

Columbia University
MORNINGSIDE
ANNUAL CONFLICT OF INTEREST DISCLOSURE
STATEMENT

This information applies to current activities and any activities anticipated during the next 12 months.

NOTE: All underlined words are explained in the definition section.

1. Do you or does any member of your family have or anticipate having a financial interest in, or receive or anticipate receiving a financial benefit from any commercial entity whose activities relate to your research activities or other responsibilities as a faculty member, researcher or other employee of the University?
 Yes **No**

2. Have you influenced or played a role in any relationship between the University and an individual or commercial entity for whom you provide consulting or other professional services, or do you anticipate doing so within the next 12 months?
 Yes **No**

3. Do you or does any member of your family hold a managerial position in or serve on an advisory board of a commercial entity whose activities relate to your research activities or other responsibilities as a faculty member, researcher or other employee of the University, or anticipate doing so within the next 12 months?
 Yes **No**

4. Have you at any time during the last 12 months used the services of Columbia students or employees over whom you exercise supervisory or academic responsibility at Columbia in any of the outside activities disclosed in response to Questions 1, 2 or 3 above, or do you anticipate doing so within the next 12 months?
 Yes **No**

5. Have you at any time during the last 12 months made or do you anticipate making significant use of Columbia facilities, equipment or clerical services to support any of the outside activities disclosed in response to Questions 1, 2 or 3 above?
 Yes **No**

If you have answered YES to any of the questions set forth above, you must describe separately each business or activity.

Morningside Conflict of Interest Definitions

"Commercial entity" means any corporation, partnership, sole proprietorship or other legal entity organized for profit. The term does not include the University or any other entity controlled by the University. For faculty members in the professional schools, a commercial entity does not include a client to whom you provide individual professional services (e.g., an individual for whom a trusts and estates professor in the Law School prepares a will or provides estate planning advice; an individual or corporation for whom a faculty member in the Graduate School of Architecture, Planning and Preservation designs a residence or building). The term does include a law firm, architectural firm or other professional firm or business enterprise with which a faculty member is affiliated (e.g., in an "of counsel" relationship or as a partner or member in such a firm).

"Family" includes your spouse or domestic partner, dependent children and any other family members living in your household.

"Financial interest" and **"financial benefit"** mean the receipt or expectation of anything of monetary value, including salary or other payments for services (e.g., consulting fees or honoraria), equity or other ownership interests, and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The terms do not include salary, royalties or other remuneration paid directly to an officer by Columbia; income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; income from service on review panels or advisory committees for public or nonprofit entities; income from writing or editing professional journals or textbooks; or a financial interest in a commercial entity if the value of such financial interest, when aggregated with the interests of your family, does not exceed \$10,000 or represent more than a 5% ownership interest in such commercial entity.

"Used the services of Columbia students or employees" does not include infrequent or incidental use of students or employees in connection with your reportable outside activities.

Columbia University
HEALTH SCIENCES DIVISION
ANNUAL CONFLICT OF INTEREST DISCLOSURE FORM

This information applies to current activities and any activities anticipated during the next 12 months.

NOTE: All underlined words are explained in the definition section.

1. Do you, or does any member of your Family, or an Associated Entity have or receive a Significant Financial Interest in or from any Business which is supporting Sponsored Research by either a restricted gift or a sponsored project through the office of Grants and Contracts, Columbia Innovation Enterprise, or the Office of Clinical Trials in which you are involved?
 Yes **No**

2. Do you participate in research, including any clinical trial, that is Technology owned or contractually obligated to a Business in which you, any member of your Family, or an Associated Entity has a Significant Financial Interest, other than royalties and/or licensing fees under institutional agreement?
 Yes **No**

3. Do you hold any Executive Position in any for-profit Business engaged in commercial or research activities of a biomedical nature?
 Yes **No**

4. Have you participated in or otherwise influenced the selection by the University of a contractor, vendor, or supplier of goods or services in or from which you, any member of your Family or an Associated Entity has had or received a Significant Financial Interest?
 Yes **No**

5. Have you assigned any student, postdoctoral fellow or other trainee, Officer, support staff or other individual to a project sponsored by a Business in or from which you, any member of your Family, or an Associated Entity has had or received a Significant Financial Interest?
 Yes **No**

6. Have you participated in or otherwise influenced any University transaction to buy, sell, lease, or license real or intellectual property to or from any Business in or from which you, a member of your Family, or an Associated Entity has had or received a Significant Financial Interest?
 Yes **No**

7. Have you taken any administrative action within the University which is likely to benefit a Business in which you, any member of your Family or an Associated Entity has a Significant Financial Interest?
 Yes **No**

8. Do you serve on the Board of Directors or Scientific Advisory Board of any Business?
 Yes **No**

- If YES, do you or does any member of your Family or an Associated Entity receive Sponsored Research support from that Business by either a restricted gift or a sponsored project through the Office of Grants and Contracts, Columbia Innovation Enterprise or the Office of Clinical Trials?

Yes **No**

If you have answered YES to any of the questions set forth above, you must write an explanation indicating separately for each Business or Activity.

Health Sciences Conflict of Interest Definitions

Significant Financial Interest is 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 or the New York-Presbyterian Hospital;
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;
4. An equity interest that when aggregated for the Faculty or Affiliated Hospital Staff Member and his Family members meets both of the following tests: Does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than five percent ownership interest in any single entity;
5. Salary, royalties or other payments that when aggregated for the Faculty or Affiliated Hospital Staff Member and his Family Members over the next twelve months, are not expected to exceed \$10,000.
6. Sponsored Research means research, training and instructional projects involving funds, materials, or other compensation including gifts from outside sources.

