

University of California, Santa Cruz  
Independent Substantive Review Committee (ISRC) Addendum

## Financial Interest Disclosure Addendum

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PI First Name

PI Last Name

PI e-mail address

PI Phone Number

Addendum to:

Statement of Economic Interest (700U)

NSF/NIH Disclosure Form

OSP SC# or source of the

funding (e.g. 'Gift' or 'Startup Funds')

Does this research include

Human Subjects

Animal Subjects

No Human or Animal Subjects

Grant Number, if Applicable

Funding Agency Please indicate the name of the agency funding the research at UCSC.

Name of Entity in which PI has financial interest (If 700U, should be the same as funding agency. If NIH/NSF form, should be the name of the entity in which PI has a related interest)

### *Description of Interests*

Please note that the word **project** refers to the UCSC research project. The **funder** is the company or agency supplying funds to or through UCSC. The **entity** is the company or agency in which you have a financial interest.

Please include a brief lay description of the research project being conducted at UCSC.

Please detail how you are keeping your interests and obligations to the entity separate from your obligations to UCSC.

### ***Positions Held***

Do you, your spouse, registered domestic partner, or a dependent child(ren) hold a position of management or employment with this entity?

Yes              No

Please indicate the position(s) held by you and your family members:

Director	Partner
Member, Board of Directors	Employee
Member, Scientific Advisory Board	Trustor/Trustee
Officer	
Other	

Describe the responsibilities of your position(s) with the entity and how they relate to the project funded by the entity.

### ***Income***

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

Yes              No

Please indicate the income received from the entity in the last twelve (12) months:

Please indicate nature of income (check as many as apply)

Consulting	Honoraria	Payment in Kind	Per Diem
Salary			
Other			

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

Yes

No

Please provide the loan amount and explain the arrangements:

### ***Equity***

Do you, your spouse, registered domestic partner, or dependent child(ren) hold an investment or ownership interest in this entity?

Yes                  No

What is the nature of this investment or ownership interest (Please include positions held in margin or brokerage accounts)?

Publicly Traded Equity Interests: Stock, Stock Options and/or Other Ownership Interests, etc.

Value:                      Number of Shares:                      Number of Stock Options:

% of Issued & Outstanding Shares (select one):    <5%                  6-10%                  11-25%                  ≥ 26%

Private Equity Interests: Stock, Stock Options and/or Other Ownership Interests, etc.

Value:                      Number of Shares:                      Number of Stock Options:

% of Issued & Outstanding Shares (select one):    <5%                  6-10%                  11-25%                  ≥ 26%

As the stock is not publicly traded, provide the basis for the evaluation:

Other:

**For National Science Foundation compliant disclosures only** - has this entity received venture or other capital financing that you are aware of?                      Yes                  No

If "Yes", please provide the following information for each venture capital firm:

Venture Capital Firm Name:                      Is the venture capital foreign?

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### ***Consulting***

Are you a consultant with the entity?

Yes                  No

Do you have a written consulting agreement (non-University agreement)? If yes, please submit a copy.

Yes                  No

Describe in detail the frequency and nature of your consulting activities.

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?

Yes                  No

Explain

***Direct and Significant Impact on Financial Interests***

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

Yes            No

Please describe how entity is involved with the project.

Is the entity providing any proprietary data or intellectual property for use in the research?

Yes            No

If yes, please provide details and explain what controls on access to the research will be necessary.

Are you the inventor of any device, vaccine, procedure, drug, or any other intellectual property associated with this research?

Yes            No

Please provide details of any of your inventions associated with the research, including information regarding disclosure to UCSC OMIP.

Does the entity manufacture or commercialize any device, vaccine, procedure, drug or any other product associated with this research?

Yes            No

Please provide details of any device, vaccine, procedure, drug or any other product associated with this research and manufactured by entity.

Will the project purchase/lease any device/material from the entity?

Yes            No

Please provide details of purchase/lease of any device/material from the entity including approximate cost.

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

Yes            No

Please explain how the entity will be directly and significantly affected by the design, conduct or reporting of the research activity?

### ***Non-Profit Organization***

Is the entity a non-profit corporation under U.S. Law?

Yes          No

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

Yes          No

Is the sponsoring foundation is primarily a vehicle for one or two companies or a closely cooperating group of businesses?

Yes          No

Please identify the firms

### ***Openness of Teaching and Research Environment***

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

Yes          No

If yes, list how many and in what capacity.

Are you the advisor to any of the students involved in the research?

Yes          No

If yes, explain your plan to ensure that students will not be affected by your outside interests :

Are there any constraints or restrictions imposed on publication of research results?

Yes          No

If yes, explain:

By signing below you are agreeing to the following:

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 Addendum to Investigator's Statement of Economic Interests and that, to the best of my knowledge, it is true and complete.

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Signature of Investigator

Date

Please Note: 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. University policy and State law authorize maintenance of this information by the Conflict of Interest Office. 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 UCSC Office of Research Compliance Administration