To get started: Click on the "Edit" button to the left, under "My Current Actions".
Dear Faculty and Other Investigators:

Welcome to NYU’s Annual Disclosure and Research Conflict of Interest system. This integrated system implements the University Policy on Academic Conflict of Interest and Conflict of Commitment, which can be found in the Faculty Handbook.

As per the Policy, "in undertaking activities as a part of a primary commitment to NYU or in outside endeavors, a divergence can occur between the personal interests of a Faculty member or an Investigator and his or her professional obligations to NYU, in which case a conflict of commitment or conflict of interest can arise. The purpose of this policy, including the Addendum on Conflicts of Interest in Research and Other Sponsored Projects, is to assist the faculty in determining whether and to what extent outside activities may conflict with the faculty's primary commitment to teaching, research and collegial responsibilities; to educate faculty and other Investigators about situations that generate the potential for conflicts of interest or conflicts of commitment; to clarify expectations about disclosing interests and activities that might result in conflicts; to identify means to manage, reduce or eliminate such conflicts; and to promote the best interests of student and others whose work depends on the direction of faculty and Investigators."

The Policy’s Addendum on Conflicts of Interest in Research and Other Sponsored Projects particularly addresses conflicts of interest and commitment that could directly and significantly affect the design, conduct or reporting of a specific Research or Other Sponsored Project. The Addendum was designed to meet NYU’s obligations to maintain a policy on financial conflicts of interest in research funded by federal and other sponsoring agencies (including, but not limited to the Public Health Service of the U.S. Department of Health and Human Services and the National Science Foundation). Keep in mind that faculty and Other Investigators conducting research are to disclose interests related to their Institutional Responsibilities, defined as those professional responsibilities on behalf of NYU, including research, research consultation, teaching, professional practice, institutional committee memberships and service on panels such as institutional review boards or data and safety monitoring boards.

In addition to your Chair or Dean, the following individuals are available to help you through this process and answer any questions you may have.

Questions about the Annual Disclosure process may be addressed to Peter Gonzalez, Assistant Provost for Academic Appointments at peter.gonzalez@nyu.edu or (212) 998-2275.

Questions about disclosures related to research in particular should be addressed to Marti Dunne, Associate Vice Provost for Research Compliance and Administration at marti.dunne@nyu.edu or (212) 998-2115.

Questions related to the Policy can be addressed to Carrie Trowbridge, Associate General Counsel at carrie.trowbridge@nyu.edu or (212) 998-2242.

We look forward to your feedback.
Annual Certification: Welcome (Part 2)

Non-financial Interests:
- Time spent by you on outside activities during the reporting period and while receiving compensation from NYU.
- You or immediate Family Members’ Executive, Managerial, or Fiduciary Responsibilities to a Public or Private Entity. For purposes of reporting for immediate family members, only report immediate family members executive, managerial, or fiduciary responsibilities in a public or private entity that does or seeks to do business with NYU.
- Any other activities or interests that could constitute an actual or potential conflict of interest or a conflict of commitment under the policy (including situations where you may have received NYU approval for the activity or the interest).

Applicable to all Investigators conducting research (sponsored and non-sponsored): The following additional information is required in the disclosure process in order for faculty and other Investigators to meet the requirements of NYU’s Addendum on the conduct of research:

- Disclosure of research involving human subjects with more than minimal risk
- Disclosure of pre-clinical research (ie. research reasonably anticipated to contribute to an FDA application for research involving human subjects within the next twelve months)

Additional requirements for Investigators submitting a proposal to or serving as an Investigator on an award from an agency of the Public Health Service (or other sponsors adopting the PHS regulations) or National Science Foundation: Qualifying criteria as well as differences in reporting periods have been incorporated, into the system in order for you to comply with NYU’s Addendum regarding the disclosure of financial interests that could directly and significantly affect the design, conduct or reporting of PHS or NSF supported projects and to ensure NYU meets the regulatory compliance obligations for the identification, reporting and management of significant financial conflicts of interest in research funded by federal and other sponsoring agencies (including, but not limited to, the Public Health Service of the U.S. Department of Health and Human Services and the National Science Foundation).

