Rensselaer Polytechnic Institute
2012 Financial Conflicts of Interest and Commitment Disclosure Form

On March 3, 1995, the Board of Trustees approved a resolution regarding conflicts of interest. The Division of Human Resources requires that all new employees complete the disclosure at the time of hire. Further, compliance with the resolution requires that all trustees, officers, faculty members and certain other employees complete a conflicts of interest disclosure form on an annual basis administered by the Division of Human Resources.

When completing the Disclosure Form, the following details are required.

- Specify the calendar years in which the disclosed financial interest is being provided (e.g., January 1 – December 31, 2011 and January 1 – December 31, 2012).
- Provide the first and last name of any immediate family member and their relationship to you (includes spouse, domestic partner, parents, siblings, dependent children, or a member of the immediate household).
- Provide information if you have an immediate family member enrolled as a student at Rensselaer, and indicate their major.
- Specify whether you will hold or will be offered a position with a third party and specify the type of position with the third party (for example, employee, director, trustee, officer, or consultant).
- Specify whether or not you are the Principal Investigator (PI) on the grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant.
- Specify all pertinent information, regarding outside activities including hours worked per week, month or year; and whether the third party has a business relationship with Rensselaer (e.g., a sub-contract).

1. Name: ____________________________________________________________
2. Title: _____________________________________________________________
3. Division or School: ________________________________________________

4. Have you received and reviewed all applicable Rensselaer policies regarding Financial Conflicts of Interest and Commitment for a Trustee, Officer, Faculty, or Staff Member of Rensselaer and the annual Financial Disclosure requirements? If not, please click here to view the 2012 Financial Conflict of Interest/Commitment Policy (rev. August 24, 2012) in a separate window before proceeding with the rest of the survey.

☐ Yes
☐ No
Section A

5. Have you held during the past year (January 1 – December 31, 2011), or is it likely that you will hold or be offered during the period of January 1 – December 31, 2012, any position, whether paid or unpaid, with a third party, including but not limited to a position as employee, director, trustee, officer or consultant?

☐ Yes (go to items 14 & 15 to provide details and specify the type of position with the third party (employee, director, trustee, officer, consultant).

☐ No

Section B

6. Have you or a member of your immediate family had during the past year (January 1 – December 31, 2011), or likely will have during the period of January 1 – December 31, 2012, any Significant Financial Interest(s) that may be related to, or could be affected by, any current or potential financial or business matter involving Rensselaer, including a current or proposed licensing arrangement, sale or exchange of goods or services, or a current or proposed research project?

☐ Yes (go to items 14 & 15 to provide details)

☐ No

(Note: For the purpose of this disclosure, Significant Financial Interest(s) is defined as a financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s immediate family member) that reasonably appears to be related to the Investigator’s institutional responsibilities: (1) With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value; or (2) With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when the Investigator (or the Investigator’s immediate family) holds any equity interest (e.g., stock, stock option, or other ownership interest); or (3) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.

The term does not include: salary or other remuneration from the Institute; royalties; income from seminars, lectures or teaching engagements sponsored by federal, state or local government agencies or institutions of higher education; income from service on advisory committees or review panels for federal, state or local government agencies or institutions of higher education; or income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles. Significant Financial Interest(s) also includes how the financial interest might affect all of your “institutional responsibilities,” including research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards.

☐ Yes (go to items 14 & 15 to provide details)

☐ No

1 “Immediate family” includes spouse, domestic partner, parents, siblings, dependent children or a member of the immediate household.
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7. Have you, or has any member of your immediate family, received during the past year (January 1 – December 31, 2011), or expect to receive during the period of January 1 – December 31, 2012, compensation, payment or any other benefit of any value from a third party that has engaged, or is reasonably expected to engage in the future, in any financial or business matter with Rensselaer Polytechnic Institute?

