

STATEMENT OF ECONOMIC INTEREST - SUPPLEMENTAL FORM

This Statement of Economic Interest- Supplemental Form is required when a Principal Investigator (PI), and/or Other Investigator (any person with responsibility for the design, conduct, and/or reporting of research) have made a positive disclosure of financial interest (answered "yes" to any question) on the Form 800 or 700-U Form. Please note that all disclosures are subject to release to the public. Completing these forms is required for each entity in which you have a financial interest, per project. Any award cannot be processed until the Conflict of Interest Committee completes its review.

Principal Investigator / Other Investigator

Name:	County/Program/REC:
Email:	Phone Number:
Project Title:	
Sponsor Name:	
PI Name (if different from above):	

Description of Financial Interests: If more space is required for explanations, please attach additional page(s).

Management:

- Do you, your spouse, registered domestic partner, or a dependent child(ren) hold a position of management or employment (non-consulting, non-independent contractor) with the entity?
 - No; If no, proceed to question 3.
 - Yes; If yes, please indicate the position(s):
 - Director Partner Member Board of Directors Employee
 - Trustor Officer Member, Scientific Advisory Board Other:
- Describe the responsibilities of the position(s) with the entity and how they relate to the project funded by the entity:

Income:

- Excluding gifts, contracts or grants administered by The Regents, have you, your spouse, registered domestic partner, or dependent child(ren) received income from the entity in the past 12 months?
 - No
 - Yes; Provide the amount: \$
Please indicate the nature(s) of the income:
 - Consulting Honoraria Payment in Kind Per Diem Salary
 - Travel Other:
 - (1) Location:
 - (2) Purpose:
 - Mandatory Investigator Meeting
 - Other:
- Do you have a loan arrangement with the entity?
 - No
 - Yes; Provide the loan amount: \$
Explain the arrangements:

Equity:

- Do you, your spouse, domestic partner, or dependent child(ren) hold an equity interest in this entity?
 - No; If no, proceed to question 9.
 - Yes; If yes, answer questions 6-8.
- Indicate the percentage of the equity: %
- What is the nature of the equity interest?
 - Bonds Stocks/Stock Options Convertible Security Other:
- What is the value of this equity interest?
 - \$0-\$5,000 \$5,000-\$50,000 \$50,000-\$250,000 Greater than \$250,000

Note: If the stock is not publicly traded, provide an internal estimate of value: \$

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Consulting:

9. Are you a consultant with this entity?
 No; If no, proceed to question 13.
 Yes; If yes, answer questions 10-12.
10. Do you have a written consulting agreement (non-University agreement)?
 No Yes
11. Describe in **detail** the frequency and nature of your consulting activities and whether the consulting is separate from your research:
12. Will the terms of your consulting in any way restrict the release of information or other dissemination of research results by faculty/researchers involved in the project?
 No Yes; Explain:

Honoraria:

13. Have you received honoraria from this entity?
 No; If no, proceed to question 16.
 Yes; If yes, answer questions 14-15.
14. Describe in detail the frequency and nature of your speaking activities.
15. Are your speaking activities related to the area of proposed research or competitor's product(s)?
 No Yes; Explain:

Relationship with Entity:**Direct and Significant Impact on Financial Interests:**

16. Is the entity a subcontractor, consortium member, supplier of goods, lessor, or otherwise involved with the project?
 No Yes; Explain:
17. Are you the inventor of any device, vaccine, procedure, drug, or any other product associated with this research?
 No Yes
18. Does the entity manufacture or commercialize any device, vaccine, procedure, drug or any other product associated with this research?
 No Yes; Explain:
19. Will the project purchase/lease any device/material from the entity?
 No
 Yes; If yes, provide name and approximate cost: Name: Cost: \$

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20. Is it reasonable to anticipate that the entity will or could be directly or significantly affected by the design, conduct or reporting of the research activity?
- No Yes; Explain:

21. Is the entity a non-profit foundation?

No; If no, proceed to question 22.

Yes; If yes, answer questions A-B and explain:

- A. Do you have a financial interest in the company(ies) that is (are) providing funds to this non-profit foundation?

No Yes

- B. If the sponsoring foundation is primarily a vehicle for one or two companies or a closely cooperating group of businesses, identify these firms.