The following category of interest must be reported by Investigators **only for and concurrent with the submission of a proposal to a PHS agency and other sponsors adopting the PHS regulations on conflict of interest**:

- Reimbursed or Sponsored Travel: any reimbursed or sponsored travel (i.e. that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available) related to institutional responsibilities, when aggregated with other financial interests exceeds $5,000 per entity in the 12 months prior to disclosure must be reported. Travel reimbursed or sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education need NOT be disclosed.

This will take you back to the Annual Disclosure Certification Status page

Once reading is completed, click on “Continue”
Annual Certification for Clifford Brown: General Information

As an NYU faculty member or Investigator, you are subject to the NYU Policy on Academic Conflict of Interest and Conflict of Commitment (the “Policy”). It is your obligation to be familiar with this Policy.

Pursuant to the Policy, NYU faculty members and Investigators must complete an Annual Disclosure each year. Except where otherwise indicated, the reporting period for this disclosure is June 1 through May 31.

Throughout this Disclosure, terms that are used and terms that are defined in the Policy appear underlined. Click on the underlined words to access their definitions, and in the case of the term “Policy,” to access the entire Policy.

If a faculty member or other Investigator has a question about whether an activity or interest constitutes a Conflict of Interest or whether an activity constitutes a Conflict of Commitment, the faculty member or other Investigator should seek guidance from his or her Dean. If there is any reasonable doubt as to whether the activity or interest should be disclosed, the faculty member or other Investigator should disclose it here.

Please answer the following questions to the best of your knowledge for the reporting period June 1, 2013 to May 31, 2014.

1. Does any Immediate Family Member receiving Remuneration from NYU report to you, either directly or indirectly? 
   - Yes
   - No
   - Clear

2. With respect to all Outside Activities, did you devote, or do you expect to devote, on average more than one day per seven-day week (or the equivalent of an eight-hour work day) to Outside Activities during any semester in the Reporting Period or during any summer months in the Reporting period in which you earned compensation from NYU? 
   - Yes
   - No
   - Clear

3. Did you, do you, or do you plan to serve as an Investigator at NYU? 
   - Yes
   - No
   - Clear

3a. Are you receiving or do you anticipate receiving, or do you plan to apply for funding from the Public Health Service (PHS) or any other entity that has adopted the PHS regulations on conflict of interest? 
   - Yes
   - No
   - Clear

For further clarification, click on the “?” in the blue circle.

Once you have completed this section, click “Continue.”
Annual Certification for Clifford Brown: Outside Activities and/or Interests

1. * If any of the following apply, you must select yes. For an explanation of what is reportable please click on the blue question mark below.
   - Did you engage in, or do you expect to engage in, any paid or unpaid Outside Activities?
   - Did any Immediate Family Members have, or do you expect to have executive, managerial, or fiduciary responsibilities?
   - Did you or any Immediate Family Members have any Ownership Interests?
   - Did you receive or do you expect to receive Royalty Income exceeding $1,000?
   - Did you or any Immediate Family Members accept a loan (other than a loan from NYU or a loan made in the ordinary course of business from a banking or other financial institution), or a gift or favor of more than nominal value?

Select here for more details.

NOTE: If you select “Yes”, you will be asked to provide details by entity.
- Yes
- No
- Clear

2. * With respect to any Outside Activity in which you are or expect to be engaged, are you subject to the terms of a pre-existing non-disclosure agreement that prohibits you from making disclosures to NYU regarding the Outside Activity?

NOTE: Entering into new agreements that prevent disclosure to NYU is prohibited under the Policy, so please consult your Dean before agreeing to any non-disclosure provisions.

- Yes
- No
- Clear

2a. Describe the activity covered by the pre-existing Non-Disclosure Agreement/Confidentiality Disclosure Agreement:

Once you have completed this section, click “Continue.”
Annual Certification for Clifford Brown: Disclosure Details for Outside Activities and/or Interests

Below please select Add Disclosure to identify the entity in which you have an Outside Activity or interest to disclose. For each Outside Activity in which you are or were engaged, you will be asked for a description of the activity, your role, whether the responsibilities are ongoing or the time period during which the responsibilities were, are, or are expected to be held, and the amount received for the Outside Activity. You will also be asked to provide details about other interests in the entity.

