

Non-PHS Financial Disclosure Form

This form is to be completed by all investigators who have responded yes to the [Non-PHS Financial Interest Screening Questions](#).

Submission of this form is required for proposal submissions to 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). This requirement extends to subawards and awards if funding will come from NSF, other non-PHS federal agencies, or from any other entity that has adopted the NSF requirements.

For more information, see [Non-PHS 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):

National Aeronautics and Space Administration (NASA)

National Science Foundation (NSF) or other federal agency: _____ (name other federal agency)

Subaward from _____ under NSF or other federal prime

Other (e.g., UCOP Research Program) _____

Subaward from _____ under _____ prime

Disclosure

Important: Complete the following pages for each entity with which you have a [Significant Financial Interests \(SFI\) or Related Financial Interest \(RFI\)](#), and attach to form. **All Investigators must respond to the following:**

Name of Entity: _____

Principal Business of Entity: _____

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

2. If you, your spouse, dependent child(ren), or registered domestic partner have equity interest in excess of \$10,000 or 5% ownership in this Entity, state the value, type of equity (stock, securities, etc.), and percentage of ownership.

Non-PHS Financial Disclosure Form**Disclosure (continued)**

3. If you, your spouse, dependent child(ren), or registered domestic partner have received income in excess of \$10,000 from the Entity in the past 12 months, describe the nature of the income and explain any relationship to this project.

4. Have you, your spouse, dependent child(ren), or registered domestic partner assigned to the Entity rights to a pending application or issued patent to an invention(s), license rights, or copyright for software (do not include UC-held rights)?

No

Yes: The application, patent, or license is NOT from my institution.

5. If this proposal includes the Entity as a subcontractor, consortium member, supplier of goods, lessor or otherwise involved in the project, explain and describe.

6. If the Entity might manufacture or commercialize any drug, vaccine, device, product, procedure, or process that is associated with or that will predictably result from the project, explain and describe.

7. If the Entity could reasonably be expected to be directly and significantly affected by the design, conduct, or reporting of the activity proposed, explain and describe.

8. Is it reasonable to anticipate that your financial interest in the Entity could be directly and significantly affected by the design, conduct, or reporting of the activity proposed?

No: Explain.

Yes: Explain.

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Disclosure (continued)

9. Additional comments. Attach separate sheet if necessary.

Attach additional sheets as required.

Complete the above Disclosure section for each entity with which you have a [Significant Financial Interests \(SFI\) or Related Financial Interest \(RFI\)](#), and attach to form.

Certification by Individual Filing Disclosure

I certify that this is a complete disclosure of all significant financial interests from this entity related to the specified project and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete.

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