

## Disclosure Supplement

### Financial Conflict of Interests (FCOI)

This form is to be completed by Lead Principal Investigator and other Investigators or Key personnel who have reported a financial interest on the Federal Conflict of Interest Form. The information provided herein may be released or transmitted to the sponsor upon request, and per the California Public Records Act it may also be released to the public upon request.

Name of Investigator:

Title of Research Project:

Name of Entity in which you have a financial interest:

If a for-profit Entity: ☐ Publicly Traded ☐ Non-Publicly Traded

1. Are you a founder, co-founder, or do you hold a management position such as board member, director, officer, partner, or trustee in the entity listed above?

☐ Yes ☐ No If "YES," what position(s):

If you are a CSULB faculty member and are a founder, co-founder, salaried employee of, or hold an executive or management position in the entity listed above, please attach a copy of the approval for outside professional activities required under California State University Policy. ☐ Approval attached ☐ Not Applicable

2. Do you, your spouse or registered domestic partner or dependent child, have:

- A. An investment of \$10,000 or more or a 5% or more ownership interest in the sponsor or entity listed above.

☐ Yes ☐ No If "Yes," please specify type (Check all that apply):

☐ Stock ☐ Stock Options ☐ Founders Share ☐ Bonds ☐ Other (specify):

If stock or stock options, number of shares: and/or estimated current dollar value: \$

If bonds, estimated current value: \$

Estimated percentage of total value of the company your interest represents: %

- B. Whether or not you, your spouse or domestic partner, and dependent children already have an existing investment in the entity listed above, do you anticipate obtaining any new financial interests?

☐ Yes ☐ No If "Yes," please describe:

3. Did you, your spouse or registered domestic partner or dependent child receive income (including any payment, such as salary or consulting fees, royalty payments (paid directly by the entity), reimbursement of expenses (including travel), etc.) of \$10,000 or more received within the last 12 months from the entity listed above? (Do not include any salary or summer salary paid by the University with funds provided by the sponsor or entity listed above.)

☐ Yes ☐ No Amount: \$

Do you, your spouse or registered domestic partner or dependent child receive income anticipate receiving income of \$10,000 or more during the next 12 months?

☐ Yes ☐ No Anticipated Amount: \$

If you received income, or anticipate receiving income, please specify the type (check all that apply).

☐ Consulting Income ☐ Honoraria ☐ Salary ☐ Reimbursement for travel, per diem

☐ Royalties (not from CSU)

☐ Dividends

☐ Other (specify):

4. Have you received any loans received from the entity listed above for which the outstanding balance has exceeded \$10,000 in the past 12 months?

☐ Yes

☐ No

Balance: \$

Interest rate:

%

5. Do you have an inventive or ownership interest in any intellectual property (e.g., inventions, tangible research materials, copyrights, etc.) that will be utilized in this project?

☐ Yes

☐ No

If yes, please answer questions A through E below.

A. Please provide a brief non-technical description of the intellectual property involved.

B. Will the IP be used as a research tool, or will it be further developed under the proposed research?

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

☐ Me, My spouse, and/or my dependent children

☐ The California State University

☐ The research sponsor

☐ Other (specify):

D. If the California State University is the owner of the intellectual property, has it optioned or licensed the intellectual property?

☐ Yes

☐ No

If yes, CSU Case No., if known:

Please indicate:

☐ Optioned

☐ Licensed

Name of entity to which intellectual property has been optioned or licensed:

E. Do you currently receive, or do you anticipate receiving in the future, royalty or other income resulting from licenses of the intellectual property?

☐ Yes, royalty or other income is/may be received from California State University

☐ Yes, royalty or other income is/may be received from a third party.

☐ No

6. Will you be supervising or assigning students, postdoctoral fellows, or other trainees on this project?

☐ Yes

☐ No

If yes, please answer A through C below:

A. Please describe their participation or assignment:

B. Please explain whether the direct participation of students, postdoctoral fellows or other trainees in the research being supported or in any related consulting activities would hinder their ability to report or publish for academic (including thesis or dissertation) purposes.

C. Will the students, postdoctoral fellows or other trainees participate in any consulting or other relationship with the entity listed above, either independently or as an assistant to you?

☐ Yes

☐ No

If yes, please describe:

7. Do you own or have any other financial interest in an entity that is proposed as a subcontractor, consortium member, or lessor, or is otherwise involved in the project? Please describe the relationship.

8. Please describe your role and responsibilities on this project.

9. If you reported a significant financial interest related to this project, please explain, to the best of your ability, how this interest may have a direct and significant impact on the design, conduct or reporting of the proposed research or, alternatively, why you believe it will not have a direct and significant impact.

### VERIFICATION

I have used all reasonable diligence in preparing this statement, and to the best of my knowledge it is true and complete.

Signature and Date