

PHS Financial Disclosure (Form 3) - Additional Information Requested by the COIC**Investigator Information**

Disclosing Investigator:	Phone:
Awarding Organization:	
Project Title:	

Outside Entity (a separate addendum form is required for each Entity)

Name of Outside Entity:	Entity's Address:
Principal Business of Entity:	

Significant Financial Interests - Income

1. If you received *consulting income* from the Entity, please specifically describe the nature of your consulting activities or services. (If consulting income exceeded \$10,000 within the last 12 months, please attach a copy of the consulting agreement.)
2. If you received other income or payment for services from the Entity, please describe the services for which payment was received.

Relationship with Entity**Impact on Financial Interests**

3. Does the PHS-funded research project listed above involve testing of any drugs or devices or the development of a product or service?

 No Yes - if yes, please explain:
4. Does, or will, the Entity manufacture or commercialize any device, procedure, drug, vaccine or any other product that is associated with or that will predictably result from the PHS-funded research project listed above?

 No Yes - if yes, please explain:
5. Is it reasonable to anticipate that the Entity could be affected by the PHS-funded research project listed above?

 No - if no, please explain:

 Yes - if yes, please explain:
6. If you, your spouse, registered domestic partner, or dependent children hold a position of management with the Entity, state the position title, describe the responsibilities of the position, and explain any relationship to this project.
7. If this proposal includes the Entity as a subcontractor, consortium member, supplier of goods, lessor or otherwise involved in the project, explain and describe.

Separation of Center and Outside Interests

8. How will you keep your interests and obligations to the Entity separate from your East-West Center activities associated with the PHS-funded research project listed above? Responses could include examples of a clear division of the Entity's goals and business interests and the aims of the PHS-funded research project listed above.
9. Are there any mitigating factors? (Check all that apply.)

 Entity is one of at least several involved in the research project Entity is a large company with products unrelated to this research

 Other non-conflicted Investigators collect data and perform data analyses None of the above
10. Is the Entity providing any of the following for use in the PHS-funded research project listed above? (Check all that apply.)

 Proprietary data Test material, research tools or drugs Equipment or devices

 Entity's facility Entity's personnel None

PHS Financial Disclosure (Form 3) - Additional Information Requested by the COIC**Openness of Teaching and Research Environment**

11. Are there any undergraduate, graduate or postdoctoral students involved in the PHS-funded research project listed above?

- No - if no, please skip to question 14.
 Yes - if yes, please explain:

12. Are you the advisor to any of these students?

- No Yes

13. Are there any constraints or restrictions imposed on the reporting of student work?

- No Yes - if yes, please explain:

Licensing

14. Do you, your spouse or registered domestic partner, or dependent children have an inventive or ownership interest in any intellectual property that will be utilized in the PHS-funded research project listed above?

- No - if no, please skip to question 16.
 Yes - if yes, please provide a brief non-technical description of the intellectual property involved:

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

- Self East-West Center Other (Identify):

16. Does the Entity hold rights to a pending application or issued patent to an invention, license right, or copyright for software of yours, your spouse or dependent children

- No Yes, the license is from the East-West Center
 Yes, and the application, patent, license or copyright does not involve Center-owned intellectual property

17. Please list any previous and pending patents and any recently submitted disclosure of inventions of yours. You may attach your response.

See attached

Verification

I certify under penalty of perjury that this is a complete disclosure of all my significant 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 by signing my name below that it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature: _____ Date: _____

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to PHS regulations 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.