclose.

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