

### Disclosure of Relevant Financial Relationships

As a qualified Provider Led Entity (PLE) for development or modification of Appropriate Use Criteria for CMS (AUC), Duke Health must identify potential conflicts of interest between individuals participating in the AUC development or modification process and companies or organizations that may financially benefit from the AUC. **PLEASE NOTE: to comply with CMS requirements, you must provide this information before participating in this AUC development or modification activity.** The information provided will be disclosed upon public request within the next five (5) years.

**NAME, CREDENTIALS:** \_\_\_\_\_

**TITLE OF AUC:** \_\_\_\_\_

**DATES OF AUC ACTIVITY:** \_\_\_\_\_

**FINANCIAL RELATIONSHIPS:**

**First**, list the *direct or indirect financial relationships* (see “Glossary of Terms” on page 2 for definition) which you or your spouse/partner, or minor children have, or have had, within the past 12 months. **For this purpose, we consider the relevant financial relationships of your spouse or partner, or minor children that you are aware of, to be yours.**

**Second**, describe what you or your spouse/partner received (ex: salary, fee, research grant, etc.).

**Third**, describe your role.

*(List all that apply; attach additional pages if needed)*

Direct or Indirect Financial Relationship	Nature of Relevant Financial Relationship	
	What was received/By Whom	For What Role?
<i>SAMPLE: ABC Company</i>	<i>Honorarium/Self</i>	<i>Speaker</i>

I do not have any relevant direct or indirect financial relationships

**OWNERSHIP OR INVESTMENT INTEREST:**

**First**, list the ownership or investment interests (see “Glossary of Terms” on page 2 for definition) which you or your spouse/partner, or minor children have, or have had, within the past 12 months. **For this purpose, we consider the relevant ownership or investment interest of your spouse or partner, or minor children that you are aware of, to be yours.**

**Second**, describe what you or your spouse/partner received (ex: salary, fee, research grant, etc).

**Third**, describe your role.

(List all that apply; attach additional pages if needed)

Ownership or Investment Interest	Nature of Relevant Ownership or Investment Interest
<i>SAMPLE: ABC Company</i>	<i>Stock ownership</i>
<input data-bbox="94 537 175 598" type="checkbox"/> I do not have any relevant ownership or investment interests.	

I certify that the above relationships are true and complete.

**Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Example terminology**

**What was received:** Salary, royalty, intellectual property rights research grant, consulting fee, speaker fee, ownership interest (e.g., stocks, stock options or other ownership interest, excluding diversified mutual funds), or other financial benefit.

**Role(s):** Employment, management position, independent contractor (including contracted research), consulting, speaking and teaching, membership on advisory committees or review panels, board membership, and other activities (please specify).

# Glossary of Terms

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## Direct or Indirect Financial relationships

Direct or indirect financial relationships are those that exist between individuals or the spouse or minor child of individuals who have substantively participated in the development of AUC and companies or organizations including the PLE and any other party participating in the development or modification that may financially benefit from the AUC. For example, a party that may financially benefit includes any entity producing, marketing, re-selling, or distributing health care goods or services, used on, or consumed by, patients. This does not include providers of clinical service directly to patients to be commercial interests. Financial benefits are usually associated with roles such as employment, management position, independent contractor (including contracted research), consulting, speaking and teaching, membership on advisory committees or review panels, board membership, and other activities from which remuneration is received, or expected and include, but are not limited to salary, royalty, intellectual property rights, consulting fee, honoraria, ownership interest (e.g., stocks, stock options or other ownership interest, excluding diversified mutual funds), or other financial benefit. Financial relationships for an individual engaged in AUC development or endorsement includes relationships of that individual, as well as their spouse and minor children.

## Relevant financial relationships

This disclosure focuses on direct or indirect financial relationships in the 12-month period preceding the time that the individual is being asked to assume a role in AUC development or modification. CMS has not set a minimal dollar amount for relationships to be significant. Inherent in any amount is the incentive to maintain or increase the value of the relationship. The definition of “relevant” financial relationships” is financial relationships in any amount occurring within the past 12 months that create a conflict of interest.

## Conflict of Interest

Circumstances create a conflict of interest when an individual has an opportunity to affect AUC content about products or services of a commercial interest with which he/she has a financial relationship.

*If you have questions regarding this form, please contact:*

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