If the Outside Activity and/or interest has not previously been disclosed, click on the "Add Disclosure" button.

If the Outside Activity and/or interest has been previously disclosed and you have changes to make to the details provided about the Outside Activity and/or interest, click on the "Modify" link next to the specific disclosure you wish to update.

If the Outside Activity and/or interest is no longer active (e.g., a consulting arrangement that you are no longer engaged in), click on the "Remove" link to the right of the disclosure.

---

<table>
<thead>
<tr>
<th>1. Disclosures Under Review:</th>
</tr>
</thead>
<tbody>
<tr>
<td>View/Edit</td>
</tr>
<tr>
<td>There are no items to display</td>
</tr>
</tbody>
</table>

---

<table>
<thead>
<tr>
<th>2. Previously Reviewed Disclosures (click 'Modify' to enable editing):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modify</td>
</tr>
<tr>
<td>There are no items to display</td>
</tr>
</tbody>
</table>
Select the external organization this disclosure is for:

If you are unable to find the organization, please enter as text below:

Click "Select" for a list of organizations.

Clicking "Add Disclosure" will bring you to this Pop Up

Start typing the name of the organization for this disclosure. When the name appears in the drop down section, click on it.
Select an organization by clicking on the circle next to the name of the organization.

Once you have selected an organization, click "OK"
Create New Disclosure

Select the external organization this disclosure is for:
Academy for Software Engineering  Select...  Clear

If you are unable to find the organization, please enter as text below:

If the organization you are looking for is not listed, enter its name here.

Once the organization has been identified, click “OK”
Disclosure for Clifford Brown: Outside Activities and Interests for you and your Immediate Family Members

Please identify the entity by hitting the select button below:

External Entity: Academy for Software Engineering

If you cannot find the entity in the above list, enter the name as text here:

1. Which of the following Outside Activities and/or interests did you or do you have with the above referenced entity during the reporting period?

<table>
<thead>
<tr>
<th>Activity or Interest</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment/Management/Fiduciary Role</td>
<td>Employment/Management/Fiduciary Role means a position involving service, in either a personal or representative capacity, as an employee, executive, manager, officer, director, trustee, or equivalent in a business, enterprise or entity other than NYU or an entity that is 50% or more owned or controlled by NYU.</td>
</tr>
<tr>
<td>Ownership interest (stock, LLC interests, partnership interests, options, etc.)</td>
<td>Ownership interest means holding a financial or equity ownership interest in a business or entity, including stock, stock option, warrant, convertible debt, partnership interest, or LLP/LLC interest, or other ownership interest or right to obtain an ownership interest. The value of an Ownership Interest is determined through reference to public prices or other reasonable measures of fair market value where public prices are not available.</td>
</tr>
</tbody>
</table>

NOTE: Report only if you hold, or expect to hold any Ownership Interests (such as stock, stock options, warrants, partnership and LLP interests) in:

1) Other than Publicly Traded Stock or Mutual Funds where you have a direct or indirect Ownership Interest and the entity does or seeks to do business with NYU or competes or seeks to compete with NYU OR

2) Publicly Traded Stock or Mutual Funds where you have a direct or indirect ownership interest in (a) publicly traded stock where the collective interest exceeded or will exceed either $5,000 or a 5% interest in any class of the company's stocks or shares, or (b) mutual funds where you either (1) control the fund, or (2) hold an interest that exceeds $5,000 AND is at least a 15% direct or indirect interest in the fund, IF:
   - The entity competes with or seeks to compete with NYU (e.g. a for-profit company in the online education space or a biomedical company seeking to develop a drug being developed at NYU) OR
   - Your Immediate Family Member(s) have or may have involvement in the decision of NYU to do business with the company (e.g. involvement in a decision by NYU to use Verizon as its telephone service provider).
2. Did any Immediate family members have or do they expect to have the following?

