

## DISCLOSURE SUPPLEMENT

This form is to be completed by all Principal Investigators and Key Personnel who have reported a financial interest on either Form 700-U. The information provided herein may be released or transmitted to the sponsor upon request, and per the California Public Records Act, may also be released to the public upon request.

Name: \_\_\_\_\_

Principal Investigator's Name (if different): \_\_\_\_\_

Research Sponsor: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

\_\_\_\_\_

*If you are the Principal Investigator and have completed form 700-U, please go directly to Question #4.*

1. If you have a financial interest in an entity other than the research sponsor and that interest is related to this research project, please provide the following:

Name of Entity: \_\_\_\_\_

Relationship to \_\_\_\_\_

Research Project: \_\_\_\_\_

2. Are you a director, officer, partner, trustee, or employee of, or do you hold any position of management (paid or unpaid) in the sponsor or entity listed above?

☐ No ☐ Yes Title: \_\_\_\_\_ Name of Entity: \_\_\_\_\_

3. Do you, your spouse or dependent child, have:

- A. An investment of \$10,000 or more or a 5% or more ownership interest in the sponsor or entity listed above?

☐ No ☐ Yes Estimated current value: \$ \_\_\_\_\_ Name of Entity: \_\_\_\_\_

- B. Income (including any payment, such as salary or consulting fees) of \$10,000 or more received from the sponsor or entity listed above within the last 12 months? (Do not include any salary or summer salary paid by the University with funds provided by the sponsor or entity listed above.)

☐ No ☐ Yes Amount: \$ \_\_\_\_\_ Name of Entity Providing Income: \_\_\_\_\_

- C. Do you anticipate receiving income of \$10,000 or more during the next 12 months?

☐ No ☐ Yes Anticipated Amount: \$ \_\_\_\_\_

- D. Loans received from the sponsor or entity listed above for which the outstanding balance has exceeded \$10,000 in the past 12 months?

☐ No ☐ Yes Balance: \$ \_\_\_\_\_ Interest rate: \_\_\_\_\_%

4. If you received income, or anticipate receiving income, please specify the type of income (e.g., consulting, honoraria, salary, payment-in-kind, reimbursement for travel, per diem, other) and describe the reason payment was or will be received:

Type: \_\_\_\_\_ Description: \_\_\_\_\_

5. Whether or not you, your spouse or dependent children already have an existing investment in the sponsor or entity listed above, do you anticipate obtaining a new interest, through a stock purchase plan, an employee stock option plan, or by other similar means?

☐ No ☐ Yes, describe: \_\_\_\_\_

If you indicated in Question 3.A above or in Question 3.B on Form 700-U that you have an existing investment interest (e.g., stocks, bonds, warrants and options, including those held in margin or brokerage accounts), please indicate type (aggregate for family). Check all that apply:

☐ Stock ☐ Stock Options ☐ Bonds ☐ Other (specify): \_\_\_\_\_

If stock or stock options, number of shares: \_\_\_\_\_ and/or estimated current dollar value: \$ \_\_\_\_\_

If bonds, estimated current value: \$ \_\_\_\_\_ Estimated percentage of total value of the company your interest represents: \_\_\_\_\_%

6. Do you have an inventive or ownership interest in any intellectual property (e.g., inventions, tangible research materials, copyrights, etc.) that will be utilized in this project?

☐ No ☐ Yes If Yes, please answer questions A – D below.

A. Please provide a brief non-technical description of the intellectual property involved.

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B. Please identify the owner of the intellectual property to be utilized in this project:

☐ Me, my spouse, and/or my dependent children ☐ The Regents of the University of California  
☐ The research sponsor ☐ Other (identify): \_\_\_\_\_)

C. If The Regents of the University of California is the owner of the intellectual property, has it licensed rights to the sponsor or entity listed above?

☐ No ☐ Yes (UC Case No., if known: \_\_\_\_\_)

D. Do you currently receive, or do you anticipate receiving in the future, royalty or other income resulting from licenses to the intellectual property?

☐ No ☐ Yes, royalty or other income is/may be received from the University of California  
☐ Yes, royalty or other income is/may be received from a third party

7. Will you be supervising or assigning students, postdoctoral fellows, or other trainees on this project?

☐ No ☐ Yes

A. If Yes, please describe their participation or assignment:

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B. Would the direct participation of students, postdoctoral fellows or other trainees in the research being supported or in any related consulting activities in any way hinder their ability to report or publish for academic (including thesis or dissertation) purposes? Please explain.

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C. Will the students, postdoctoral fellows or other trainees participate in any consulting or other relationship with the sponsor or entity listed above, either independently or as an assistant to you?

☐ No ☐ Yes, describe: \_\_\_\_\_

8. If you have an ownership or other interest in an entity that is proposed as a subcontractor, consortium member, lessor or is otherwise involved in the project, please describe the relationship.

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9. Is there additional information or any details about the specific nature of your financial interest(s) that you feel would be helpful to the Independent Substantive Review Committee (ISRC) in its review of this matter? Please attach additional pages as necessary.

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10. If you are a UCM faculty member and are a salaried employee of, or hold an executive or management position in, the sponsor or entity listed above, please attach a copy of the approval for outside professional activities required under University of California "Policy on Conflict of Commitment and Outside Activities of Faculty Members" (Academic Personnel Manual Section 025, Appendix B).

☐ Not Applicable ☐ APM 025 Approval for Outside Activities attached

### VERIFICATION

I have used all reasonable diligence in preparing this statement, and to the best of my knowledge it is true and complete.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date