Middle Tennessee State University
Significant Financial Interest Disclosure Form

Name:  Date: _____________

Title:  Banner M #: 

College/Division:  Department: 

Email:  Campus Phone: 

Describe your MTSU role(s) and responsibilities (e.g. instruction, research, service, etc.)

1. During the last 12 months, did you, your spouse and/or dependent children, alone or in combination, acquire a significant financial interest related to your institutional responsibilities meeting one or more of the follow criteria:

   • With regard to a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds $5,000.00; or,
   • With regard to a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12 month period preceding the disclosure exceeds $5,000.00; or,
   • With regard to a non-publicly traded company, is an equity interest of any value during the 12 month period preceding or as of the date of disclosure; or,
   • Is income related to intellectual property rights and interests not reimbursed through the Institution.

-OR-

2. Did you participate in reimbursed or sponsored travel related to your institutional responsibilities (NOT including travel reimbursed or sponsored by a government agency or an institution of higher education)?

   ○ NO to both questions. Your disclosure is complete. Please sign and submit this form.

   ○ YES to either question 1 or 2. Sign this form and complete a SFI Disclosure Attachment for each external entity in which there is a significant financial interest and/or for each sponsored trip and submit all forms together

I agree to abide by MTSU Policy II:01:12 Conflict of Interest for Externally Funded Projects. In submitting this form, I certify that the information provided is true to the best of my knowledge. I supply this information for review by MTSU, and for such other limited purposes as are required by law, regulation, or contract. I understand and agree that if there is a material change (an acquisition of a significant financial interest) to this information, I must submit a new disclosure and attachment within 30 days of that change.

Signature: _______________________________ Date: _____________

Please sign, scan, and submit via e-mail to myra.norman@mtsu.edu.
MIDDLE TENNESSEE STATE UNIVERSITY  
SFI DISCLOSURE ATTACHMENT

Who should complete this form?  
If you answered “yes” to either question on the MTSU SFI Disclosure Form you must complete an attachment for each entity in which you and/or your family member(s) have a significant financial interest and each sponsored trip. “Family member” is defined as your spouse and/or dependent children.

When do I complete this form?  
Complete this form at the same time as your SFI Disclosure Form. SFI Disclosures are due prior to the submission of a research proposal for federal funding and annually during the award period if funded. Please submit both forms at the same time.

Please use a separate SFI Disclosure Attachment for each external entity and sponsored travel. Additional sheets may be used if more space is needed for your responses.

<table>
<thead>
<tr>
<th>Name:</th>
<th>Disclosure Period:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(This is the previous 12 months)</td>
</tr>
</tbody>
</table>

1. Please describe your role(s) and responsibilities at MTSU:

2. What is the name of the external entity in which you and/or our family member(s) have a significant financial interest? (If more than one entity is involved, please complete a separate Attachment form for each entity)

3. Entity type:  
☐ Non-profit  
☐ For-profit (public-traded)  
☐ For-profit (non-publicly-traded)

4. What is the primary business of this entity?

5. What is the nature of the financial interest (i.e., equity, consulting fee, honorarium)?

6. What is the value of the financial interest?

☐ $0-$4,999  
☐ $5,000 - $9,999  
☐ $10,000 - $19,999  
☐ $20,000 - $99,999  
☐ $100,000 and above

7. (a) Is the financial interest derived from royalties or licensing fees?  
☐ No  ☐ Yes  
If “yes”, please describe the intellectual property to which these interests are related:

(b) Is there an MTSU licensing agreement associated with this interest?  
☐ No  ☐ Yes
8. Did you engage in reimbursed or sponsored travel?  □ No  □ Yes

If yes, what was the purpose of the trip?

Name of the sponsor/organizer:

Destination:

Duration:

9. Do you have an MTSU Management Plan in place for the financial interest with this entity?  □ No  □ Yes

I agree to abide by MTSU Policy II:01:12 Conflict of Interest for Externally Funded Projects. In submitting this form, I certify that the information provided is true to the best of my knowledge. I supply this information for review by MTSU, and for such other limited purposes as are required by law, regulation, or contract. I understand and agree that if there is a material change (an acquisition of a significant financial interest) to this information, I must submit a new disclosure and attachment within 30 days of that change.

Signature: ________________________________ Date: ________________

Please submit via e-mail to myra.norman@mtsu.edu.