

**PHS Financial Disclosure (Form 3)** (Financial Interests Related to PHS-Funded Research Project)**Investigator Information**

Disclosing Investigator:

Department:

Academic Title:

Principal Investigator:

SPO Proposal Number:

Project Title:

**Outside Entity** (a separate addendum form is required for each Entity)

Name of Outside Entity:

Entity's Address:

Principal Business of Entity:

**Significant Financial Interests - Income**

1. If you received *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 PHS-funded research project listed above involve testing of any drugs or devices or the development of a product or service?  
 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 PHS-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 PHS-funded research project listed above?  
 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.
7. If this proposal includes the Entity as a subcontractor, consortium member, supplier of goods, lessor or otherwise involved 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 PHS-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 PHS-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 PHS-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

**PHS Financial Disclosure (Form 3)** (Financial Interests Related to PHS-Funded Research Project)**Openness of Teaching and Research Environment**

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

No - if no, please 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 PHS-funded research project listed above?

No - if no, please skip to question 16.

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

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 children

No  Yes, the license is from the University

Yes, and 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. You may attach your response.

See attached

**Verification**

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my institutional responsibilities 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. I also acknowledge that by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

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.