

**Attachment D:  
PHS-Specific Confidential General Disclosure Form  
(OP 74.17D PHS-Specific Confidential General Disclosure of Either Significant or No Significant Business or Financial Interests in Any External Entity)**

This form is to be used to disclose significant business or financial interests that reasonably appear to be related to your institutional responsibilities as required by OP 74.17.

Faculty/Staff Name \_\_\_\_\_ Fiscal Year \_\_\_\_\_  Retroactive  
 Department/Unit \_\_\_\_\_ Rank \_\_\_\_\_  
 College/Unit \_\_\_\_\_

**I and my family members, defined as a spouse and dependent relatives or household members, as it reasonably appears to be related to my institutional responsibilities,:**

- did  did not receive remuneration in excess of \$5,000, or its value, from a publicly-traded entity (a company whose stock is available for purchase by the general public) during the past 12 months. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship).
- did  did not hold an equity interest valued in excess of \$5,000 in a publicly-traded entity at the time of disclosure.
- did  did not receive an aggregate of the above two items (remuneration and equity interest) that exceeds \$5,000 in value.
- did  did not receive any amount of equity (stock, stock options, or other ownership interest) in a non-publicly traded entity (such as a start-up company).
- did  did not receive compensation that exceeds \$5,000 from a non-publicly traded entity in the past 12 months.
- did  did not receive income related to intellectual property rights paid by any source other than Texas Tech University, or, if I am a subrecipient, my current institution.
- did  did not receive reimbursed or sponsored travel in excess of \$5,000 paid by an entity, including non-profit organizations, but excluding the following: government agencies, U.S. institutions of higher education and related research institutes, medical centers, and academic teaching hospitals.
- do  do not hold an equity interest that represents more than 5 percent ownership in an external entity that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor.
- do  do not serve as a member of an external entity's governing board in the capacity of a director, advisory director, trustee, or similar governance office.
- do  do not have other significant business or financial interests that possibly could affect, or be perceived to affect, the results of the research or educational activities performed by me as a part of a sponsored project.
- do  do not have other significant business or financial interests that possibly could affect, be perceived to affect, or have the appearance of affecting the results of the research or educational activities performed by me as a member of Texas Tech University.

**I agree to update this request and disclosure on an annual basis AND at any time there is a change in the information reported.**

Signature of Investigator (Original signature only; a "per" signature is not acceptable.)

Date

Signature of AVPR (Original signature only; a "per" signature is not acceptable.)

Date

**If only negative statements are checked above, no further information is required.**

**If any positive statement is checked, complete an "Attachment E: PHS-Specific Detailed Disclosure Form" to identify each entity and the relationship(s) disclosed above, and attach to this form.**

**Hard copy forms are no longer accepted. The electronic system will route the information to the appropriate individuals (unit heads, designated officials, and then AVPR) for approval.**