Separation of University and Outside Interests:

22. Explain how you are keeping your interests and obligations to the entity separate from your University activity.

23. Were you part of a formal committee/body that made the decision which led to the award?

No; recused from meeting, discussion and vote; or, did not attend meeting

No; but you were present when the decision was made. *Please provide either a copy of the meeting minutes or a written statement.*

Yes; If yes, explain:

24. Please *attach* a brief description (statement of work or abstract) of the research.

25. Does the project involve testing of any drugs or devices or the development of a product?

No Yes; If yes, explain in detail:

26. Is the entity providing any proprietary data, materials or equipment?

No Yes; If yes, explain what control on access to the research will be necessary:

27. Does the entity participate in deciding the direction of the research?

No Yes; If yes, explain what role the entity will play:

Openness of Teaching and Research Environment:

28. Are any undergraduate, graduate or postdoctoral students involved in the project?

No; If no, proceed to question 31.

Yes; If yes, list how many and in what capacity:

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

- No Yes; If yes, explain:

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

- No Yes; If yes, explain:

Use of University Resources and Facilities:

31. For non-governmental sponsored projects, is the entity supporting full direct and indirect costs of this project? If a gift or MTA indicate "Not Applicable"

- No Yes Not Applicable

32. List any other entity funding this research and their amount of support. Also identify any University funds that will be supplementing the project.

	\$	\$
Entity Name	Entity Support	University Support

33. Will the research be conducted in the entity's facilities?

- No Yes; If yes, how many hours per week will be spent in the entity's facilities?

34. Will any of the entity's personnel work on the research?

- No Yes; If yes, explain in what capacity:

Licensing:

35. For non-governmental sponsored projects: Will the contract, grant or gift that will fund this research require the granting of an exclusive license or option to the entity?

- No Yes *If yes, explain how it is documented in a UC ANR research agreement or clinical trial agreement:*

36. Does the entity hold rights to a pending patent application or issued patent to an invention(s), license rights or software copyright for you, your spouse, registered domestic partner, or dependent child(ren) for which said person is listed as an inventor (patents) or author (copyrights)?

- No
 Yes; The entity holds a license(s) or option agreement from the University
 Yes; However, the University assigned ownership of the invention(s) to me
 Yes; And the application, patent, license or copyright is still owned by the University

Protection of Human and Animal Subjects:

37. Does this project involve Human Subjects?

- No Yes** *Indicate the IRB protocol # if known or write "New" if this is a new study:*

** If the project involves Human Subjects, please note that all other investigators on the project must submit financial disclosures (Form 800). For the purposes of this form "Other Investigator" is defined as persons responsible for the design, conduct and/or the reporting of research. **The PI is responsible for obtaining disclosures from the Other Investigators.**

38. Please mark all that apply.

- I am involved in recruiting and/or obtaining consent from human subjects
 I am involved in collection data for this study
 I am involved in data analysis for this study
 Other; *Please Specify:*
 None of the Above

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39. Does this project involve Animal Subjects?

- No Yes; *Indicate the IACUC protocol # if known or write "New" if this is a new study:*

40. Will the entity provide a drug, device, vaccine or procedure for use in the protocol?

- No Yes

41. Do you have an intellectual property interest in any product, drug, device, vaccine or procedure associated with this protocol?

- No Yes; *If yes, indicate the name of the drug, device, vaccine or procedure:*

Non UC ANR Investigators:

42. Will Non-UC ANR Investigators be involved with the PI or Other Investigators in the design, conduct or reporting of the activities associated with the project (e.g. subcontractors, consultants, others with significant responsibilities)?

- No Yes; *If yes, you assure that the collaborator has undergone Conflict of Interest review in accordance with their own institution's policies and regulations.*

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 Statement of Economic Interest - Supplemental Form and, to the best of my knowledge, it is true and complete.

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 University of California Policy on Disclosure of Financial Interest in Private Sponsors of Research dated April 1984 and by the University of California Policy on Disclosure of Financial Interests and Management of Conflicts of Interest Related to Sponsored Projects dated March 4, 2010. University policy and State law authorize maintenance of this information by the Office of Contracts and Grants. Failure to submit this information could result in 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. Information about this policy may be obtained from the Academic Personnel Unit.