

DOE Financial Disclosure: Significant Financial Interests - Entity

Significant Financial Interests - Entity

This form may be used as an attachment to the [DOE Financial Disclosure Form](#) when more than one entity is listed in the DOE Financial Disclosure Form Disclosure section.

Complete the following pages for each entity with which you have a [Significant Financial Interests \(SFI\)](#) (see Disclosure section), and attach to the DOE Financial Disclosure Form.

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.

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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:

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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.

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.