

**Financial Interest Form: Screening Questions**

If PHS, non-PHS, or DOE federal financial disclosure is required by the sponsor, but the screening questions are not available in Phoebe at proposal stage, fill out the appropriate sections on this form. For more information and links to all policies and procedures related to financial disclosure, see the UC Berkeley Conflict of Interest Committee website: <https://researchcoi.berkeley.edu>.

THIS SUBMITTAL is for a:  New Disclosure  Annual Reporting/Non-Competing Continuation  
 Renewal/Competing Continuation  Supplement Which Includes Time Extension  
 No-Cost Time Extension  Updated Disclosure  Addition of Investigator  Change in PI

Principal Investigator Name: \_\_\_\_\_ Email: \_\_\_\_\_

Academic Department: \_\_\_\_\_

Project Title: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Phoebe Proposal Number (if New Disclosure): \_\_\_\_\_

Agency Award Number (if other Disclosure): \_\_\_\_\_

**Next:** Fill out and sign the appropriate section on this form:

- **PHS Financial Interest Screening Questions section**  
- or -
- **Non-PHS Financial Interest Screening Questions section (page 2)**  
- or -
- **DOE Financial Interest Screening Questions section (page 3)**

**PHS Financial Interest Screening Questions**

**Explanation:** This form must be completed for Public Health Service (PHS) or any agency or organization that have adopted PHS disclosure requirements (e.g., American Cancer Society, American Heart Association). See <https://researchcoi.berkeley.edu/phsagencies.html> for a list of these organizations.

**The PI is responsible for answering “Yes” or “No” the following question on behalf of all UC Berkeley personnel (including the PI) who meet the definition of an investigator and are involved in the proposed project.**

Do you, your spouse, your registered domestic partner and/or your dependent child(ren) have any of the following financial interests related to your institutional responsibilities?

- Receipt of income or other payment for services over the past 12 months from and/or equity interest(s) in a publicly traded entity totaling more than \$5,000
- Receipt of income or other payment for services over the past 12 months from a non-publicly traded entity totaling more than \$5,000
- Any equity interest(s) in a non-publicly traded entity, regardless of value
- Receipt of payments for any intellectual property rights and interests (e.g., from patents, copyrights assigned to any entity other than the Regents) totaling more than \$5,000
- Reimbursed or sponsored travel that exceeds \$5,000 per entity (excluding U.S. governmental agencies or U.S. institution of higher education)

Did any UC Berkeley investigator involved in this proposed project (including the PI) answer “Yes” to the above question?

- No**
- Yes:** If “yes”, list the names of the individuals in the box below:

*Attach additional sheets as required.*

**Certification by Principal Investigator**

I certify that this is a complete disclosure of all financial interests related to this submission or transaction.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Financial Interest Form: Screening Questions****Non-PHS Financial Interest Screening Questions**

**Explanation:** This form must be completed for the National Aeronautics and Space Administration (NASA), National Science Foundation (NSF), other non-PHS federal agencies with conflict of interest requirements, or any other entity that has adopted the NSF requirements (e.g., UCOP Research Programs, the California Institute for Regenerative Medicine). See <https://researchcoi.berkeley.edu/nonphs.html> for more information.

**The PI is responsible for answering “Yes” or “No” the following question on behalf of all UC Berkeley personnel (including the PI) who meet the definition of an investigator and are involved in the proposed project?**

Do you, your spouse, your registered domestic partner, and/or your dependent child(ren) have any of the following interests that (i) would reasonably appear to be affected by the research for which funding is sought, or (ii) are in the sponsor of the research, or (iii) are in entities whose financial interests would reasonably be affected by the research?

- Receipt of income or payment for services over the past 12 months from any single business entity exceeding \$10,000
- Any equity interest exceeding 5% ownership or \$10,000
- Any intellectual property interest assigned or to be assigned to other than the Regents

Did any UC Berkeley investigator involved in this proposed project (including the PI) answer “Yes” to the above question?

**No**

**Yes:** If “yes”, list the names of the individuals in the box below:

*Attach additional sheets as required.*

**Certification by Principal Investigator**

I certify that this is a complete disclosure of all financial interests related to this submission or transaction.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### Financial Interest Form: Screening Questions

#### DOE Financial Interest Screening Questions

**Explanation:** This form must be completed for the U.S. Department of Energy (DOE) or National Nuclear Security Administration (NNSA). See <https://researchcoi.berkeley.edu/doe.html> for more information.

**The PI is responsible for answering “Yes” or “No” the following question on behalf of all UC Berkeley personnel (including the PI) who meet the definition of an investigator and are involved in the proposed project.**

Do you, your spouse, your registered domestic partner and/or your dependent child(ren) have any of the following financial interests related to your non-Federal entity responsibilities?

- Receipt of income or other payment for services over the past 12 months from and/or equity interest(s) in a publicly traded entity totaling more than \$5,000
- Receipt of income or other payment for services over the past 12 months from a non-publicly traded entity totaling more than \$5,000
- Any equity interest(s) in a non-publicly traded entity, regardless of value
- Receipt of payments for any intellectual property rights and interests (e.g., from patents, copyrights assigned to any entity other than the Regents) totaling more than \$5,000
- Reimbursed or sponsored travel (excluding U.S. governmental agencies or U.S. institution of higher education)

Did any UC Berkeley investigator involved in this proposed project (including the PI) answer “Yes” to the above question?

**No**

**Yes:** *If “yes”, list the names of the individuals in the box below:*

*Attach additional sheets as required.*

#### Certification by Principal Investigator

I certify that this is a complete disclosure of all financial interests related to this submission or transaction.

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 Research Administration and Compliance Office.*