

Addendum to Investigator's Positive 700-U and NSF 925
Disclosure of Economic Interests
University of California, Riverside

UCR COI Disclosure # _____
(Assigned and completed by ORI administration)

PLEASE NOTE THAT ONLY TYPED FORMS WILL BE ACCEPTED

Principal Investigator Name:	
Department:	Title:
Email:	Phone:
Research Project Title:	
Proposal / Grant #:	
Disclosing Individual (if different from Principal Investigator):	

Click on box or (boxes) to indicate selection

Disclosure Type:

- Non-Governmental Sponsor (please specify if Contract, Grant, Clinical Trial, Other:)
- Federal Sponsor (please specify if NSF, Subcontract from NSF, CIRM, Other:)
- UC Discovery Grant
- Other (please list name):

I. Related Entity in Which You Have a Financial Interest
A Separate Addendum Is Required For Each Entity

Name of Entity (Company in Which You Have a Financial Interest):
Entity's Address and phone number:
Entity's Website:
Principal Business of Entity:

II. Description of Financial Interests

A. Position

1. Do you, your spouse or registered domestic partner, or dependent child(ren) hold a management position with the Entity (the Company listed above)? Examples include, but are not limited to director, owner, officer, or partner.
 - NO
 - YESIf yes, indicate position and responsibilities:

2. Do you, your spouse or registered domestic partner, or dependent child(ren) hold any other type of position with the Entity (the Company listed above)? Examples include, but are not limited to employee, board member, trustee, scientific advisor, or consultant.

NO

YES

If yes, indicate position and responsibilities:

B. Income

3. Have you or your spouse, registered domestic partner, or dependent child(ren) received income from the Entity in the past 12 months?

NO

YES – if yes, indicate:

Self

Spouse/Registered Domestic Partner

Dependent Children

4. Indicate nature of income and amount received from the Entity.

a)	Consulting	\$
b)	Honoraria	\$
c)	Salary	\$
d)	Travel Reimbursements	\$
e)	Royalty Payments	\$
f)	Other	\$
		Please describe the nature of the income:

5. Do you, your spouse, registered domestic partner, or dependent children anticipate receiving any *income* from the Entity within the next 12 months?

NO

YES - if yes, explain:

6. If you, your spouse or registered domestic partner, or dependent child(ren) received *consulting income* from the Entity, **specifically describe the nature of the consulting activities or services. Please also indicate if and how those consulting activities relate to the present research project.***

**If consulting income exceeded \$10,000 within the last 12 months, attach a copy of the consulting agreement.*

7. If you, your spouse or registered domestic partner, or dependent child(ren) received *honoraria* from the Entity, describe the services for which it was received.

8. If you, your spouse or registered domestic partner, or dependent child(ren) received *travel reimbursements* from the Entity, provide dates and purpose of travel.

C. Gift (Personal Gifts)

9. Have you or your spouse, registered domestic partner, or dependent child(ren) received a *personal gift* from the Entity in the past 12 months?

NO

- YES – if yes, indicate:
- Self
 - Spouse/Registered Domestic Partner
 - Dependent Children

Indicate amount/value of the gift: \$

D. Equity

10. Do you or your spouse, registered domestic partner, or dependent child(ren) hold an *equity interest* in the Entity?

NO

- YES – if yes, indicate:
- Self
 - Spouse/Registered Domestic Partner
 - Dependent Children

11. Indicate the nature of the *equity interest* and value.

- a) Stock (publicly traded)
Number of Shares

What percentage of Entity's issued and outstanding shares does this interest represent? (check box)

- 0-5% 6-10% 11-25% >26%

- b) Stock (not publicly traded)
Estimated Current Stock Value \$ Total
Number of Shares

What percentage of Entity's issued and outstanding shares does this interest represent? (check box)

- 0-5% 6-10% 11-25% >26%

- c) Stock Options
Number of Shares

What percentage of Entity's issued and outstanding shares does this interest represent? (check box)

0-5%

6-10%

11-25%

>26%

Is the Entity publicly traded?

NO

YES

E. Loans

12. Do you or your spouse, registered domestic partner, or dependent child(ren) have a *loan arrangement* with the Entity?

NO

YES – if yes, indicate:

Self

Spouse/Registered Domestic Partner

Dependent Children

13. Indicate amount of loan: \$

III. Relationship with Entity

A. Direct and Significant Impact on Financial Interests

14. Does the present research project involve testing of any drugs or devices or the development of a product or service?

NO

YES – if yes, explain:

15. 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 present research project?

NO

YES – if yes, explain:

16. Is it reasonable to anticipate that the Entity could be directly and significantly affected by the design, conduct, or reporting of the present research project?

NO

YES – if yes, describe:

B. Separation of University and Outside Interests

17. 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.

[Empty rectangular box for response]

- 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.

18. Are there any additional mitigating factors? (Check all that apply)
- Remove yourself as the Principal Investigator (provide details: _____)
 - Other non-conflicted Investigators collect data and perform data analyses (provide details: _____)
 - 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: _____)
19. Is the Entity providing any of the following for the present research project? (check all that apply)
- Proprietary data Test material research tools or drugs
 - Equipment or devices
 - Use of Entity's facility Entity's personnel None
20. Does the Entity participate in deciding the direction of the present research project?
- NO
 - YES – if yes, explain:

C. Openness of Teaching and Research Environment

21. Are there any undergraduate, graduate or postdoctoral students involved in the present research project?
- NO – if no, please skip to question 24
 - YES – if yes, explain in what capacity:
22. Are you the advisor to any of these students?
- NO
 - YES
23. Are there any constraints or restrictions imposed on the reporting of student work?
- NO
 - YES – if yes, explain:

D. Licensing

24. Do you, your spouse or dependent child(ren) have an inventive or ownership interest in any intellectual property that will be utilized in the present research project?
- NO – if no, please skip to question 26
 - YES – if yes, provide a brief non-technical description of the intellectual property involved:
25. Identify the owner of the intellectual property to be utilized in the project:
- Self
 - The Regents of the University of California
 - Other (Identify):
26. 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
27. List any previous and pending patents and any recently submitted disclosure of inventions of yours, your spouse or dependent children. You may attach your response. See attached.

IV. Verification

I certify under penalty of perjury that this is a complete disclosure of all financial interests related to the specified project, I have used all reasonable diligence in preparing this Description of Financial Interest Disclosure, and to the best of my knowledge it is true and complete. Please note electronic or scanned signatures are acceptable; inserting a jpeg of the signature is also acceptable.

Signature

Date

NOTE: The State of California Information Practices Act of 1977 requires the University to provide the following information to individuals who are asked to supply information about themselves. The principal purpose for requesting this information is to accomplish the independent and substantive review of positive financial disclosures as required by the Revised Policy on Disclosure of Financial Interest in Private Sponsors of Research dated April 8, 1982. University policy and State law authorize maintenance of this information. Submission of this information is mandatory. The consequences of not providing all or any part of the requested information could be non-acceptance of your award from the proposed sponsor, state enforcement proceedings against you as well as University sanctions. The information is a public record under University policy and State law. Individuals have the right to review their own records in accordance with Academic Personnel Manual Section 160. 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.