

University of California, Irvine
Description of Financial Interests Related to Projects Sponsored by
PHS, NSF, or other Agency Adopting the Federal Requirements
(Complete one form for each Entity in which an Investigator has a Significant Financial Interest)

Provision of the information on this form is mandatory for any Investigator who has a significant financial interest that would reasonably appear to be affected by the conduct of a project sponsored by the National Science Foundation (NSF), the Public Health Service (PHS), or other agency that has adopted the federal requirements for financial disclosure. This information will be used to implement the University of California Policy on Disclosure of Financial Interests and Management of Conflicts of Interest Related to Sponsored Projects. The information 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.

Information on Investigator Making Disclosure

Last Name _____ First _____ MI _____

Department: _____ Payroll Title: _____ Appointment: _____

Title of project: _____

UC Proposal/Award # (if known): _____

Principal Investigator's Name (if different): Last: _____ First: _____ MI _____

Description of Financial Interest

Provide the following information about the related Entity in which you have a financial interest.

Name of Entity: _____

Address of Entity: _____

Principal Business Activity of Entity: _____

1. Do you, your spouse, or dependent children hold a position of management such as a board member, director, officer, partner, trustee or employee with this entity?

NO

YES, Position: _____

2. Is this Entity sponsoring a UC Irvine research project with which you are involved?

NO

YES, Title of Project: _____

Award # _____ Project Dates: _____

3. Do you, your spouse, or dependent children hold or have equity interest (stock, stock options, real estate, loans to, investment, or other ownership) in this Entity?

NO

YES, Value does not exceed \$10,000

YES, Value exceeds \$10,000

A. If you hold stock in the sponsor, please indicate what percentage of issued and outstanding shares this interest represents? 0-5% >5%

B. Describe any stock option arrangement, indicating the number of shares, option price per share, and the current market value per share if publicly traded, or an internal estimate of value if not publicly traded.

4. In the past 12 months, have you, your spouse, or dependent children individually or in aggregate received income exceeding \$10,000 from the Entity? "Income" includes any payment such as salary, consulting fees, honorarium, loans, dividends or royalties. "Income" does not include gifts, contracts or grants through the University or administered by The Regents.

- NO
- YES, Value does not exceed \$10,000
- YES, Value exceeds \$10,000

5. Does Entity hold rights to a pending application or issued patent to an invention(s), license rights, or copyright for software of yours, your spouse, or dependent children?

- NO
- YES, but the license is from the University
- YES, and the application, patent, or license is NOT from the University

Direct and Significant Impact

Attach additional sheets as necessary to fully answer questions.

6. Is Entity a subcontractor, consortium member, supplier of goods, lessor, or otherwise involved with the project?

- NO
- YES, Please explain involvement

7. Does, or will, the Entity manufacture or commercialize any drug, vaccine, device, procedure or any other product that is associated with or that will predictably result from the project?

- NO
- YES, Please explain

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

- NO, Please explain

YES, Please explain

9. Is it reasonable to anticipate that your financial interest could be directly and significantly affected by the design, conduct, or reporting of the research activity?

- NO, Please explain:

YES, Please explain:

**Separation of University and Outside Interests and
Involvement of Students**

10. If you are a consultant for the Entity, describe the specific nature and scope of your consulting activities and how these services may be related to the project. Please also attach a copy of your consulting agreement.

11. If you received honoraria from the Entity, describe the services for which it was received.

12. How are you keeping your interest and obligations to the Entity separate from your research activity? Attach sheets, as needed.

13. Are students involved in the research?

- NO
- YES

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.

Signature

Date

Retention of Information: Three (3) years after termination of project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Research Administration. (*col/forms/lor011.doc*) Form COI-2 rev. 7/2/99