<table>
<thead>
<tr>
<th>Activity or Interest</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment/Management/Fiduciary Role</td>
<td>means a position involving service as an employee, executive, manager, officer, director, trustee, or equivalent in an organization or to an entity where over 50% of the company is owned or controlled by NYU. Secure only if your immediate family member has or expects to have executive, managerial, or fiduciary responsibilities in a public or private entity that does or seeks to do business with NYU.</td>
</tr>
<tr>
<td>Ownership interest (stock, LLC interest, partnership interest, options, etc.)</td>
<td>Ownership interest means holding a financial or equity ownership interest in a business or entity, including stock, stock option, warrant, convertible debt, partnership interest, or LLP/LLC interest, or other ownership interest or right to obtain an ownership interest. The value of an Ownership Interest is determined through reference to public prices or other reasonable measures of fair market value where public prices are not available. Secure only if your immediate family member(s) hold, or they expect to hold any Ownership Interests (such as stock, stock options, warrants, partnership, and LLP interests) in:</td>
</tr>
<tr>
<td>Loans, Favors, or Gifts</td>
<td>Loans/Gifts/Favors</td>
</tr>
</tbody>
</table>

**NOTE:** Disclose only if your immediate family member has or expects to have executive, managerial, or fiduciary responsibilities in a public or private entity that does or seeks to do business with NYU.

Once you have completed this section, click "Continue."
Disclosure for Academy for Software Engineering : Employment/Management/Fiduciary Role

1. *Details:

   Add

   Relationship: 
   Role(s): 
   Value: 
   Ongoing?: 
   From Date: 
   To Date: 

   There are no items to display

Click "Add" to provide details of your relationship with the organization associated with this disclosure.

This will take you back to the previous page.
Clicking "Add" will bring you to this Pop Up.

Answer the following questions

* Relationship:
  Self

* Please define your role and provide a description of the Outside Activity for this entity.

Indicate that the responsibilities are ongoing: ☐

- OR -
Indicate the time period during which the responsibilities were, are, or are expected to be held:

From Date: 
To Date: 

Please enter the amount of remuneration that you received from this entity.

Is the role described above related to your Institutional Responsibilities at NYU?
☐ Yes  ☐ No  ☐ Clear

In the course of your research and scholarship, are you involved in any Research and Other Sponsored Activities?
Indicate that the responsibilities are ongoing: 
- OR -
Indicate the time period during which the responsibilities were, are, or are expected to be held:

From Date: 04/30/2014
To Date: 04/30/2015

Please enter the amount of remuneration that you received from this entity:
100

Is the role described above related to your Institutional Responsibilities at NYU?
- Yes  - No  - Clear

In the course of your research and scholarship, are you involved in any Research and Other Sponsored Projects, whether or not externally funded that could affect this entity?
- Yes  - No  - Clear

Once you have filled in all of the required fields, click "OK"
Disclosure for Academy for Software Engineering: Employment/Management/Fiduciary Role

<table>
<thead>
<tr>
<th>Relationship</th>
<th>Role(s)</th>
<th>Value</th>
<th>Ongoing?</th>
<th>From Date</th>
<th>To Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self</td>
<td>Role</td>
<td>$100.00</td>
<td>no</td>
<td>4/30/2014</td>
<td>4/30/2015</td>
</tr>
</tbody>
</table>

You have the option to update.

You have the option to delete.

Once you have finished entering the details for this entity, click "Continue"
Disclosure for Clifford Brown in Academy for Software Engineering: Disclosure Summary

<table>
<thead>
<tr>
<th>Compensation Type</th>
<th>Dollar Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment/Management/Fiduciary Role</td>
<td>$100.00</td>
</tr>
<tr>
<td>Ownership Interest-Stock/Partnership Shares</td>
<td></td>
</tr>
<tr>
<td>Consulting</td>
<td></td>
</tr>
<tr>
<td>Royalty Income &amp; IP</td>
<td></td>
</tr>
<tr>
<td>Advisory Board</td>
<td></td>
</tr>
<tr>
<td>Speaking or Honoraria</td>
<td></td>
</tr>
<tr>
<td>Board of Directors Compensation</td>
<td></td>
</tr>
<tr>
<td>Editorial Compensation</td>
<td></td>
</tr>
<tr>
<td><strong>Cumulative Compensation</strong></td>
<td><strong>$100.00</strong></td>
</tr>
</tbody>
</table>

If the information in this summary is correct, click "Finish".

