

COLUMBIA UNIVERSITY ANNUAL FINANCIAL INTEREST REPORT

All questions on this Financial Interest Report, even if written in the present tense, apply to your current activities, activities in the past 12 months, and activities anticipated during the next 12 months.

NOTE: All underlined words are explained in the [Definitions](#) section, which can be accessed by clicking [Read and Print Definitions](#) above. As more fully defined below and in the [Definitions](#) section, a Financial Interest is anything of monetary value, including but not limited to: salary or other compensation for services (e.g., consulting fees or honoraria), stock or other equity interests, intellectual property rights, royalties, license fees, directorships and executive roles, but excluding salary paid through Columbia and certain other interests.

Any YES response to any question below requires an explanation that includes specific information about the nature of the financial interest and related activities, as set forth in the [instructions](#) at the bottom of this form.

1. Do you or a member of your **Family** have a **Financial Interest** in any **Business** that provides funding (through a research agreement, gift, or other arrangement) for your **Research**?

Yes No

2. Do you or a member of your **Family** have a **Financial Interest** in any **Business** that:

- a. supplies drugs, devices or other goods that are the subject of your **Research**, or
- b. provides services or other deliverables in connection with your **Research**,

pursuant to a material transfer agreement, research agreement or otherwise?

Yes No

3. Do you or a member of your **Family** have a **Financial Interest** in any **Business** that owns, licenses or has any other contractual interest in a **Technology** being investigated in your **Research**?

Yes No

4. Do you or a member of your **Family** have a **Financial Interest** in any **Business** that holds a U.S. Food and Drug Administration Investigational New Drug application or Investigational Device Exemption for a **Technology** being investigated in your **Research**?

Yes No

5. Do you or a member of your **Family** have a **Financial Interest** in a medical education company, marketing partnership or other entity that acts for or on behalf of a **Business** that funds your research or otherwise fits within one of the categories identified in Questions 1-4?

Yes No

6. In addition to any interest you disclosed in response to Questions 1-5, do you or a member of your **Family** have any other **Financial Interest** that would reasonably appear to be affected by the outcome of your **Research**?

Yes No

7. If you answered YES to any of the above questions (Questions 1-6), have you assigned any student, post-doctoral fellow, trainee or other subordinate to the **Research** related to your **Financial Interest**?

Yes No

8. Do you hold an **Executive Position** in any **Business**?

Yes No

9. Do you serve on the Board of Directors or an Advisory Board of any Business?

Yes No

10. Have you participated in or influenced the University's selection of a contractor, vendor, or supplier of goods, equipment or services in or from which you or any member of your Family has or receives a Financial Interest?

[For purposes of this question 10, a Financial Interest does not include any interest in a public company held by you or your Family that in the aggregate is five percent or less of the outstanding shares.]

Yes No

11. Have you participated in or influenced any University transaction to buy, sell, lease or license real, intellectual or other property to or from any member of your Family (including yourself) or any Business in or from which you or any member of your Family has or receives a Financial Interest?

[For purposes of this question 11, a Financial Interest does not include any interest in a public company held by you or your Family that in the aggregate is five percent or less of the outstanding shares.]

Yes No

12. Have you used University facilities, equipment, clerical services, intellectual property, the services of University students or employees or the University's name to support activities unrelated to your University activities? *If yes, include the nature of the use, including the individuals involved, and any other pertinent information in your explanation.*

[For purposes of this question 12, use of University facilities and equipment does not include incidental use of your University office, office equipment, phone and supplies. "Clerical services" does not include infrequent, incidental secretarial support.]

Yes No

13. Is any member of your Family employed by the University? *If yes, provide the name of the Family member, his/her relationship to you, the position held and the school and/or department in your explanation.*

Yes No

14. Other than compensation or benefits received in connection with University employment, have you or any member of your Family received any benefit as a result of any transaction or relationship which relates to your activities for the University? *If yes, for each such benefit, include the nature of the benefit, a description of the transaction or relationship, and any other information that may be helpful in understanding the transaction or relationship in your explanation.*

Yes No

15. Do you, or does any member of your Family, have or receive a Financial Interest greater than \$10,000 in or from any Business in any way related to your clinical or teaching responsibilities at Columbia?

[For this question ONLY, remuneration requiring disclosure does NOT include reimbursement for travel expenses, if limited to payment for legitimate professional speaking and consulting engagements.]

Yes No

15a. If YES:

Does the total of the Financial Interest(s) in all Businesses disclosed in response to Question 15 exceed \$50,000 in the aggregate?

Yes No

16. Are you a member of a "Speakers' Bureau" or other list of speakers approved by a sponsoring Business or its agent to give a presentation concerning the products or services of that Business?

[If yes, please note: remuneration for these activities should be included and explained in your response to Question 15.]

Yes No

Certification/Changed Circumstances

I certify that I have read and agree to be bound by the Columbia University Policy on Financial Conflicts of Interest and Research, the Statement of University Policy on Conflicts of Interest, and the College of Physicians and Surgeons Conflict of Interest Policy on Education and Clinical Care.

I will promptly submit a revised Financial Interest Report if there are any changes in or additions to the outside interests and relationships described in this Financial Interest Report. If I am to participate in any federally funded project, I will submit such a revised form no later than the time the grant or contract proposal for such project is submitted.