

**EXHIBIT 1**  
**FINANCIAL DISCLOSURE FORM**

This form is to be completed in accordance with the Institution's Policy by 1) the Institution's Investigators and 2) any Investigators at a Subrecipient that has elected to operate under the Institution's Policy.

**Investigator Name:** \_\_\_\_\_

**I am reporting on activities:**     Covering the 12-month period \_\_\_\_/20\_\_\_\_ to \_\_\_\_/20\_\_\_\_  
 As an addendum to my most recent report

**Name of External Entity (entity for which affiliation is creating a potential conflict of interest):**

\_\_\_\_\_  
(Attach a separate page for each applicable External Entity)

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<p><b>1. Compensation</b>  Have you or your Family received compensation (including salary, consulting fees, honoraria, board membership, etc.) from the External Entity?</p> <p>Nature of the Compensation: _____  Approximate value of compensation: _____  <input type="checkbox"/> The value of the compensation cannot be reasonably determined.</p>
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<p><b>2. Equity Interest</b>  Do you or your Family own stock or hold stock options in the External Entity? (Do not include investment in mutual funds or the like if the owner does not have direct control over the investment.)</p> <p>External Entity is:    <input type="checkbox"/> Publicly Traded    <input type="checkbox"/> Privately Owned  Approximately value of the Equity Interest _____  <input type="checkbox"/> The value of the equity interest cannot be reasonably determined.</p>
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<p><b>3. Role</b>  Do you or your Family serve as a director, trustee, officer, board member, or other key role in the External Entity? (Answer this question regardless of whether you receive compensation from the External Entity for your service.)</p> <p>Role: _____</p>
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<p><b>4. Intellectual Property</b>  Do you or your Family have rights to and/or receive royalties from intellectual property licensed to and/or owned by the External Entity? Intellectual property includes patents, copyrights, and trademarks but excludes academic or scholarly works.</p> <p>Approximate value of royalties: _____  <input type="checkbox"/> The value of the royalties cannot be reasonably determined.</p>
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<p><b>5. Travel</b>  Did the External Entity sponsor or reimburse your travel?</p> <p>Purpose of trip: _____  Destination: _____  Duration: _____  Approximate value of trip: _____</p>

		<input type="checkbox"/> The value of the trip cannot be reasonably determined.
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**Certification:**

By signing this certification, I attest to the following:

- I have read and understand the Institution's Financial Conflicts of Interest Policy.
- I have completed all training required by the Policy.
- All information contained herein is true, accurate, and correct to the best of my knowledge.
- I will comply and cooperate with any further requests from the Institution for information or clarification regarding the information I have provided herein.
- If required, I will comply with any conditions or restrictions imposed by the Institution to manage any real or perceived Financial Conflicts of Interest.
- I will submit an updated version of this form at least annually, as required by the Policy.
- Should my outside Financial or Fiduciary Interests, or those of my Family, change in a way that results in different answers to any of the questions asked in this form, I agree to submit a revision within **thirty (30)** days.

\_\_\_\_\_  
Investigator Signature

\_\_\_\_\_  
Date

**FINANCIAL DISCLOSURE REVIEW**

To be completed by Institutional Official or COI Committee.

- No financial or fiduciary relationships disclosed.
- The Financial Interest disclosed does not meet the Significant Financial Interest threshold.
- The Financial Interest constitutes a Significant Financial Interest.
  - The Significant Financial Interest is related to PHS-funded Research.
  - The Significant Financial Interest constitutes a Financial Conflict of Interest. A Management Plan will be established for this Financial Conflict of Interest.