Executive Position refers to any salaried position which includes responsibilities for a material segment of the operation or management of a Business.

An "**Associated Entity**" of a Faculty or Affiliated Hospital Staff Member means any trust, organization or enterprise other than the University or any Affiliated Hospital over which the Faculty or Affiliated Hospital Staff Member, alone or together with his Family, exercises a controlling or significant interest.

"**Business**" means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, Business or real estate trust, or any other legal entity organized for profit.

"**Executive Position**" refers to any salaried position which includes responsibilities for a material segment of the operation or management of a Business.

"**Faculty Member**" includes, for the purposes of this Policy, anyone who is a Health Sciences Officer, including Officers Emeriti employed by the University.

"**Affiliated Hospital Staff Member**" includes: attending physicians, associate attending physicians, assistant attending physicians, instructors, clinical fellows.

The "Family" of a Faculty or Affiliated Hospital Staff Member includes his spouse, minor children, and any other immediate family member, e.g., sibling, parent(s), or adult child, whose financial holdings are known to the Faculty or Affiliated Hospital Staff Member. This includes de facto spouses.

A "**Financial Interest**" is a significant interest in a Business consisting of any stock, stock option or similar ownership interest in such Business which if disclosed would appear to create a Conflict of Interest, but excluding any interest arising solely by reason of investment in such Business by a mutual, pension or other institutional investment fund over which the Faculty or Affiliated Hospital Staff Member does not exercise control.

"**Participate**" means to be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator, teacher or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e.g., control over its collection or analysis) or, in the case of clinical research, to the trial participants, unless they are in a position to influence the study's results or have privileged information as to the outcome.

"**Sponsored Research**" means research, training and instructional projects involving funds, materials, or other compensation including gifts from outside sources.

"**Technology**" means any methodology, information, compound, drug, device, diagnostic, medical or surgical procedure intended for use in health care or health care delivery, or biomedical research.

Columbia University
IRB Specific
CONFLICT OF INTEREST DISCLOSURE STATEMENT

These questions apply to your current activities and any activities anticipated during the period in which the research will be performed.

NOTE: All underlined words are explained in the definition section.

1. Do you, or does any member of your Family, or an Associated Entity, have or receive a Financial Interest in or from the Sponsoring Company?
 Yes **No**

2. Do you participate in research, including any clinical trial, on a Technology owned or contractually obligated (including by license or exercise of an option to license) to the Sponsoring Company?
 Yes **No**

3. Do you hold any Executive Position in the Sponsoring Company?
 Yes **No**

4. Do you serve on the Board of Directors or Scientific Advisory Board of the Sponsoring Company?
 Yes **No**

5. Are you a member of a 'Speaker's Bureau' or other list of approved speakers concerning the products or services of the Sponsoring Company?
 Yes **No**

6. Have you participated in or otherwise influenced any University transaction to buy, sell, lease, or license real or intellectual property to or from the Sponsoring Company?
 Yes **No**

7. Have you participated in or otherwise influenced the selection of the Sponsoring Company as a contractor, vendor or supplier of goods or services to the University?
 Yes **No**

8. Have you taken any administrative action within the University which is likely to benefit the Sponsoring Company?
 Yes **No**

9. Have you assigned any student, postdoctoral fellow or other trainee, officer, support staff or other individual to a project sponsored by the Sponsoring Company?
 Yes **No**

If you have answered YES to any of the questions set forth above, please attach an explanation indicating:

1. the nature and extent of interest you, any member of your Family or an Associated Entity has or receives in or from the Sponsoring Company (e.g., the percentage and value of any ownership interest in the Sponsoring Company and/or the type and value of any payment received from the Sponsoring Company),
2. your role or that of any member of you Family or Associated Entity in the Sponsoring Company ,

3. the nature of the business of the Sponsoring Company and its relationship to your activities at Columbia,
4. the extent of involvement by any student or other individual assigned by you to a project sponsored by the Sponsoring Company , and
5. whether the activity or financial interest in question has been approved by the University Science and Technology Policy Committee, the CUMC Conflict of Interest Committee or by some other supervisory committee or individual, and other relevant facts or circumstances.

IRB Conflict of Interest Definitions

An "**Associated Entity**" of a researcher means any trust, organization or enterprise other than the University or any Affiliated Hospital over which the researcher, alone or together with his Family, exercises a controlling or significant interest.

"**Executive Position**" refers to any salaried position which includes responsibilities for a material segment of the operation or management of the sponsoring company.

The "**Family**" of a researcher includes his spouse, minor children, and any other immediate family member, e.g., sibling, parent(s), or adult child, whose financial holdings are known to the researcher. This includes de facto spouses.

A "**Financial Interest**" is a significant interest in the sponsoring company consisting of 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). This excludes any interest arising solely by reason of investment in such sponsoring company by a mutual, pension or other institutional investment fund over which the researcher does not exercise control.

"**Participate**" means to be part of the described activity in the capacity of a principal investigator, co-investigator, coordinator, or faculty advisor.

"**Sponsoring Company**" means any entity providing financial support for the research activity involving human subjects described in this application.

"**Technology**" means any methodology, information, compound, drug, device, diagnostic, medical or surgical procedure intended for use in health care or health care delivery, or biomedical research.