ADDENDUM FORM FOR GIFTS

Addendum to Investigator’s Disclosure of Economic Interests

University of California, Merced

***PLEASE NOTE THAT ONLY TYPED FORMS WILL BE ACCEPTED***

|  |  |
| --- | --- |
| Disclosing Individual: | |
| School/Unit: | Title: |
| Email: | Phone: |
| Intended Research Use of Gift Funding: | |

# Donor Information

Name of Donor:

Donor’s Address:

Principal Business of Donor:

# Description of Financial Interests

**A. Position**

1. Do you, your spouse or registered domestic partner, or dependent child(ren) hold a management position with the Entity (the Company listed above)? Examples include, but are not limited to director, owner, officer, or partner.

NO

YES

If yes, indicate position and responsibilities:

2. Do you, your spouse or registered domestic partner, or dependent child(ren) hold any other type of position with the Entity (the Company listed above)? Examples include, but are not limited to employee, board member, trustee, scientific advisor, or consultant.

NO

YES

If yes, indicate position and responsibilities:

**B. Income**

3. Have you or your spouse, registered domestic partner, or dependent child(ren) received income from the Donor in the past 12 months?

NO

YES – if yes, indicate**:**Self

Spouse/Registered Domestic Partner

Dependent Children

4. Indicate nature of income and amount received from the Donor.

|  |  |  |
| --- | --- | --- |
| a) | Consulting | $ |
| b) | Honoraria | $ |
| c) | Salary | $ |
| d) | Travel Reimbursements | $ |
| e) | Royalty Payments | $ |
| f) | Other | $  Please describe the nature of the income: |

5. If you, your spouse or registered domestic partner, or dependent child(ren) received *consulting income* from the Donor, specifically describe the nature of the consulting activities or services.\*

\**If consulting income exceeded $10,000 within the last 12 months, attach a copy of the consulting agreement.*

6. If you, your spouse or registered domestic partner, or dependent child(ren) received *honoraria* from the Donor, describe the services for which it was received.

7. If you, your spouse or registered domestic partner, or dependent child(ren) received *travel reimbursements* from the Donor, provide dates and purpose of travel.

**C. Gift (Personal Gifts)**

8. Have you or your spouse, registered domestic partner, or dependent child(ren) received a *personal gift* from the Donor in the past 12 months?

NO

YES – if yes, indicate**:** Self

Spouse/Registered Domestic Partner

Dependent Children

Indicate amount/value of the gift: $

**D. Equity**

9. Do you or your spouse, registered domestic partner, or dependent child(ren) hold an *equity interest* in the Donor?

NO

YES – if yes, indicate**:** Self

Spouse/Registered Domestic Partner

Dependent Children

10. Indicate the nature of the *equity interest* and value.

a) Stock (publicly traded)

Number of Shares

What percentage of Donor's issued and outstanding shares does this interest represent? (check box)

0-5% 6-10% 11-25%>26%

b) Stock (not publicly traded)

Estimated Current Stock Value $Total

Number of Shares

What percentage of Donor’s issued and outstanding shares does this interest represent? (check box)

0-5% 6-10% 11-25%>26%

1. Stock Options

Number of Shares

What percentage of Donor's issued and outstanding shares does this interest represent? (check box)

0-5% 6-10% 11-25%>26%

Is the Donor publicly traded? NO

YES

**E. Loans**

1. Do you or your spouse, registered domestic partner, or dependent child(ren) have a *loan arrangement* with the Donor?

NO

YES – if yes, indicate**:** Self

Spouse/Registered Domestic Partner

Dependent Children

12.Indicate amount of loan: $

## Separation of University and Outside Interests

13. Describe how the intended research use of the gift funding overlaps or does not overlap with the interests of the Donor.

14. Provide a brief description of the intended research use of the gift and how it benefits the University's mission of teaching, research and public service.

## Licensing

1. Does the Donor 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 University – describe invention:

YES, and the application, patent, license or copyright does not involve University owned intellectual property – describe invention and license arrangement:

## Verification

I certify under penalty of perjury that this is a complete disclosure of all financial interests related to the specified project, I have used all reasonable diligence in preparing this Description of Financial Interest Disclosure, and to the best of my knowledge it is true and complete.

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Signature Date

Retention of Information: Three (3) years after termination of project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Office of Research.

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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 Revised Policy on Disclosure of Financial Interest in Private Sponsors of Research dated April 8, 1982. 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. The official responsible for maintaining the above information is the Vice Chancellor for Research |