

# FINANCIAL INTEREST DISCLOSURE FOR PHS-FUNDED RESEARCH

## FORM INSTRUCTIONS

### Who must submit this form?

All PHS-funded investigators (i.e., the Project Director/Principal Investigator, any other person identified as Senior/Key personnel in a grant application, progress report, or other report submitted to the PHS, and others who direct or can materially influence the research, or who are responsible for the design, conduct, and reporting of such research) will be required to disclose any Significant Financial Interests related to their institutional responsibilities. The requirement for disclosure extends to the spouse, registered domestic partner and dependent child(ren) of such personnel.

Personnel must disclose any Significant Financial Interests related to their Institutional Responsibilities at the time a proposal is submitted for PHS funding, at least annually throughout the period of any resulting award and within thirty (30) days of acquiring or discovering any new Significant Financial Interest.

### What must be disclosed?

All Significant Financial Interests related to an Investigator's Institutional Responsibilities.

**Institutional Responsibilities** are defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of UC San Diego and directly related to those credentials, expertise and achievements upon which the Investigator's UC San Diego position is based.

A **Significant Financial Interest** consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse, registered domestic partner and/or dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:

**Publicly-Traded Entity:** Any income received from entity in 12 months preceding disclosure and value of any equity interests in entity as of date of disclosure exceeding \$5,000 when combined for an Investigator, Investigator's spouse, and dependent children from a single Entity (Business, Public or Nonprofit) including salary, consultant payments, honoraria, royalty payments, dividend, loan, or any other payments or consideration with value, including payments made to the University of California Health Sciences Compensation Plans during the prior twelve months. Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

**Privately Held or Not-For-Profit Entity:** Any remuneration received from entity in 12 months preceding disclosure, when combined, exceeds \$5,000; or when Investigator holds any equity interest (e.g., stock, stock option, or other ownership interest). **Exclude** income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; however, these references refer to a US Institution of higher education or a federal, state, or local government agency within the US. Therefore, Investigators, including subrecipient Investigators, must disclose all financial interests received from a foreign Institution of higher education or the government of another country (which includes local, provincial, or equivalent governments of another country).

**Intellectual property rights and interests,** upon receipt of income, exceeding \$5,000 during the twelve months preceding disclosure from such rights and interests. However, **Significant Financial Interests do NOT** include royalties received from the University of California Regents.

**Travel:** Sponsored travel or reimbursements made to or on behalf of, the Investigator, exceeding \$5,000 during the twelve months preceding disclosure, from a for-profit or non-profit entity related to the Investigator's Institutional Responsibilities. However, Significant Financial Interests do not include travel reimbursed or paid by a federal, state, or local government agency, a U.S. institution of higher education, or a research institute, academic medical center or hospital affiliated with an institution of higher education.

**Examples of disclosable Significant Financial Interests:** Providing expert testimony or consulting services; Serving on a board of directors, scientific advisory board, committee, panel or commission, including professional or scholarly societies; Acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals; Salary received outside of the University of California; Any equity interest in a company that is developing, manufacturing or selling products or providing services used in an Investigator's clinical practice, teaching, research, administrative or committee responsibilities; Royalties from any organization other than the University of California, including for use or sale of patented or copyright intellectual property, such as software, textbooks, or other scholarly works; Travel reimbursed or sponsored by a professional society, foreign university or company for which the Investigator provides recompensed advice.

**Significant Financial Interests do NOT** include: Payments made by The Regents (salary, royalties, honoraria, expense reimbursement or any other remuneration); Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, a US institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with a US Institution of higher education; An investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

**NOTE:** 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 Office of Research.

## I. Investigator Information

First Name		Last Name	
Department		Role on Project	
Mail Code		E-mail Address	

## II. Project Information

Project Title			
Type of Proposal/Award		Prime Funding Agency	
UCSD Proposal Number		Sponsor Award Number	
Budget Period From		Budget Period To	
		Project Begin Date	
		Project End Date	
Entity Providing Subaward (if applicable)			

### II (a). Project Information - Subrecipients

Will a subrecipient be involved in the proposed research? If "Yes" and if the subrecipient organization has been identified, please detail below.

Yes  No

Name of Organization(s):

## III. Disclosure

**NOTE:** For the purposes of this form, the questions below refer to significant financial interests related to your Institutional Responsibilities. **Institutional Responsibilities** is defined as teaching/education, research, outreach, clinical service, training and University and public service on behalf of UC San Diego and directly related to those credentials, expertise and achievements upon which your UC San Diego position is based.

### A. Publicly Traded Entity

#### Equity Interest + Compensation

1. Do you, your spouse, registered domestic partner and/or dependent children have a financial interest in a publicly traded entity that exceeds \$5,000? When determining your response to this question, please add the value of any equity interest held as of the date of this disclosure and any compensation received from the entity in the twelve months preceding this disclosure. For **equity interests**, this can include any stock, stock option or other ownership interest in an Entity that is developing, manufacturing or selling products or providing services used in your clinical practice, teaching or research. For **compensation**, this can include income or honoraria received for outside activities arising from your professional credentials and expertise such as providing consulting services, serving on a scientific advisory board including professional or scholarly societies, acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals.

Yes  No

### B. Privately Held or Not-For-Profit Entity

#### Equity Interest

2. Do you, your spouse, registered domestic partner and/or dependent children currently own, or have held in the past 12 months, an equity interest in **any** Privately Held Entity? This can include any stock, stock option or other ownership interest in an Entity that is developing, manufacturing or selling products or providing services used in your clinical practice, teaching or research.

Yes  No

#### Compensation

3. Have you, your spouse, registered domestic partner and/or dependent children received any compensation, in the past 12 months, exceeding \$5,000, from **any** Privately Held or Not-For-Profit Entity? This includes income or honoraria received for outside activities arising from your professional credentials and expertise such as providing consulting services, serving on a scientific advisory board including professional or scholarly societies, acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals.

Yes  No

### C. Intellectual Property Rights and Interests

4. Have you, your spouse, registered domestic partner and/or dependent children received any payments in excess of \$5,000 during the twelve months preceding this disclosure for any intellectual property rights and interests (e.g. patents, copyrights assigned or licensed to a party other than The Regents)? This can include royalties, income from an Entity other than the Regents for use or sale of patented or copyrighted intellectual property (e.g., software, textbooks, or other scholarly works).

Yes  No

### D. Travel Reimbursement/Sponsorship

5. In the past 12 months, has any organization sponsored or reimbursed you for any travel, in excess of \$5,000, that is related to your work for the University of California, San Diego? This can include travel that is reimbursed or sponsored by a professional society, foreign university, or an Entity for which you are providing compensated services.

Yes  No

## IV. Acknowledgment and Certification

I **acknowledge** that by typing 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. I **certify**, to the best of my knowledge, that this is disclosure of significant financial interests related to my Institutional Responsibilities is complete and accurate.

NAME \_\_\_\_\_

DATE \_\_\_\_\_