EXTERNAL INTERESTS TO DISCLOSE
QUICK START GUIDE

To create a new disclosure click here.

This person has not disclosed before, if s/he had, the previous disclosures would be listed here.

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UNIVERSITY OF VIRGINIA
ANNUAL REPORTING OF FINANCIAL INTERESTS WITH OUTSIDE ENTITIES

The University of Virginia requires that the individuals listed below disclose all external financial interests that are related to their institutional responsibilities. This practice allows the University to meet its legal obligation to review these relationships and, when necessary, to work with the individual to develop a plan to reduce, manage, or eliminate an associated financial conflict of interest.

You must complete and certify your disclosure if you are

- Faculty (Lecturer or above), regardless of your full-time equivalent (FTE); or
- Responsible for the planning, conduct, analysis, or reporting of research; or
- A School of Medicine core facility director.

If none of these applies, notify your department administrator that you are not required to complete this process.

NEW FOR 2012: WHAT YOU MUST DISCLOSE
Because of changes to Public Health Service and School of Medicine policies, you must disclose the following financial interests that are related to your institutional responsibilities, except as exempted below:

- For a single publicly traded entity, income + ownership interest totaling $5,000; or
- For a single non-publicly traded entity, any ownership interest; or
- For a single non-publicly traded entity, income $5,000; or
- Any reimbursed or sponsored travel related to institutional responsibilities. Disclose travel under "Income other than Consulting."

EXEMPTIONS FROM DISCLOSURE (read carefully, as these have changed):
INCOME FROM CONSULTING (excludes travel)
- Income that is unrelated to your institutional responsibilities;
- Short-term speaking or teaching engagements provided to federal, state, or local government agencies, or an institution of higher education, or an academic medical center/research institute associated with an institution of higher education;
- Income from the review of grant/contract proposals or advisory boards on behalf of federal, state, or local government agencies, or an institution of higher education, or an academic medical center/research institute associated with an institution of higher education;
- For a publicly traded entity, income (in addition to ownership interests) that does not total more than $5,000; or
- For a non-publicly traded entity, income that does not exceed $5,000;
- Consulting agreements to which the University of Virginia is a party (Option 2 consulting).

INCOME OTHER THAN CONSULTING (includes travel)
- Income that is not related to your institutional responsibilities;
- Salary received from University grants or contracts;
- For a publicly traded entity, income (in addition to ownership interest) that does not total more than $5,000;
- For a non-publicly traded entity, income that does not exceed $5,000;
- Income from financial instruments that you do not control (e.g., mutual funds);
- Income from the UVA Licensing and Ventures Group or University Physicians Group (formerly UVA Patent Foundation and Health Services Foundation, respectively);
- Reimbursed or sponsored travel paid by federal, state, or local government agencies, or an institution of higher education or an academic medical center/academic research institute associated with an institution of higher education;
- Travel paid by UVA funds, including sponsored research agreements.

OWNERSHIP INTERESTS
- Ownership interests that are unrelated to your institutional responsibilities.
- For a publicly traded entity, an ownership interest (in addition to income) that does not total more than $5,000;

BEGIN THE PROCESS HERE:
Check yes below if you, your spouse, and your dependents combined, during the last twelve months held/received any of the following financial interests related to your institutional responsibilities, as described above: (1) total income + ownership interest in a publicly traded entity exceeding $5,000, (2) any ownership interest in a non-publicly traded entity, (3) income from a non-publicly traded entity exceeding $2,000, or (4) reimbursed or sponsored travel.

**You must check Yes**

TO CONTINUE THE PROCESS:
If you answered Yes, click on Submit below and a new page will display. Follow the instructions on that page for completing the certification process (the only remaining step).

If you answered Yes, click on Submit below and a new page will display. Follow the instructions for disclosing financial interests due to CONSULTING, OTHER INCOME, or OWNERSHIP. Complete and submit a separate form for each outside entity and activity related to your disclosure. For example, if you receive consulting fees from two outside entities and serve in a management role for a third, you must complete three forms. Disclose travel as "income other than Consulting." When you have completed disclosing your external activities, click on the Certify tab and follow the instructions to certify your responses.

