

**DOE Financial Disclosure Form**

**This form is to be completed by all investigators who have responded yes to the [DOE Financial Interest Screening Questions](#). Submit this form when requested for pending awards/JIT requests from the U.S. Department of Energy (DOE), including the National Nuclear Security Administration (NNSA). This requirement extends to subawards to UC Berkeley.**

For more information, see [DOE Financial Disclosure Guidance](#). For assistance, contact the COI Committee Coordinator (coi-team@berkeley.edu, 510/642-0122).

THIS SUBMITTAL is for a:  New Disclosure  Updated Disclosure

Disclosing Investigator Name: \_\_\_\_\_ Email: \_\_\_\_\_

Academic Department/Institution: \_\_\_\_\_

Principal Investigator Name (if different from Investigator): \_\_\_\_\_ Email: \_\_\_\_\_

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

Proposal/Project Title: \_\_\_\_\_

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

Proposal Type (please check one):

- Department of Energy (DOE): \_\_\_\_\_ (name agency)
- Subaward from \_\_\_\_\_ under DOE prime
- National Nuclear Security Administration (NNSA) \_\_\_\_\_
- Subaward from \_\_\_\_\_ under \_\_\_\_\_ prime
- This project is a renewal or continuation for which I have already disclosed and been approved by the COI Committee; and I have no new interests; and there have been no changes to what I disclosed previously. Please skip to Certification by Disclosing Investigator.

**Disclosure**

Provide information about any [Significant Financial Interests \(SFI\)](#) of the disclosing Investigator related to that individual's non-Federal entity responsibilities. For each entity listed below, complete a separate Significant Financial Interests – Entity section of the form.

Entity Name	Disclosure Type (Check all that apply.)	Do these interests relate to the above-referenced DOE-funded research project?
Name: _____ <input type="checkbox"/> Publicly Traded <input type="checkbox"/> Non-Publicly Traded Did you acquire the interest in the past 30 days? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> IP (including royalties, license fees, etc.) <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued and Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26%	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation (required for both yes and no):
Name: _____ <input type="checkbox"/> Publicly Traded <input type="checkbox"/> Non-Publicly Traded Did you acquire the interest in the past 30 days? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> IP (including royalties, license fees, etc.) <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued and Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26%	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation (required for both yes and no):
Name: _____ <input type="checkbox"/> Publicly Traded <input type="checkbox"/> Non-Publicly Traded Did you acquire the interest in the past 30 days? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> IP (including royalties, license fees, etc.) <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued and Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26%	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation (required for both yes and no):

**DOE Financial Disclosure Form**

**Disclosure (continued)**

Entity Name	Disclosure Type (Check all that apply.)	Do these interests relate to the above-referenced DOE-funded research project?
Name: _____ <input type="checkbox"/> Publicly Traded <input type="checkbox"/> Non-Publicly Traded Did you acquire the interest in the past 30 days? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> IP (including royalties, license fees, etc.) <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued and Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26%	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation (required for both yes and no):
Name: _____ <input type="checkbox"/> Publicly Traded <input type="checkbox"/> Non-Publicly Traded Did you acquire the interest in the past 30 days? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Income: \$ _____ <input type="checkbox"/> IP (including royalties, license fees, etc.) <input type="checkbox"/> Stock and/or Stock Options Number of Shares: _____ Estimated Current Stock Value: \$ _____ % of Issued and Outstanding Shares: <input type="checkbox"/> <5% <input type="checkbox"/> 6-10% <input type="checkbox"/> 11-25% <input type="checkbox"/> >26%	<input type="checkbox"/> Yes <input type="checkbox"/> No Explanation (required for both yes and no):

**Attach additional sheets as necessary.**

**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.**

Report any reimbursed or sponsored travel in excess of \$5,000 per entity **not included below** within 30 days after the travel occurs by sending email to [coi-team@berkeley.edu](mailto:coi-team@berkeley.edu).

