

Appendix A

Examples of Significant Financial Interests

The following are examples of Significant Financial Interests that must be reported on the Statement of Significant Financial Interests Form. These examples are neither exclusive nor exhaustive of the types of significant financial interests that may be reportable under the Policy on Financial Conflict of Interest for Externally Sponsored Projects.

- Payments (e.g., stipends, honoraria) from a sponsor, directly or indirectly, for speaking engagements when the faculty or staff member knows the source of the funding for the speaking fee. In those instances where the speaking fee is received indirectly from the sponsor, the faculty or staff member should disclose who determines the content, who selects the speakers and other factors that may assist in determining whether or not a conflict of interest exists.
- Income from service on the advisory board or scientific review panel for a for-profit pharmaceutical company that exceeds \$5,000 for the previous calendar year or is expected to exceed \$5,000 over the next 12 months from the date of completing the Disclosure Form.
- Consulting fees from any sponsor (excluding service on an advisory board or scientific review panel of a government or non-profit company) that exceeds \$5,000 for the previous calendar year or is expected to exceed \$5,000 over the next 12 months from the date of completing the Disclosure Form.
- A family member's direct ownership of stock in a publicly traded company valued at over \$5,000 that may or may not be affected by the project.
- Any payment incentives (money, gifts, other items of value) above and beyond the actual costs of enrollment, conduct of the research and reporting of the results, such as finders fees, recruitment bonuses, enrollment bonus for reaching an accrual goal.
- Payments for protocol or study design that exceed \$5,000 in the previous calendar year or that are expected to exceed \$5,000 over the next 12 months.
- A right or expectation of obtaining a proprietary interest related to the project or related to any test article or device that will be used in the project, including any proprietary interests that the faculty or staff member may assign to any entity, including Santa Clara University.
- Serving as an officer or director (whether or not paid for such service) with any entity providing funds or other support to the project or in any entity that may be affected (benefited or harmed) by the results of the project (i.e., competitor, customer, collaborator or affiliate of a commercial sponsor).

- Planning to use project funds to purchase items or services from an entity in which the faculty or staff member or a family member has an interest (stock, stock options, employment, or partnership).
- Holding any partnership interest in an entity that may be impacted (detriment or benefit) by the proposed project.
- For a publicly traded entity, the total compensation includes salary and any payment for services (consulting fees, paid authorship, etc) and equity interest (stock, stock option, or other ownership interest) received in the twelve months preceding the date of disclosure exceeds \$5,000.
- For a non-publicly traded entity, compensation includes salary and any payment for services received in twelve months preceding the date of disclosure exceeds \$5,000 or holding any equity interest by faculty or staff member or family (spouse or dependent children).
- Receiving payment related to intellectual property rights and interests exceeding \$5000.