

Name:
Date:

SURVEY QUESTIONS Instructions: Please answer the following questions. When answering Questions #1 through #3, consider whether, in your best judgment, any [financial interest](#) reasonably appears to be related to your [institutional responsibilities](#) . If you answer “yes” to any of the questions, you will be directed to another screen to provide details for each outside entity or activity. Note that threshold amounts listed below are an aggregate for you, your spouse, and your dependent children.

Definitions for [blue highlighted](#) terms are on a page following the form.

1. **Publicly Traded Entities:** Over the past 12 months, have you or [family members](#) received [remuneration](#) from any [publicly traded entity](#) and/or do you or family members currently own [equity interest](#) in that entity, the value of which when aggregated exceeds \$5,000 ?

Yes

No

2. **Non-publicly Traded Entities:** Over the past 12 months, have you or [family members](#) received [remuneration](#) from any [non-publicly traded entity](#) the value of which when aggregated exceeds \$5,000, or do you or family members currently own any [equity interest](#) in that [non-publicly traded entity](#) ?

Yes

No

3. **Intellectual Property Income:** Over the past 12 months, have you or [family members](#) received income derived from intellectual property rights and interests (e.g., patents, copyrights), excluding any royalties paid by the University of Kentucky?

Yes

No

4. **Human Subjects:** Are you involved in [human subjects research or clinical investigations](#) ?

Yes

No

5. **PHS Funding:** Does your work involve a pending or funded grant, cooperative agreement or contract from a [Public Health Service \(PHS\) agency](#) , including any subaward from another institution?

Yes

No

DETAILS OF SIGNIFICANT FINANCIAL INTERESTS AND OUTSIDE ACTIVITIES

Instructions: For each [outside entity](#) or activity for which you answered “yes” in any of Questions #1-#3, please complete the following form. Use a separate sheet for each entity.

Outside entities	
This information pertains to: (Check all that apply)	<input type="checkbox"/> Employee <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children
Name of Outside Entity: (Do not abbreviate)	
Indicate whether this entity is:	<input type="checkbox"/> For-profit, publicly traded <input type="checkbox"/> For-profit, not publicly traded <input type="checkbox"/> Non-profit
Employee or corporate officer	<input type="checkbox"/>
Board of directors, governing board, or trustee	<input type="checkbox"/>
Scientific advisory board, or peer review panel member	<input type="checkbox"/>
Consultant, whether paid or unpaid	<input type="checkbox"/>
Equity interest (e.g., stock, stock options, or other ownership interest)	<input type="checkbox"/>
Royalties for inventions and copyrights (i.e., licensing revenue)	<input type="checkbox"/>
Fees paid for authorship of books or other publications	<input type="checkbox"/>
Speaking fees or honoraria for lectures	<input type="checkbox"/>
Gifts or other benefits	<input type="checkbox"/>
Other (Specify:)	<input type="checkbox"/>
Does this entity support your research or other sponsored activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Briefly summarize how your involvement with this outside entity reasonably appears to be related to your institutional responsibilities.	

DETAILS OF TRAVEL REIMBURSED BY OR PAID FOR BY AN OUTSIDE ENTITY

Instructions: For each instance of travel related to your institutional responsibilities that was either paid for (sponsored) by an outside entity or for which you were reimbursed for travel expenses, please complete the following form. Use a separate sheet for each trip.

Trips						
Travel reimbursed or paid for by: (Do Not Abbreviate)	<table border="1"> <tr><td>For-profit, publicly traded</td></tr> <tr><td>For-profit, not publicly traded</td></tr> <tr><td>Non-profit</td></tr> </table>	For-profit, publicly traded	For-profit, not publicly traded	Non-profit		
For-profit, publicly traded						
For-profit, not publicly traded						
Non-profit						
Indicate whether this entity is:						
Inclusive dates of travel:	From (mm/dd/yyyy) To (mm/dd/yyyy)					
Destination:						
Purpose of the trip:						
Estimated monetary value:	<table border="1"> <tr><td>\$0-\$999</td></tr> <tr><td>\$1,000-\$4,999</td></tr> <tr><td>\$5,000-\$9,999</td></tr> <tr><td>\$10,000-\$19,999</td></tr> <tr><td>\$20,000 or more</td></tr> </table>	\$0-\$999	\$1,000-\$4,999	\$5,000-\$9,999	\$10,000-\$19,999	\$20,000 or more
\$0-\$999						
\$1,000-\$4,999						
\$5,000-\$9,999						
\$10,000-\$19,999						
\$20,000 or more						

DEFINITIONS

[Equity interest](#) means stock, stock options, warrants, partnership or other ownership interests. Excluded from this definition are equity interests held in publicly-traded mutual funds or retirement programs the investment of which is not under the control of the Investigator or family member, including retirement programs at the University of Kentucky.

