

Rensselaer Polytechnic Institute

2016 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, provide the following details, using the examples provided in each Section as a guide for your responses:

- Specify the calendar years for which the disclosed financial interest is being provided (e.g., January 1 – December 31, 2015 and January 1 – December 31, 2016).
- Describe the outside activities including hours worked per week, month, or year for a third party. If the third party has a business relationship with Rensselaer (e.g., a sub-contract), activities related to that third party should be disclosed only in Section B, Question 7.
- Provide the first and last name of immediate family members and the relationship to you. Under the COI policy, immediate family members include spouse, domestic partner, parents, siblings, dependent children, or other member of your immediate household.
- Provide information related to immediate family members enrolled as students at Rensselaer, indicating their major.
- Specify whether you have engaged or will engage in any business activity or relationship with a third party, describing the role with the third party (for example, owner, founder, employee, board member, director, trustee, officer, consultant, or investor). If you hold any type of ownership interest, include the current value if the value can be determined (e.g., \$10,000) and, for non-publically traded organizations, the level of your ownership (e.g., 15%).
- Specify whether or not you are the Principal Investigator (PI) on the related research grant, and/or if the contract is a Small Business Technology Transfer (STTR) Program grant or Small Business Innovation Research (SBIR) Program grant.

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 use the link below to view the Financial Conflict of Interest/Commitment Policy in a separate window before proceeding with the rest of the survey:

<http://www.rpi.edu/dept/hr/policy/2014HRPolicy800.12FCOI-CPolicy.pdf>

- Yes
- No

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Section A – Positions and Relationships with Third-Party Organizations

Positions and relationships with third-party organizations can create the perception that those relationships might influence your actions as a Rensselaer employee. Disclosure helps protect you and the Institute from reputational damage related to perceived bias.

5. Did you during calendar year 2015 or will you during calendar year 2016 hold any position or other relationship, whether paid or unpaid, with a third party, including but not limited to, owner, founder, employee, board member, director, trustee, officer, consultant or investor? *Exclude organizations that have a business relationship with Rensselaer which will be included in Question 7.*

Yes (Provide details below)

Organization	Type of Relationship	Relationship Dates		Avg Hours per Week	Compensation	
		Start	End		2015	2016
<i>e.g., My Company Inc</i>	<i>Founder</i>	<i>7/1/2014</i>	<i>TBD</i>	<i>4</i>	<i>\$1,500</i>	<i>\$35,000</i>

No

Section B – Financial Interests with Third-Parties Involving Rensselaer

Financial interests held by our employees in third-party organizations that do business with Rensselaer create the perception that the employee could inappropriately influence business transactions between the organization and Rensselaer to gain personal financial benefit.

6. Did you or a member of your immediate family¹ during calendar year 2015 or will you during calendar year 2016 hold any Significant Financial Interest(s) that may be related to 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? (Include the approximate current monetary value and/or level of equity interest with the third-party organization.)

(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

¹ “Immediate family” includes spouse, domestic partner, parents, siblings, dependent children or a member of the immediate household.

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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 (Provide details below)

Organization	Individual	Type of Interest	Approximate Value or % Equity	
			2015	2016
<i>e.g., My Company Inc</i>	<i>Self</i>	<i>Equity</i>	<i>5%</i>	<i>5%</i>
<i>e.g., Public Company LLC</i>	<i>Spouse</i>	<i>Stock</i>	<i>\$15,000</i>	<i>\$20,000</i>
<i>e.g., Public Company LLC</i>	<i>Self</i>	<i>Honorarium</i>	<i>\$2,000</i>	<i>\$0</i>

No

7. Have you, or has any member of your immediate family, received during the past year or expect to receive during the next year 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? *Please include positions with third-parties that do business with Rensselaer not reported in Question 5.*

Yes (Provide details below, indicating whether the individual is the Principal Investigator (PI) on an Institute research grant, whether 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 (an owner, founder, employee, board member, director, trustee, officer, consultant or investor).

Organization	Individual	Type	Role	Approximate Value	
				2015	2016
<i>e.g., My Company Inc</i>	<i>Self</i>	<i>SBIR</i>	<i>PI</i>		
<i>e.g., Other Company</i>	<i>Spouse</i>	<i>Employment</i>	<i>CFO</i>	<i>\$150,000</i>	<i>\$195,000</i>

No

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Section C – Non-Financial Relationships with Third-Parties Involving Rensselaer

Non-financial relationships with third-party organizations that conduct business with Rensselaer can lead to the perception that our employees inappropriately influence business decisions. Disclosure can help protect Rensselaer and your reputation from allegations of inappropriate conduct or manipulation.

8. Have you, or has any member of your immediate family, entered into any non-financial contract, transaction or relationship this past year or is one likely to occur during the next year 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 (Provide details below)

Organization	Relationship with RPI	Individual	Role	Relationship Dates	
				Start	End
<i>e.g., Your Company</i>	<i>Vendor</i>	<i>Spouse</i>	<i>Strategy Advisor</i>	<i>10/1/2015</i>	<i>6/30/2016</i>

No

Section D – All Other Disclosures

Rensselaer’s conflict of interest and conflict of commitment reporting process is intended to help protect the reputations of the Institute and of our employees by creating a mechanism for identifying, evaluating, and managing actual and perceived conflicts. Nonetheless, some relationships may not fall neatly into any of the existing disclosure categories. Please use this section to disclose any other relationship or transaction that could reasonably be perceived to lead to a conflict of interest or conflict of commitment.

9. Please describe any other relationships or situations involving you or your immediate family that occurred during 2015 or is likely to occur during 2016 which constitute an actual or potential conflict with the interests of Rensselaer and which has not already been fully disclosed in your responses in Section A, B, or C.

Yes (Provide details below)

Organization	Individual	Description of Relationship	Approximate Value	
			2015	2016

No

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Section E – Family Members with Rensselaer Relationships

10. Was any member of your immediate family a student, employee, officer, or trustee of Rensselaer during 2015 or likely to become one during 2016?

Yes (Provide details below)

First and Last Name	Relationship to You	If a Student, Include Major Field of Study

No

11. During 2015 did you, or during 2016 do you expect to have a business relationship with any student, employee, officer, or trustee of Rensselaer, or company that does business with Rensselaer?

Yes (Provide details below)

First and Last Name and/or Name of Company	Rensselaer Role	Description of Business Relationship

No

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Section F – Sponsored or Reimbursed Travel

12. Do you have research funded by the Public Health Service or any of its awarding 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**. (*Sponsored travel is defined as travel 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.*) The requirement to disclose reimbursed or sponsored travel does not apply to travel that is reimbursed or sponsored directly 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. *For example, a trip sponsored or paid by a foundation for you to present the findings of your NIH research should be reported below, but sponsor-approved travel funded directly from the NIH award does not need to be reported here.*

- a. What was the purpose of the trip? _____

- b. Who was the sponsor/organizer? _____

- c. What was the destination(s)? _____

- d. What was the duration of the trip (include dates)? _____

- e. What was the approximate dollar value of the travel? _____

Certification

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

Signature

Print Name

Date