

University of California, Berkeley Federal Financial Disclosure Form

Provision of the information on this form is required for any individual who has responsibility for the design, conduct, or reporting of a project and a disclosable financial interest related to the work to be conducted under the National Science Foundation, the Public Health Service, or other agencies that have adopted the federal requirements for financial disclosure. The information may, under the California Public Records Act, be released to sponsoring agency personnel or members of the public. The purpose of collecting this information is to comply with federal regulations and the University policy on Disclosure of Financial Interests Related to Sponsored Projects. Complete one form for each Entity in which you have a financial interest.

This submittal is for (check one)

New Disclosure

Update

Individual Making Disclosure: Name, Last: _____ First: _____ M.I.: _____

Administering Unit: _____ Mail Code: _____ Phone: _____

Principal Investigator's Name (if different): Last: _____ First: _____ M.I.: _____

Project Title: _____ Award #: _____

Sponsor Type (please check one):

Public Health Service/National Institutes of Health

American Heart Association

National Science Foundation

American Cancer Society

UCOP Special Research Programs and UC Discovery Grants

California Institute for Regenerative Medicine (CIRM)

Subcontract from: _____

International Vaccine Institute

(disclosure is required for subcontracted funds originating from PHS/NIH or NSF)

Provide the following information about the related Entity in which you have financial interest

Name of Entity: _____ Principal Business: _____

1. Do you, your spouse or dependent child(ren) hold a position of management, such as board member, director, officer, partner, trustee, employee or consultant with this Entity?

No

Yes - Position: _____

If yes, describe your responsibilities and explain relationship to this project.

2. Do you, your spouse, or dependent child(ren) have equity interest (stock, stock option, real estate, investment, or other ownership) in excess of \$10,000 or 5% ownership in this Entity?

No

Yes - Value exceeds \$10,000

Yes - Amount of equity is 5% or more

The percent owned is: _____

3. Have you, your spouse, or dependent child(ren) received income in excess of \$10,000 from the Entity in the past 12 months? "Income" includes any payment such as salary or services from sources other than Berkeley.

No

Yes - Value exceeds \$10,000

If yes, describe the nature of the income or services and explain the relationship to this project.

4. Have you, your spouse or dependent child(ren) assigned to the Entity rights to a pending application or issued patent to an invention(s), license rights, or copyright for software? Do not include UC-held rights.

No

Yes - The application, patent or license is NOT from the University.