☐ Yes (go to items 14 & 15 to provide details. Also specify whether or not you or a member of your immediate family is the Principal Investigator (PI) on the grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant, and specify the type of position with the third party (employee, director, trustee, officer, consultant).

☐ No

Section C

8. Have you, or has any member of your immediate family, entered into any non-financial contract, transaction or relationship this past year (January 1 – December 31, 2011), or is one likely to occur during the period of January 1 – December 31, 2012, with a third party that has engaged, or is reasonably expected to engage in the future, in any financial or business matter with Rensselaer Polytechnic Institute?

☐ Yes (go to items 14 & 15 to provide details. Also specify whether or not you or a member of your immediate family is the Principal Investigator (PI) on the grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant and specify the type of position with the third party (employee, director, trustee, officer, consultant).

☐ No

Section D

9. Has there been in the last year (January 1 – December 31, 2011) any other relationship or situation involving you or a member of your immediate family, or is one likely to occur during the period of January 1 – December 31, 2012, which constitute an actual or potential conflict with the interests of Rensselaer, which has not already been fully disclosed in your responses in Section A, B or C?

☐ Yes (go to items 14 & 15 to provide details. Also specify whether or not you or a member of your immediate family is the Principal Investigator (PI) on the grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant.)

☐ No
Section E

10. Was any member of your immediate family a student, employee, officer, or trustee of Rensselaer during the past year (January 1 – December 31, 2011), or likely will become one during the period of January 1 – December 31, 2012?

☐ Yes
☐ No

11. If yes, please identify such individual(s) and provide the first and last name of any immediate family member and their relationship (includes spouse, domestic partner, parents, siblings, dependent children, or a member of the immediate household.). If the immediate family member is enrolled as a student, indicate the name of the student, their relationship and their major.


12. Did you have, during the past year (January 1 – December 31, 2011), or likely will have during the period of January 1 – December 31, 2012, a business relationship with any student, employee, officer, or trustee of Rensselaer?

☐ Yes
☐ No

13. If Yes, please identify such individual(s) and provide the first and last name of any immediate family member and their relationship (includes spouse, domestic partner, parents, siblings, dependent children, or a member of the immediate household.)


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Section F  

14. Please enter the company name, location of the outside activity, inclusive dates of the outside activity, the amount of time spent on the outside activity, and the calendar year 2011 and expected 2012 payment amounts in the space provided below. (Please attach additional sheets if needed.)  

Specify all pertinent information, regarding outside activities including hours worked per week, month or year; and whether the third party has a business relationship with Rensselaer (e.g., a sub-contract).  

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Location of Outside Activity</th>
<th>Inclusive Dates</th>
<th>Amount of Time (hours per week)</th>
<th>2011 Amount of Compensation</th>
<th>2012 Expected Amount of Compensation</th>
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15. If the answer to any of the preceding questions in Sections A, B, C, D, or E is “Yes,” please provide all relevant facts below including:  

- The type of position with the third party (owner, employee, director, trustee, officer, consultant).  
- Whether or not you are the Principal Investigator (PI) on the grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant.  

(Please use additional sheets of needed).
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16. Do you have research funded by the Public Health Service or any of its agencies (e.g., the National Institutes of Health)?

☐ Yes  ☐ No

If yes, you are required to disclose the occurrence of any reimbursed or sponsored travel related to PHS-funded research only (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their Institutional responsibilities. The requirement to disclose reimbursed or sponsored travel does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

What was the purpose of the trip?  ________________________________________________________________

Who was the sponsor/organizer?  ________________________________________________________________

What was the destination(s)?  ________________________________________________________________

What was the duration of the trip (include dates)?  ________________________________________________

What was the dollar value of the travel reimbursement?  ____________________________________________

Certification

I certify that the above information is complete and true to the best of my knowledge. I understand that any misstatement or omission in this disclosure may be a violation of applicable rules and regulations of Rensselaer and may subject me to disciplinary action.

Signature

Print Name  Date