

# Financial Disclosure Addendum for DOE-Funded Research

## I. Investigator Information

Disclosing Individual*:	
Department:	Academic Title:
Principal Investigator*:	OSP Number*:
Awarded Project Title*:	

## II. Outside Entity (A separate addendum form is required for each entity)

Name of Outside Entity*:	Entity's Address*:
Principal Business of Entity*:	

## III. UCSC Research Project

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

## IV. Significant Financial Interests - Income

1. If you received *consulting income* from the Entity, please specifically describe the nature of your consulting activities or services. (If consulting income exceeded \$10,000 within the last 12 months, please attach a copy of the consulting agreement.)\*
  
  
  
  
  
  
  
  
  
  
2. If you received other income or payment for services from the Entity, please describe the services for which it was received.\*

## V. Relationship with Entity

3. Does the DOE-funded research project listed above involve the development of a product or service or testing of any drugs or devices?\*
  - NO
  - YES – if yes, please provide details:
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4. 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 DOE-funded research project listed above?\*
  - NO
  - YES – if yes, please explain:
5. Is it reasonable to anticipate that the Entity could be affected by the DOE-funded research project listed above?\*
  - NO – if no, please explain:
  
  
  
  - YES – if yes, please explain:

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## VI. Separation of Obligations

6. How will you keep your interests and obligations to the Entity separate from your University activities associated with the DOE-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 DOE-funded research project listed above and/or indicate use of study mechanisms such as validation by third party or blinded testing.\*
7. Are there any mitigating factors? (Check all that apply)
- Entity is a large company with products unrelated to this research
  - Other non-conflicted Investigators collect data and perform data analyses
  - Other: Please explain
8. Is the Entity providing any of the following for use in the DOE-funded research project listed above? (check all that apply)
- Proprietary data
  - Test material, research tools or drugs
  - Equipment or devices
  - Entity's facility
  - Entity's personnel
  - None

## VII. Openness of Teaching and Research Environment

9. Are there any undergraduate, graduate or postdoctoral students involved in the DOE-funded research project listed above?\*
- NO – if no, please skip to question 11.
  - YES – if yes, please explain in what capacity:
10. Are you the advisor to any of these students?
- NO
  - YES
11. Are there any constraints or restrictions imposed on the reporting of student work?
- NO
  - YES – if yes, please explain:

## 12. Licensing

12. Do you, your spouse or dependent child(ren) have an inventive or ownership interest in any intellectual property that will be utilized in the DOE-funded research project listed above?\*
- NO – if no, please skip to question 13
  - YES – if yes, provide a brief non-technical description of the intellectual property involved:
13. Please identify the owner of the intellectual property to be utilized in the project:
- Self
  - The Regents of the University of California
  - Other (Identify):
14. 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
15. Please provide details of any of your pending application or issued patent to an invention, license right, or copyright for software, including information regarding disclosure to UCSC IATC:
16. Please list any previous and pending patents and any recently submitted disclosure of inventions of yours. You may attach your response.  See attached.

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## IX. Verification

I understand that this Disclosure is required to obtain funding from the U.S. Government. I certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. I further understand and agree that (1) the statements and representations made herein are material to U.S. Government's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.\*

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.