

Financial Disclosure Addendum for PHS-Funded Research (Form 520)

Financial Interests Related to PHS Funded Research Project - Please type your responses in the form.

I. Investigator Information

Disclosing Individual:	
Department:	Academic Title:
Principal Investigator:	Proposal Number:
Project Title:	

II. Outside Entity (A separate addendum form is required for each entity)

Name of Outside Entity:	Entity's Address:
Principal Business of Entity:	

III. Significant Financial Interests - Income

1. If you, your spouse or dependent child(ren) received *consulting income* from the Entity, please specifically describe the nature of your consulting activities or services. (If consulting income exceeded \$10,000 within the last 12 months, please attach a copy of the consulting agreement.)
2. If you, your spouse or dependent child(ren) received other income or payment for services from the Entity, please describe the services for which it was received.

IV. Relationship with Entity

Impact on Financial Interests

3. Does the PHS-funded research project listed above involve testing of any drugs or devices or the development of a product or service?
 NO
 YES – if yes, please explain:
4. Does, or will, the Entity manufacture or commercialize any device, procedure, drug, vaccine or any other product that is associated with or that will predictably result from the PHS-funded research project listed above?
 NO
 YES – if yes, please explain:
5. Is it reasonable to anticipate that the Entity could be affected by the PHS-funded research project listed above?
 NO – if no, please explain:

 YES – if yes, please explain:

Separation of University and Outside Interests

6. The following questions are designed to address the Promoting Research Objectivity Committee's concerns that the researcher's financial interests do not compromise or appear to compromise his/her objectivity in performing a research project.
 - a) State your specific role on the project.
 - b) How will you keep your interests and obligations to the Entity separate from your University activities associated with the PHS-funded research project listed above? Responses could include examples of a clear division of the Entity's goals and business interests and the aims of the PHS funded research project listed above.
 - c) Are there any additional mitigating factors? Check all that apply:
 Remove yourself as the Principal Investigator (Provide details)
 Non-conflicted Investigators collect data and perform data analyses (Provide details)

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- Entity is a large company with products unrelated to this research (Provide details)
- Entity is one of at least several involved in the research project (Provide details)
- Double-blinded study
- Randomized study
- Other: _____
- None of the above (Provide details)

7. Is the Entity providing any of the following for use in the PHS-funded research project listed above? (check all that apply)

- Proprietary data Test material, research tools or drugs Equipment or devices
- Entity's facility Entity's personnel None

V. Openness of Teaching and Research Environment

8. Are there any undergraduate, graduate or postdoctoral students involved in the PHS-funded research project listed above?

- NO – if no, please skip to question 11.
- YES – if yes, please explain in what capacity:

9. Are you the advisor to any of these students?

- NO
- YES

10. Are there any constraints or restrictions imposed on the reporting of student work?

- NO
- YES – if yes, please explain:

VI. Licensing

11. Do you, your spouse or dependent child(ren) have an inventive or ownership interest in any intellectual property that will be utilized in the PHS-funded research project listed above?

- NO – if no, please skip to question 13.
- YES – if yes, provide a brief non-technical description of the intellectual property involved:

12. Please identify the owner of the intellectual property to be utilized in the project:

- Self The Regents of the University of California
- Other (Identify):

13. Does the Entity hold rights to a pending application or issued patent to an invention, license right, or copyright for software of yours, your spouse or dependent children?

- NO
- YES, the license is from the University
- YES, and the application, patent, license or copyright does not involve University owned intellectual property

14. Please list any previous and pending patents and any recently submitted disclosure of inventions of yours. You may attach your response. See attached.

VII. Verification

I certify under penalty of perjury that this is a complete disclosure of all significant financial interests from this entity related to the specified project and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above project. Please note electronic or scanned signatures are acceptable; inserting a jpeg of the signature is also acceptable.

Signature: _____

Date: _____

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The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Research and Economic Development Office.