

EXHIBIT E
Significant Financial Interest (SFI) Disclosure Form

Investigator Name (Last, first, middle):	Work Phone:	Date of Disclosure:	Date FCOI Training Received:
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RTI Employees continue to Parts 1, 2 and 3 of this form

Only non-RTI Investigators complete this section

Employer's Name: _____

Choose one of the following two options and follow the instructions indicated for that option

I am employed by an institution with a Financial Conflict of Interest Policy that complies with PHS regulations. Choose one of the following two options.

I have disclosed my significant financial interests and the work scope for this project to the FCOI Designated Official at my institution and he/she has determined that I have no financial conflict with working on this project

STOP AND SUBMIT THIS FORM TO SFIDisclosures@rti.org

I have disclosed my significant financial interests and the work scope for this project to the FCOI Designated Official at my institution and he/she has determined that I may have a financial conflict with working on this project. The FCOI management plan prepared by this Official will be submitted separately.

STOP AND SUBMIT THIS FORM TO SFIDisclosures@rti.org

I am not employed by an institution with a compliant FCOI Policy and therefore agree to comply with RTI's Financial Conflict of Interest Policy, including completing the FCOI training identified by RTI and disclosing my significant financial interests to RTI.

CONTINUE TO COMPLETE PARTS 1, 2 AND 3 OF THIS FORM.

Part 1. ASSETS

For you, your spouse and your dependent children, identify assets with a fair market value of \$5,000 as of the date of disclosure. Assets include stocks, bonds, tax shelters, pensions, annuities, real estate, commodity futures, trades and business and partnership interests. Refer to the definitions below Part 3 for additional information

I do not have any assets requiring disclosure. **CONTINUE TO PART 2 OF THIS FORM.**

I disclose the following assets. **After completing this section, CONTINUE TO PART 2 OF THIS FORM.**

Name of asset	Asset belongs to (Employee, Spouse, Dependent Child, or combination)	(X) if no longer held	Asset Type (pension, stock, dividends, interest, real estate, capital gains)	Approximate value of the financial interest		
				\$5,000 - \$19,999 increments of \$5,000 (e.g. \$5,000 to \$10,000)	\$20,000 - \$100,000 Increments of \$20,000	\$100,000 and above by increments of \$50,000

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Part 2. SOURCES OF EARNED INCOME AND TRAVEL

For you, your spouse and your dependent children, identify sources of earned income which generated over \$5,000 in income as of the date of the disclosure. Sources of Earned Income include salaries received from other than your current employer, fees, honoraria and travel. Refer to the definitions below Part 3 for additional information.

I do not have any sources of earned income or travel requiring disclosure. **CONTINUE TO PART 3 OF THIS FORM.**

I disclose the following sources of earned income or travel. **After completing this section, CONTINUE TO PART 3 OF THIS FORM.**

Name of Earned Income Source(s)	Income Recipient (Employee, Spouse, Dependent Child, or combination)	Income Type (salary, consulting fees, honoraria, etc.)	Approximate value of the financial interest		
			\$5,000 - \$19,999 increments of \$5,000 (e.g. \$5,000 to \$10,000)	\$20,000 - \$100,000 Increments of \$20,000	\$100,000 and above by increments of \$50,000
For travel disclosures, please provide the following additional detail					
Travel Sponsor	Destination	Duration	Purpose		

Part 3

UPON COMPLETION OF THIS DISCLOSURE FORM, PLEASE EMAIL IT AS AN ATTACHMENT TO SFIDisclosures@rti.org. Submission of this form confirms your belief that all information provided is true, complete and accurate to the best of your knowledge.

SFI Disclosure Form Definitions as provided by the Office of Extramural Research of the National Institutes of Health

Significant Financial Interest (SFI) is defined by the regulation as:

- I. A financial interest consisting of one or more of the following interests of the investigator (and those of the investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:
 - a. With regard to any publicly traded entity, an SFI exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure and the value of any equity interest in the entity as of the date of the disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock options, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
 - b. With regard to any non-publicly traded entity, an SFI exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) hold any equity interest (e.g., stock, stock options, or other ownership interest); or
 - c. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
- II. Investigators also must disclose the occurrence of any reimburse or sponsored travel (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; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. The Investigator's disclosure will include the identity of the sponsor/organizer, the destination, and the duration. The RTI Privacy Officer can request additional information from the Investigator in order to determine whether the travel constitutes an FCOI with the PHS-funded research.
- III. The term SFI does not include the following types of financial interests:
 - a. Salary, royalties, or other remuneration paid by the Institution (i.e., Investigator's employer) to the Investigator if the Investigator is currently employed by the Institution, including intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights;
 - b. Any ownership interest in the Institution held by the Investigator, if the Institution is a commercial or for-profit organization;

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- c. 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;
- d. Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
- e. Or income from service on advisory committees or review panels for a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.