

**University of California, Office of the President
National Science Foundation Financial Disclosure Form**

This submittal is for New Disclosure Updated Disclosure

Investigator Making Disclosure

Investigator Email Address

Investigator Phone Number

Principal Investigator Name (if different)

Proposal/Project Title

Project Number

Sponsor Award Number (*if awarded*)

All **Investigators** must answer the following question:

Do you, your spouse, or dependent child(ren) have any Significant* and Related Financial Interest(s)?* that would:

- (i) reasonably appear to be affected by the research for which funding is sought or,
- (ii) are in the sponsor of the research or
- (iii) are in the entities whose financial interests would reasonably be affected by the research?

Yes No

*see next page for definitions

If you answered **YES**, additional information will be required once the funding has been awarded.

If you answered **NO**, please sign this form and submit with your proposal.

Investigator Signature

Date

Instructions

Please completely fill out and sign the Financial Disclosure Form. Both positive and negative disclosures should be scanned and e-mailed to your RPAC representative. RPAC is required to have all disclosure(s) in hand BEFORE the proposal may be submitted or awards may be released.

If you answered "No," no other paperwork needs to be filed UNLESS you acquire a new Significant Financial Interest.

If you answered "Yes," you must complete and submit an addendum, which may need to be reviewed by a Conflict of Interest Review Committee.

Separate Disclosures are required for each grant:

- Prior to submission of competing proposals (new & renewal) or supplemental funding requests
- When a new Investigator joins an ongoing project
- Within 30 days of an Investigator acquiring or discovering a new Significant Financial Interest

Definitions

Investigator is defined as 'the principal investigator, co-principal investigators/co-project directors, and any other person at the institution who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding.'

Significant Financial Interest (SFI) is defined as anything of monetary value including but not limited to:

- Salary, income, honoraria, royalties, dividends, consulting, loans, travel reimbursement, or other payment or consideration with value (e.g. equipment loans) from any business, public, or nonprofit entity exceeding \$10,000 during the prior twelve months, aggregated for the investigator, spouse, and dependent child(ren);
- Equity interest, Venture, or Other Capital Financing (stock, stock options, real estate, etc.) that exceeds \$10,000 or 5% ownership;
- Management position such as board member, director, officer, partner, or trustee held by the Investigator;
- Intellectual property interest held by the investigator, spouse, and dependent child(ren) assigned or to be assigned to a party other than the Regent.

Please note that SFI does not include:

- Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities.
- Income from service on advisory committees or review panels for public or nonprofit entities.

Related Financial Interest (RFI) is defined as work performed under a sponsored project, which results would appear to affect the investigator's SFI. The following examples of situations which are considered RFIs:

- The results of the sponsored project being carried out by Investigator would be relevant to development, manufacturing, or improvement of product or service of entity in which the investigator has a SFI.
- The Investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure, or any other product used in the project or that will predictably result from the project.
- The Investigator gets consulting income from a single entity that exceeded \$10,000 during the prior twelve months and the financial interests of that entity, or the Investigator's financial interest related to consulting for that entity, would reasonably appear to be affected by the research to be conducted.