This summary provides a breakdown of the information you have given regarding your disclosure for this entity.
Annual Certification for Clifford Brown : Disclosure Details for Outside Activities and/or Interests

Below please select Add Disclosure to identify the entity in which you have an **Outside Activity** or interest to disclose. For each **Outside Activity** in which you are or were engaged, you will be asked for a description of the activity, your role, whether the responsibilities are ongoing or the time period during which the responsibilities were, are, or are expected to be held, and the amount received for the **Outside Activity**. You will also be asked to provide details about other interests in the entity.

If the **Outside Activity** and/or interest has not previously been disclosed, click on the "Add Disclosure" button.

If the **Outside Activity** and/or interest has been previously disclosed and you have changes to make to the details provided about the **Outside Activity** and/or interest, click on the "Modify" link next to the specific disclosure you wish to update.

If the **Outside Activity** and/or interest is no longer active (e.g., a consulting arrangement that you are no longer engaged in), click on the "Remove" link to the right of the disclosure.

### 1. Disclosures Under Review:

<table>
<thead>
<tr>
<th>View/Edit</th>
<th>Organization</th>
<th>Is Public Company</th>
<th>Relationships Disclosure Types</th>
<th>Total Value</th>
<th>Last Updated</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Edit</td>
<td>Academy for Software Engineering</td>
<td>No</td>
<td>none specified Employment/Management/Fiduciary Role</td>
<td>$100.00</td>
<td>4/30/2014 11:41 AM</td>
<td></td>
</tr>
</tbody>
</table>

### 2. Previously Reviewed Disclosures (click ‘Modify’ to enable editing):

There are no items to display.

---

You can edit your current disclosures.

Your current disclosures are located here.

You can remove your current disclosures.

When you are finished modifying your disclosures, click "Continue"
Annual Certification for Clifford Brown: Additional Information

Here is the place you may enter additional information about any other activities or interests that could constitute an actual or potential conflict of interest or a conflict of commitment under the Policy (including situations where you may have received NYU approval for the activity or the interest).

1. Did you or any Immediate Family Members engage in any activities or hold any interests that could constitute an actual or potential Conflict of Interest or a Conflict of Commitment under the Policy that has not been reported elsewhere in this disclosure?
   - Yes
   - No
   - Clear

2. Please upload any documents either required or that you may wish to include in order to facilitate the review process regarding Outside Activities for, or interests in, any of the entities for which you have submitted disclosures.

   Upload the appropriate documents by clicking "Add".

   Once you have completed this section, click "Continue."
Annual Certification for Clifford Brown: CERTIFICATIONS

- I hereby certify that the information contained in this disclosure is complete and true to the best of my knowledge and that I have read and am in compliance with New York University’s Policy on Academic Conflict of Interest and Conflict of Commitment.
- I further acknowledge my ongoing obligation to disclose to my Chair Person and/or Dean through this system any new activity or interest that may represent an actual or potential Conflict of Interest or Conflict of Commitment under the Policy.

Disclosures Under Review:

<table>
<thead>
<tr>
<th>Organization</th>
<th>Disclosure Type(s)</th>
<th>Total Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academy for Software Engineering</td>
<td>Employment/Management/Fiduciary Role</td>
<td>$100.00</td>
</tr>
</tbody>
</table>

Reviewed Disclosures:

<table>
<thead>
<tr>
<th>Organization</th>
<th>Disclosure Type(s)</th>
<th>Total Value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Saving for future editing and/or submittal:** To **SAVE** this information for future editing and/or submittal, make sure that the check box below is not selected and click “Save” on either the top or bottom of your screen and close your browser window. Please note that the Disclosure Certification will remain in a **DRAFT** status.

**Submitting your Disclosure Certification:**

To successfully submit your Disclosure Certification you **MUST SELECT** the **CHECK BOX** below, affirming that your disclosures are ready for review, and select the **FINISH** button located on the bottom right hand side of this page. If the submission was successful, the status of the disclosure will change from draft to Dean Review or No Review Required.

- [ ] My disclosures are up-to-date and accurate and I confirm that I understand and agree with the above statements.

If you are confident that the information you have provided is correct and up-to-date, check this box.

Once you have completed this section, click “Finish.”
Congratulations, you have successfully completed your Annual Disclosure Certification.