**Recent Travel (last 12 months)**

Entity	Destination	Duration	Purpose of Trip

**Planned Travel (upcoming 12 months)**

Entity	Destination	Duration	Purpose of Trip
	<input type="checkbox"/> Continental U.S. <input type="checkbox"/> Other	<input type="checkbox"/> 1-5 Days <input type="checkbox"/> 6-10 Days <input type="checkbox"/> Over 10 Days	
	<input type="checkbox"/> Continental U.S. <input type="checkbox"/> Other	<input type="checkbox"/> 1-5 Days <input type="checkbox"/> 6-10 Days <input type="checkbox"/> Over 10 Days	
	<input type="checkbox"/> Continental U.S. <input type="checkbox"/> Other	<input type="checkbox"/> 1-5 Days <input type="checkbox"/> 6-10 Days <input type="checkbox"/> Over 10 Days	
	<input type="checkbox"/> Continental U.S. <input type="checkbox"/> Other	<input type="checkbox"/> 1-5 Days <input type="checkbox"/> 6-10 Days <input type="checkbox"/> Over 10 Days	
	<input type="checkbox"/> Continental U.S. <input type="checkbox"/> Other	<input type="checkbox"/> 1-5 Days <input type="checkbox"/> 6-10 Days <input type="checkbox"/> Over 10 Days	

**DOE Financial Disclosure Form****Significant Financial Interests - Entity**

**Important:** Complete the following pages for each entity with which you have a [Significant Financial Interests \(SFI\)](#) (see Disclosure section), and attach to form. For convenience for multiple entities, this section is available as a separate [DOE Financial Disclosure: Significant Financial Interests - Entity](#).

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

**SFI - Income**

1. If you received any *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 payment was received.

**Relationship with Entity****Impact on Financial Interests**

3. Does the DOE-funded research project listed above involve testing of any drugs or devices or the development of a product or service of interest to the entity?

No     Yes - if yes, please explain:

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? Affected may include, but is not limited to, business impact if licensing interest in research results.

No - if no, please explain:

Yes - if yes, please explain:

6. If you, your spouse, registered domestic partner, or dependent child(ren) hold a position of management with the Entity, state the position title, describe the responsibilities of the position, and explain any relationship to this project.

**DOE Financial Disclosure Form****Relationship with Entity (continued)**

7. If this proposal includes the Entity as a subcontractor, consortium member, supplier of goods, lessor or other involvement in the project, explain and describe.

**Separation of University and Outside Interests**

8. 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.

9. Are there any mitigating factors? (Check all that apply.)

- Entity is one of at least several involved in the research project       Entity is a large company with products unrelated to this research  
 Other non-conflicted Investigators collect data and perform data analyses       None of the above

10. 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

**Openness of Teaching and Research Environment**

11. Are there any undergraduate, graduate or postdoctoral students involved in the DOE-funded research project listed above?

No - if no, skip to question 14.

Yes - if yes, please explain:

12. Are you the advisor to any of these students?

No

Yes

13. Are there any constraints or restrictions imposed on the reporting of student work?

No

Yes - if yes, please explain:

**Licensing**

14. 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, skip to question 16.

Yes - if yes, provide a brief non-technical description of the intellectual property involved:

**DOE Financial Disclosure Form****Licensing (continued)**

15. Please identify the owner of the intellectual property to be utilized in the project:

- Self  
 The Regents of the University of California  
 Other (identify):

16. 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 child(ren)?

- No  
 Yes: the license is from the University  
 Yes: the application, patent, license or copyright does not involve University-owned intellectual property

17. Please list any previous and pending patents and any recently submitted disclosure of inventions of yours.

**Complete the above Significant Financial Interests - Entity section for each entity listed in the Disclosure section and attach to form.**

For convenience for multiple entities, this section is available as a separate [DOE Financial Disclosure: Significant Financial Interests - Entity](#).

**Certification by Disclosing Investigator**

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.

Full Name and Title: \_\_\_\_\_

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.