Annual Form 810

(For Public Health Service/National Institutes of Health and Department of Energy compliant projects)

1. **Investigator Information**

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| **Name**: Click to enter your name. |
| **Admin. Contact’s Email (Optional)**: Click to enter text. |

1. **Disclosure**

Please provide information regarding all Significant Financial Interests of the Investigator, his/her spouse or registered domestic partner, and dependent child(ren) that are related to the Investigator’s institutional responsibilities (refer to definitions in Section V).

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| **Name**: Enter entity name. | **Publicly traded**   **Privately held**   **Non-profit organization** | |
| **Address**: Enter entity address.  **Foreign Entity (Formed/incorporated outside of US)** | | **Website**: Enter entity website. |
| **Entity’s Business interests**: Enter text. | | |
| **Total income received over past 12 months**: $Enter amount. | | |
| **Total income received from non-UC Regents Intellectual Property over past 12 months**: $Enter amount. | | |
| **Stock, Stock Options and/or Other Ownership Interests, Estimated Total Current Stock Value**: $ Enter amount.  **Number of Shares**: Enter number. **Number of Stock Options**: Enter number.  **Percentage of Issued & Outstanding Shares**:  None  >0%-5%  6-10%  11-25%  ≥26% | | |
| **Describe the relationship you, your spouse/registered domestic partner, and/or dependent child(ren) has to the Entity, including any service(s) provided to the Entity. If you received at least $10,000 over the past twelve months in consulting income from the Entity, please attach a copy of your consulting agreement.**  Enter text. | | |

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*Add additional tables, as necessary.*

1. **Reimbursed or Sponsored Travel**

Report all reimbursed or sponsored travel in the Kuali Research Conflict of Interest [PHS/DOE Travel Log](https://kr.oit.uci.edu/kr/kc-krad/landingPage?viewId=Kc-Header-IframeView&href=https%3A%2F%2Fkr.oit.uci.edu%2Fkr%2FcoiDisclosure.do%3FmethodToCall%3DdocHandler%26command%3Dinitiate_15%26docTypeName%3DCoiDisclosureDocument%26returnLocation%3Dhttps%3A%2F%2Fkr.oit.uci.edu%2Fkr%252Fkc-krad%252FlandingPage%253FviewId%253DKc-LandingPage-RedirectView&methodToCall=start) (excluding travel that is reimbursed or sponsored by Federal, state, or local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education).

## Acknowledgment and Certification

By typing my name below as my signature, I certify this is a complete disclosure of all my financial interests related to my institutional responsibilities and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of my active PHS/DOE compliant projects.

For Department of Energy Awards Only (Not required for PHS/NIH awards): I understand that this Disclosure is required to obtain funding from the U.S. Government. I, Click here to enter Full Name and Title, certify to the best of my knowledge and belief that the information contained in this Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Signature: Click here to type full name certifying the above statements Date: Click to enter a date.

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Research is the office of record.

1. **Definitions**

* **Income** includes salary, consulting fees, honoraria, paid authorship, income received related to intellectual property rights and interests, etc. not paid by or assigned to the UC Regents.
* **Institutional Responsibilities** is defined as teaching/education, research, outreach, clinical service, training and University and public service, on behalf of UCI and directly related to those credentials, expertise and achievements upon which the Investigator’s UCI position is based.
* A **new Significant Financial Interest (SFI)** is a different type or nature of SFI (e.g., royalty payment versus consulting fees) than what had previously been disclosed from the same source that meets or exceeds the threshold. In addition, a “new” SFI is also considered to be the same type or nature of SFI (e.g., royalty payment) from a different source (e.g., company A versus company B).
* A **Significant Financial Interest** includes one or more of the following interests of the Investigator, Investigator’s spouse/registered domestic partner, and dependent children that reasonably appear related to the Investigator’s Institutional Responsibilities:
  + For a foreign or domestic publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including but not limited to, consulting payments, honoraria, paid authorship, or any other payments received during the prior twelve months and the value of any equity interests (including stock, stock options or other ownership interests, as determined by public prices or other reasonable measure of fair market value) in the entity as of the date of disclosure, which when aggregated, exceeds $5,000.
  + For a foreign or domestic non-publicly traded entity: Income or other payment for services including salary, and any payment for services not otherwise identified as salary, including, but not limited to, consulting payments, honoraria, paid authorship, any other payments received during the prior twelve months, which when aggregated, exceeds $5,000 or any equity interest (regardless of valuation) including, but not limited to stock, stock options, or ownership interest in the entity.
  + Intellectual property rights and interests: Income from each foreign or domestic entity/organization that exceeds $5,000 during the twelve months preceding disclosure from such rights and interests, excluding payments from intellectual property owned by the UC Regents.
  + Travel: Reimbursement of any amount received during the prior twelve months made to, or on behalf of, the Investigator, regardless of amount, by a for-profit or non-profit entity excluding: US federal, state or local governments, U.S. institutions of higher education, academic teaching hospitals (PHS only), medical centers (PHS only), and US research institutes that are affiliated with an institution of higher education. Investigators should also exclude the travel reimbursements or sponsorships of their spouses/registered domestic partners and dependent children. *Note: Travel Disclosures are collected in the* [*PHS/DOE Travel Log*](https://kr.oit.uci.edu/kr/kc-krad/landingPage?viewId=Kc-Header-IframeView&href=https%3A%2F%2Fkr.oit.uci.edu%2Fkr%2FcoiDisclosure.do%3FmethodToCall%3DdocHandler%26command%3Dinitiate_15%26docTypeName%3DCoiDisclosureDocument%26returnLocation%3Dhttps%3A%2F%2Fkr.oit.uci.edu%2Fkr%252Fkc-krad%252FlandingPage%253FviewId%253DKc-LandingPage-RedirectView&methodToCall=start) *not this Annual Form 810.*