

**Addendum to Statement of Economic Interests for Principal Investigators (700-U) Rev. 1/2018**

Principal Investigator Name: \_\_\_\_\_ Email: \_\_\_\_\_

Principal Investigator Academic Title: \_\_\_\_\_

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

Name of Sponsor or Donor: \_\_\_\_\_

You have filed a Statement of Economic Interests for Principal Investigators (Form 700-U) in connection with the referenced research project which establishes that, under statutory definitions, you have a financial interest in the sponsor of this research. University policy requires an independent, substantive review of the research project by an administrative committee before an award is accepted. The following information is requested for this review. Please answer the questions carefully, be specific, and provide full and complete information to avoid delay (*attach separate sheets if needed*). Sign and date this form and submit to the Conflict of Interest Coordinator, Research Administration and Compliance, 1608 Fourth Street, Suite 220, Berkeley, CA 94710-5940, MC #5940. See <https://researchcoi.berkeley.edu/state.html> for the Policy on Disclosure of Financial Interest in Private Sponsors of Research and for other information.

A. Is this funding for renewal or continuation of the same project or additional payment on a pledge for which you previously filed a positive disclosure, and which was reviewed and approved by the COI Committee? NOTE: Each gift received, unless a pledge was made and correspondence from the donor states this clearly, is considered a new gift for financial disclosure purposes.

No: Answer all questions B through R; enter "not applicable" as appropriate.

Yes: Please skip to question Q.

B. Provide a brief description of the project to be conducted with this funding and how the funds will be expended; provide specific details if the project involves development of a product or other device of potential economic value to the entity or testing of such product or device.

C. If you reported any position with the entity, state your specific title and describe that position and your responsibilities and obligations to the entity in that position. Explain and describe how those responsibilities to the entity are related to or separable from the research work to be done on campus with this funding.

D. Is there a written agreement(s) between you and the entity?

No: If no written agreement exists, then C. above must be sufficiently detailed so that the COI Committee can make a fully informed decision regarding any real or perceived conflict of interest.

Yes: If yes and the agreement provides specific details as per C. above, please attach a copy.

E. If ownership of or investment (stocks, bonds, options, convertible security, etc.) in the entity was disclosed for you, your spouse, registered domestic partner or dependent child(ren), state the amount, size, and type below and state whether or not this ownership or investment constitutes 10% or more of the entity.

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F. Have intellectual property rights (inventions, patents, license rights, copyright for software) been assigned to the entity?

No

Yes: If yes and this IP will be used in the research or the results of the research could affect the value of the IP, please describe.

G. Do you, your spouse, registered domestic partner, or dependent child(ren) have a 10% or greater interest in any business entity or trust, which has a financial interest in the entity providing this funding?

No

Yes: If yes, please provide details.

H. If you reported income from the entity:

What type of income have you received from the entity within the 12-month period prior to the filing of this disclosure?

What specific services were performed or activities conducted in order for this income payment to be made?

Has income been promised for the 12-month period following the filing of this disclosure?

No

Yes: If yes, please describe.

I. Describe how students will be involved in the project(s) to be conducted with this funding and the academic level of those students, e.g., undergraduate or graduate.

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J. Do any of the personnel who will be supported by these funds, including students, postdocs, other faculty, etc., have any financial relationship with the entity?

No

Yes: If yes, please name the individual(s) and describe the financial relationship.

K. If there are any verbal or written, formal or informal agreements between you and the entity, which in any way restrict the release of information or research results for publication or any other dissemination, please provide a copy of the agreement(s) or describe completely if no agreement(s) exists.

L. Will the sponsor provide any proprietary or confidential data or other information for use on the project?

No

Yes: What controls are placed on the use of that data? Will these controls limit the ability of you or your students to freely publish research results? Please describe.

M. Do you anticipate that IP resulting from this research will require the granting of an exclusive license to the sponsor?

No

Yes

N. If the entity will participate in deciding the direction the research will take over the course of the project after the work has begun, please describe.

O. Is the entity providing the full cost of the project?

No: If no, what other source(s) of extramural funding will be used to support the project? Provide a list of the other funders and the amount of funding from each.

Yes

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P. Describe any significant University (non-extramural) support required for the proposed project (e.g., staff facilities, equipment, and/or supplies).

Q. Has there been any change in your financial involvement with the sponsor or any material change in the terms under which the research is being conducted since the original review and approval by the COI Committee?

- No  
 Yes: If yes, please explain.

R. Any additional information that may be of use to the Conflict of Interest Committee in reviewing the disclosure and making a fully informed decision regarding any real or perceived conflict of interest, including background information about the development of the project, related research interests, and other correspondence with the entity should be attached to this form.

Attached?

- No: None exists.  
 Yes

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Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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*Note: The State of California Information Practices Act of 1977 requires the University to provide the following information to individuals who are asked to supply information about themselves.*

*The principal purpose for requesting this information is to accomplish the independent and substantive review of positive financial disclosures as required by the Policy on Disclosure of Financial Interest in Private Sponsors of Research dated April 26, 1984. University policy and State law authorize maintenance of this information. Submission of this information is mandatory. The consequences of not providing all or any part of the requested information could be nonacceptance of your award from the proposed sponsor, State enforcement proceedings against you as well as University sanctions. The information is a public record under University policy and State law. Individuals have the right to review their own records in accordance with Academic Personnel Manual, Section 160. Information about this policy may be obtained from the Office of Research Administration and Compliance (<https://researchcoi.berkeley.edu>). The official responsible for maintaining the above information is the Vice Chancellor for Research, 200 California Hall, University of California, Berkeley, CA 94720*