RELEVANT UNIVERSITY AND SCHOOL OF MEDICINE POLICIES:
University COI Policy: [http://www.virginia.edu/preview/docs_policies/conflict.html](http://www.virginia.edu/preview/docs_policies/conflict.html)
School of Medicine COI Policy: [http://www.medicine.virginia.edu/administration/administration/school_policies/conflictsofinterest.pdf](http://www.medicine.virginia.edu/administration/administration/school_policies/conflictsofinterest.pdf)

CONTACT INFORMATION:
If you have questions regarding this process, please contact [conflicts@virginia.edu](mailto:conflicts@virginia.edu)

Submit

Click here to submit
### Reporting of Financial Interests and External Professional Activities

**Reporting Organization:** Cell Biology

#### Certification Overview

<table>
<thead>
<tr>
<th>Certification</th>
<th>Date Certified</th>
<th>Status</th>
<th>Creation Date</th>
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<td></td>
<td>In Progress</td>
<td>8/17/2012</td>
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#### Certification Process

1. Answer the disclosure question - Complete
2. Disclose your financial relationships - See below
3. **Certify** when done with step 2 - Incomplete

#### Income

<table>
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#### Consulting

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#### Ownership

<table>
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<tr>
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<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Ownership Entities</td>
<td></td>
</tr>
</tbody>
</table>

**Status shows “In Progress”**

**Marked Complete - you checked Yes on previous screen**

**You are now at Step 2. Disclose Financial Interest(s) by Adding New Entity under Income, Consulting and/or Ownership below**
If Income Disclosure
You are now ready to continue adding another Income entity or add Consulting or Ownership disclosures. If finished, go to Step 3.
If Consulting Disclosure
If Ownership Disclosure

Reporting of Financial Interests and External Professional Activities

Owner's name will be here

Welcome: [Your name will be here]

Reporting Organization: (40410) Cell Biology

Ownership Disclosure is required.

Provide information for each entity in which you, your spouse, or your dependents have a combined financial interest that is related to your institutional responsibilities.

Do not disclose:

- Ownership interests that are unrelated to your institutional responsibilities
- For a publicly traded entity, an ownership interest (in addition to income) that does not total more than $5,000.

Note: any ownership interest in a non-publicly traded entity that is related to your institutional responsibilities must be disclosed.

Name of Entity: ____________________________

Type of organization (e.g. LLC, Corporation, Partnership): ____________________________

Estimated value of ownership interest in the Entity: ____________________________

Number of days you worked for/with Entity: ____________________________

Is the entity a recipient of an STTR/SBIR grant involving anyone at the University? Yes [ ] No [ ]

Nature of Ownership Interest:

[ ] Equity interest including, but not limited to: stocks/stock options, and real estate.

[ ] Partnership

[ ] Other ownership interest (describe below)

Questions:

1. Do you have an employment relationship with this entity? (If yes, please provide an explanation below.) Yes [ ] No [ ]

2. Are any of your trainees or staff involved in this outside business activity? (If yes, please provide an explanation below.) Yes [ ] No [ ]

3. To the best of your knowledge, does this entity have any of the following business relationships with the University’s Academic Division or Medical Center (questions a-c)?

   a. Entity sponsors your own training or research activities. Yes [ ] No [ ]

   b. Entity has a business relationship with the University's Academic division or Medical Center. Yes [ ] No [ ]

   c. Entity contributes gifts or endowments to the University that are under your control or are of direct benefit to your teaching or research activities. Yes [ ] No [ ]

Explanation:

Save or Submit

[ ] Save Work In Progress
[ ] Submit Completed Entity
Step 3: Certify

FACULTY CERTIFICATION

My submission of this document certifies:

1. I have provided a complete and accurate representation of the nature and extent of my financial interests in outside entities that are related to my institutional responsibilities.

2. I have read the UVA Policy on Conflict of Interest and the School of Medicine Policy on Conflict of Interest and Conflict of Commitment.

3. I understand that I have an ongoing responsibility to update my disclosure if my outside activities or interests change in the coming year. Updates must be entered in this system within 30 days.

Certify

Submit Certify
Reporting of Financial Interests and External Professional Activities

Welcome: Your name will be here

Certification Completed

Message confirms certification

Actions to Perform

You can select one of the following:
- Create New Certification
- Copy a prior disclosure - If external financial interests have been disclosed previously during the same annual cycle, the prior disclosure can be copied as a template for your update by selecting "copy" from the table below.

<table>
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<tr>
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</tr>
</thead>
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<td>08/17/2012</td>
</tr>
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</table>

View or Print Certification if you want a copy

Most Recent Upgrades to This System:

- You can copy ("clone") reporting information from previous periods as templates for a current report. Click on "Copy" in the table above to begin that process.
- You now can make interim (non-annual) reports of material changes in your external financial interests. Such reports must be made within 30 days of any such event, per SOM policy.
- The enhanced "overview" page provides a snapshot of your progress.

*** IMPORTANT ***
There have been minor changes in wording throughout the system. However, the information requested is identical to the 2008 reporting period.

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