

FINANCIAL DISCLOSURE FOR PHS-FUNDED RESEARCH FOR SUBRECIPIENTS

For use by Non-UCSD investigators ONLY. In accordance with the University of California's Disclosure of Financial Interests & Management of Conflicts of Interest, Public Health Service (PHS) Research Awards Policy, all Subrecipient Investigators who share responsibility for the **design, conduct, or reporting** of sponsored projects must disclose their personal **Significant Financial Interests** in any entity(ies) that are directly related to the scope of the subrecipient organization's work for this PHS-funded research project.

I. Investigator Information

First Name		Last Name	
Subrecipient Organization		E-mail Address	
Role on Project		Phone Number	

II. Project Information

Project Title			
Type of Proposal/Award		Prime Funding Agency	
Subaward Begin Date		Subaward End Date	
Subaward Amount		UCSD PO No. (if known)	
Sponsor Funding Agency			

III. Disclosure

For the purposes of this form, a **Significant Financial Interest** consists of one or more of the following interests of the Investigator:

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. 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 U.S. Institution of higher education or a federal, state, or local government agency within the U.S. 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 Investigator's employer.

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 directly related to the Investigator's scope of work for this PHS-funded research project. However, Significant Financial Interests do **NOT** include travel reimbursed or paid by a federal, state, or local government agency, a US institution of higher education, or a research institute, academic medical center or hospital affiliated with a US institution of higher education.

Not a Significant Financial Interest: Any payments made by your Employer, including salary, royalties, honoraria, expense reimbursement, stock options or any other remuneration.

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.*

Yes No

B. Non-Publicly Traded 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?

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?

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?

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 directly related to your work for the PHS-funded subcontract?

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 the proposed research project is complete and accurate.

NAME _____

DATE _____

UCSD 5/2016