

# Significant Financial Interest (SFI) Disclosure

Please type or print information clearly

**PART I: Employee Information and Disclosure:** Provide employee information, indicate if this is a new disclosure or a change, and indicate if you have an SFI to disclose.

1. First Name	2. Middle Initial	3. Last Name	4. Telephone Number	5. Directorate/Department	6. Reporting Status: <input type="checkbox"/> New / Annual submission <input type="checkbox"/> Change in current SFI status
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## Assets and Sources of Earned Income

Identify for yourself, your spouse, and/or dependent children: (1) assets with a fair market value of \$5,000 or more at the date of the reporting period; and (2) sources of earned income that generated more than \$5,000 in income during the reporting period. For additional information, please refer to page 2 of this form and Standard Process (SP) I001/Financial Conflicts of Interest.

7. Disclosure Status:  
 I **do not** have any assets, earned income sources, or non-FNL-sponsored travel requiring disclosure in accordance with SP I001 (skip Parts II and III, and certify in Part IV)  
 I **do hereby** disclose the following assets, earned income sources, or non-FNL-sponsored travel (complete Parts II and III as necessary, and certify in Part IV)

**PART II: Sources of SFI:** Refer to page 2 of this form and SP I001 for a complete listing of reportable SFIs.

8. Name of SFI source(s)	9. SFI recipient (employee, spouse, or dependent child, or combination)	10. SFI type (salary, consulting fees, honoraria, royalties, stock, etc.)	Approximate dollar range of the SFI		
			11. \$5,000–\$19,999, in increments of \$5,000 (e.g., \$5,000 to \$10,000)	12. \$20,000–\$99,999, in increments of \$20,000	13. \$100,000 and above, in increments of \$50,000

**PART III: Non-FNL-Sponsored Travel:** Include the identity of the sponsor, destination, duration, and purpose of the trip.

14. Travel Sponsor	15. Destination	16. Duration	17. Purpose

## PART IV: Employee Certification

By my signature, I certify that I have read and understand SP I001 and that the statements I have provided on this form are true, complete, and accurate to the best of my knowledge. I further acknowledge my duty to update any required changes to the disclosed SFIs or newly acquired SFIs in accordance with SP I001.

18. Signature	19. Employee Number	20. Date
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## Significant Financial Interest (SFI) Guidance

**NOTE: Refer to SP I001/Financial Conflicts of Interest for a complete listing of SFIs and other important information related to the certification you are providing.**

A Significant Financial Interest (SFI) is defined as a financial interest consisting of one or more of the following enumerated interests of the employee (and those of the employee's spouse and/or dependent children) that reasonably appears to be related to the employee's institutional responsibilities; that would reasonably appear to be affected by Operations and Technical Support (OTS) contract-related research or by other FNL activities; that relates to entities whose financial interests would reasonably appear to be affected by OTS-related research or by other FNL activities; that is with entities that conduct business or collaborate with FNL; or that is with entities that conduct business similar to the business conducted by FNL.

SFIs include the following:

1. All salaries, royalties, or other remuneration from non-FNL sources;
2. All income from seminars, lectures, or teaching engagements sponsored by for-profit entities;
3. All income from advisory committees or review panels of for-profit entities;
4. An equity interest that, when aggregated for the employee, his/her spouse, and/or dependent children, is equal to or greater than \$5,000 as determined through reference to public prices, fair market value, or a greater-than-5% ownership interest in a single entity;
5. Any remuneration received from a non-publically traded entity when the employee holds any equity interest—there is no minimum threshold for this requirement
6. Salary, royalties, or other payments that, when aggregated for the employee, his/her spouse, and/or dependent children, are equal to or greater than \$5,000 in a 12-month period;
7. Income related to intellectual property rights and interests (e.g., patents and copyrights) not assigned to FNL or the government, and agreements to share in royalties in such rights, including agreements for which you have not yet received income;
8. Any travel related to FNL responsibilities and paid for by another entity—there is no minimum threshold for this requirement.

SFIs **do not** include the following:

1. Salary, royalties, or other remuneration from FNL;
2. Any ownership interests in the FNL contractor;
3. Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education;
4. Income from investment vehicles, such as mutual funds, so long as the employee does not directly control the investment decisions made in these vehicles; and
5. Income from advisory committees or review panels for a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

## Significant Financial Interest (SFI) Disclosure – Instructions

1. Enter your first name (do not use a nickname).
2. Enter your middle initial. If you do not have a middle initial, enter NA.
3. Enter your last name.
4. Enter your telephone number.
5. Enter the name of the directorate or department in which you work. If you do not work within a laboratory or department, enter NA.
6. Check the appropriate box to indicate why the form is being submitted for review.
7. Check the appropriate box to indicate your disclosure status.
8. Identify the SFI source(s).
9. Identify the SFI recipient (employee, spouse, or dependent child, or combination).
10. Identify as salary, consulting fees, honoraria, royalties, stock, or other forms of SFI.
11. Enter dollar amount of the SFI in increments of \$5,000, up to \$19,999.
12. Enter dollar amount of the SFI in increments of \$20,000, up to \$99,999.
13. Enter dollar amount of the SFI in increments of \$50,000, over \$100,000.
14. Identify travel sponsor.
15. Identify destination travel.
16. Identify duration of travel.
17. Identify purpose of travel.
18. Enter your signature.
19. Enter your FNL employee number.
20. Enter the date you signed the form (mm/dd/yyyy).