[Family members](#) mean an Investigator's spouse and dependent children.

[Financial interest](#) means anything of monetary value or potential monetary value, whether or not the value is readily ascertainable.

[Human subjects research](#) and [clinical investigations](#) mean any activity that meets either (a) the Department of Health & Human Services definitions of both "research" and "human subjects" or (b) the Food & Drug Administration (FDA) definitions of both "clinical investigation" and "human subjects." These activities required review and approval of the activity by the Institutional Review Board (IRB).

An [institution of higher education](#) is defined at 20 U.S.C. 1001(a). Paraphrasing, it means an educational institution in any State that (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate, ...; (2) is legally authorized to provide a program of education beyond secondary education; (3) provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree,...; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association or has been granted preaccreditation status...

[Institutional responsibilities](#) means an individual's professional responsibilities on behalf of the University including, but not limited to, activities such as research, consulting for outside entities, teaching, professional practice, committee memberships, administration, extension or outreach, as well as service on institutional panels such as Institutional Animal Care and Use Committees, Institutional Biosafety Committees, and Institutional Review Boards, or Data and Safety Monitoring Boards.

[Investigator](#) means the project director or principal investigator/program director, co-investigator, collaborator, senior/key personnel, faculty associate, and any other person, regardless of title or position, who is responsible for the design, conduct, reporting, or proposing of research or other activity that is sponsored by an extramural agency.

For the purposes of this regulation, postdoctoral scholars and postdoctoral fellows are considered investigators. Graduate and undergraduate students are not considered investigators.

A [non-publicly traded entity](#) or privately held company is a business owned either by a non-governmental organization or by a small number of shareholders or company members/owners, which does not offer or trade its equity interest (e.g., stock or shares) to the general public, but rather the company's stock or equity interest is offered, owned and traded or exchanged privately. This category includes most start-up companies derived from university

intellectual property. This category includes remuneration from not-for-profit organizations (including associations, foundations, institutions of higher education as defined in 20 U.S.C.1001(a), etc.) or a Federal, state or local government agency.

Outside entity means any entity recognized by law through which business for profit is conducted (including sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership or trust), or not-for-profit organization (including association, foundation, charitable organization, etc.).

Public Health Service (PHS) means an operating unit of the U.S. Department of Health and Human Services that includes PHS Awarding Components.

A publicly traded entity is a company or business that offers its securities (stocks/shares, bonds/loans, etc.) for sale to the general public, typically through a stock exchange (e.g., the New York Stock Exchange), or through market makers operating in over-the-counter markets.

Remuneration means all salary and wages, including professional income from non-University faculty practice plans, consulting fees, speaking fees, any payment for services not otherwise identified as salary or wages (e.g., honoraria, paid authorship, travel reimbursement, gifts), licensing revenue (royalty payments for inventions), royalties for books, publications or reports, or equity interests. Excluded from this definition is University salary and equity interests held in publicly-traded mutual funds or retirement programs the investment of which is not under the control of the Investigator or family member.

Sponsored agreement means a grant, contract, cooperative agreement, clinical studies or clinical trial agreement, and subagreements or subcontracts thereof.

EXAMPLES FOR QUESTIONS 1, 2, 3**Q1. Publicly Traded Entities***Example A.*

Entity: General Motors

Investigator: Owns 200 shares of stock. Current market value on NYSE \$21.61 per share for a total value of \$4,322

Spouse: 0

Dependent children: Owns 100 shares, total current value \$2,161

Total: Stock valued at \$6,483

Because the total exceeds the \$5,000 threshold, it must be reported

Example B.

Entity: Amgen, Inc.

Investigator: 0

Spouse: \$4,000 in consulting income over past 12 months

Dependent children: 40 shares of stock. Current market value on NASDAQ \$67.83 for a total value of \$2,713

Total: \$6,783

Because the total exceeds the \$5000 threshold, it must be reported

Q2. Non-publicly traded Entities

Entity: Startup, Inc.

Investigator: 0

Spouse: Owns 5% equity

Dependent children: 0

Total: 5% equity ownership

Any level of equity interest in a non-publicly traded company must be reported**Q3. Intellectual Property Income**

Entity: PharmaX, Inc.

Investigator: Received \$6000 in royalty payments over past 12 months; invention owned by university where investigator was previously on the faculty

Spouse: 0

Dependent children: 0

Total: \$6000 in royalty income

Any royalty income received through an entity other than UK must be reported