

HUMAN SUBJECTS FINANCIAL CONFLICT OF INTEREST FORM

Please type or print in ink

NAME	(LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER
ACADEMIC UNIT OR DEPARTMENT		MAIL CODE		EMAIL ADDRESS
TITLE OF RESEARCH PROJECT				
CPHS NUMBER (if known/assigned)				

1. Information Regarding Funding Entity:
(Use a separate Form for each funding entity.)

Name of Entity: _____

Address of Entity: _____

Principal Business of Entity: _____

Amount of Funding: \$ _____

Estimated Actual

2. Type of Statement (Check at least one box)

Initial (for new or renewal funding)

Date of Funding: _____

Completion Statement

The research project expired on: _____

3. Filer Information

A. Are you a director, officer, partner, trustee, consultant, employee, or do you hold a position of management in the entity listed in Part 1? No Yes

Title: _____

B. Do you, your spouse, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above?

No Yes - value is:

\$2,000 - \$10,000 \$10,001 - \$100,000

\$100,001 - \$1,000,000 \$ Exceeds \$1,000,000

If you have sold or divested yourself or investments:

Date Divested: _____

C. Have you received income of \$500 or more from the entity listed in Part 1 within the last 12 months?

No Yes - amount is:

\$500 - \$1,000 \$1,001 - \$10,000

\$10,001 - \$100,000 \$ Exceeds \$100,000

Was income received through your spouse?

No Yes

3. Filer Information – Cont.

D. Have you received loans from the entity in Part 1 for which the balance exceeds \$500 in the past 12 months?

No Yes - balance is:

\$500 - \$1,000 \$1,001 - \$10,000

\$10,001 - \$100,000 \$ Exceeds \$100,000

If you check "yes", was the loan:

Secured Unsecured Interest rate: _____%

Was the loan entirely repaid within the last 12 months?

No Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more?

No Yes - describe below.

Description of Gift: _____

Value: \$ _____ Date Received: _____

For more information, see the Committee for Protection of Human Subjects web site at <http://cphs.berkeley.edu> and the Conflict of Interest Committee web site at <http://researchcoi.berkeley.edu>.

A. Is the proposed project a renewal, continuation, or completion of project funding for which you previously filed a positive disclosure?

Yes No If yes, please skip to question M. If no, answer all questions B through L as appropriate.

B. If you reported income (consulting fees, stock as payment in kind, salary, dividends, honoraria, etc.)

1. Describe the nature of the income.

2. Are there any previous or extant written contracts or other agreements between you and the sponsor?

Yes No If yes, please attach copies.

3. If services were or are being performed, describe and explain how these services do or do not relate to the proposed research.

C. If you reported investment/ownership by you, spouse, or dependent(s) (stocks, bonds, options, convertible security, etc.)

1. Describe the size and nature of your interest.

2. Does this investment/ownership constitute 5 percent or more of the company? Yes No

3. Describe any relationship between your investment/ownership and the proposed project.

D. If you reported position(s) of responsibility (director, officer, partner, trustee, employee, etc.), describe the position and its responsibilities and explain their relation to the present project.

E. Describe the expected participation of students in this project.

F. Provide on a separate sheet a brief, nontechnical description of the research the award will support and how the funds will be expended.

G. Describe the terms of any verbal or written agreements between you and the sponsor which in any way restrict release of information for publication or other dissemination of research results.

H. If the sponsor will provide any proprietary data for use on the project, explain what controls on access to the research data will be necessary and how adequate protection of the restricted material will be ensured.

I. Describe any expected participation by the sponsor in deciding the direction of the research over the course of the project.

J. Attach all additional pertinent information and correspondence which exists related to this project.

Attached? Yes None exists

K. List all other extramural sponsors of this research including amounts of support from each.

L. Describe any significant University (non-extramural) support of staff, facilities, equipment, and/or supplies to be used on the proposed project.

M. Has there been any change in your financial involvement with the sponsor or any material change in the terms under which the research is being conducted since the original review?

Yes No If yes, please describe. Use a separate sheet if necessary.

Certification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information is accurate and complete.

Signature: _____

Date Signed: _____
(month, day, year)