

Financial Disclosure Appendix for DOE-Funded Research

Please type your responses. Incomplete documents will be returned.

I. Investigator Information			
Disclosing Individual*:			
Department:		Academic Title:	
Check One*:	New Proposal	Annual Reporting/Renewal/Supplemental Funding	New Significant Financial Interests
Email*:		Phone*:	
Principal Investigator*:		Award Number*:	
DOE Award Number (if different):		Proposal Number:	
Award Title*:			
II. UCSC Research Project			

Please provide a brief, non-technical description of the DOE funded research project*:

III. Disclosure

Please provide information regarding any significant financial interests related to the Disclosing Individual's institutional responsibilities.

Full Entity Name* and Type*	Disclosure Type (Check all that apply)*	Do these interests relate to the above referenced DOE funded research project? Please provide an explanation for your response.*	Entity Type and Relationship
Publicly Traded Non-Publicly Traded A company issuing <u>stocks</u> , which are <u>traded</u> on the open <u>market</u> is publicly traded	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued & Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26% <input type="checkbox"/> Intellectual Property related to project Income: \$ _____	Yes No Explanation*: For new Significant Financial Interests, did you acquire the interest in the past 30 days? Yes No N/A	Describe entity's business purpose: Describe relationship you/your spouse/your registered domestic partner/your dependent child(ren) have to entity including services provided to the entity.
Publicly Traded Non-Publicly Traded A company issuing <u>stocks</u> , which are <u>traded</u> on the open <u>market</u> is publicly traded	Income: \$ _____ <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued & Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26% <input type="checkbox"/> Intellectual Property related to project Income: \$ _____	Yes No Explanation*: For new Significant Financial Interests, did you acquire the interest in the past 30 days? Yes No N/A	Describe entity's business purpose: Describe relationship you/your spouse/your registered domestic partner/your dependent child(ren) have to entity including services provided to the entity.

Attach additional sheets as necessary.

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IV. Reimbursed or Sponsored Travel

Report all travel per entity. Exclude travel that is reimbursed or sponsored by a U.S. federal, state, or local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education. *Attach additional sheets as necessary.*

Past Travel (last 12 months)

Entity	Destination	Duration	Purpose of Trip

Report any reimbursed or sponsored travel in excess of \$5,000 per entity not included here within 30 days after the travel occurs by sending email to orca@ucsc.edu.

Planned Travel (upcoming 12 months)

Entity	Destination	Duration	Purpose of Trip
	Continental US Other	1-5 Days 6-10 Days Over 10 Days	
	Continental US Other	1-5 Days 6-10 Days Over 10 Days	
	Continental US Other	1-5 Days 6-10 Days Over 10 Days	
	Continental US Other	1-5 Days 6-10 Days Over 10 Days	

Attach additional sheets as necessary.

V. Acknowledgment and Certification

I certify under penalty of perjury that this is a complete disclosure of all my financial interests related to my institutional responsibilities 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 proposed project.

Signature _____ Date _____

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 Office of Research.

VI. Definitions

- **Income** includes salary, consulting fees, honoraria, paid authorship, income received related to intellectual property rights and interests, etc. not paid by or assigned to the UC Regents.
- **Institutional Responsibilities** is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of UCI and directly related to those credentials, expertise and achievements upon which the Investigator's UCI position is based.
- A **Related Significant Financial Interest** to the Investigator's institutional responsibilities may include but are not limited to: 1) income or honoraria received for activities such as providing expert testimony or consulting services, serving on a board of directors, scientific advisory board, committee, panel or commission sponsored by a for-profit or non-profit organization, including professional or scholarly societies; acting in an editorial capacity for a professional journal or reviewing journal manuscripts, book manuscripts, or grant or contract proposals for a non-profit or for-profit organization; accepting a position as a salaried employee outside the University or receiving royalty payments for intellectual property rights held by an entity other than The Regents; 2) holding stock or stock options in a company that is developing, manufacturing or selling products or providing services used in an Investigator's clinical practice, teaching, research, administrative or committee responsibilities; or 3) travel paid for or reimbursed by an outside entity that exceeds \$5,000 per entity per 12 months.