**LAWRENCE BERKELEY NATIONAL LABORATORY**

**DISCLOSURE OF FINANCIAL INTERESTS (Form DFI-2)**

Principal investigators, co-principal investigators, and other individuals (e.g., postdocs) responsible for the design, conduct, or reporting of a project must disclose their financial interests in any organization *associated with the oil and gas industry* that might benefit from the research. Disclosure is required at the time a new, continuation, or amendment proposal is submitted to the agency and whenever there is a change in the financial interests of a responsible individual or if any new participants are added to the project. Disclosures must be submitted at the same time as all other proposal materials. Failure to disclose may result in loss of federal funding. Under the California Public Records Act, this information may be released to sponsoring agency personnel or members of the public. For positive and negative disclosures, originals are included with the proposal; a copy of positive disclosures must be provided to the Research Compliance Office (RCO).

|  |  |
| --- | --- |
| Principal Investigator’s Name:       | Proposal No.:       |
| Title of Proposal/ Award:       |

|  |  |
| --- | --- |
| **SPONSOR TYPE** (please check one)**:**  |  |

|  |
| --- |
| **[ ]  Department of Energy****[ ]  National Science Foundation****[ ]  WFO from Sponsor w/funding from NSF** **[ ]  National Aeronautics and Space Administration (NASA)****[ ]  UC Discovery Grants & UCOP Special Research Programs** **[ ]  Other Public Funding** [ ]  **Other (specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |

|  |
| --- |
| **NAME OF PARTICIPANT MAKING THIS DISCLOSURE:** Do you, your spouse, registered domestic partner, or dependent children have any disclosable direct1, indirect, or related financial interest(s)2 related to the work to be conducted as part of this proposed project? Interests are related to the research if the interests: * could be affected by the results or outcome of the research,
* are in the sponsor of the research (even if unrelated to the research being proposed),
* are in another entity conducting research or business that could be affected by the research, or

**[ ]  No** **[ ]  Yes** - attach LBNL Positive Disclosure of Financial Interests Form (Form DFI-3)**CERTIFICATION**I certify that this is a complete and accurate disclosure of any financial interest which would reasonably appear to be related to this sponsored project.Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**For terms and definitions, please see following page.**

**TERMS AND DEFINITIONS**

**1. WHAT IS DIRECT FINANCIAL INTEREST?**

Income3 exceeding $10,000 or 5% ownership related to the research

**2. WHAT IS A RELATED FINANCIAL INTEREST?**

Whenever it could reasonably appear that the research to be undertaken could be affected by, or have an affect on an investigator’s financial interest, the financial interest is “related” to the sponsored project. The following are financial interests "related" to the sponsored project:

1. The Investigator is conducting a project where the results could be relevant to the development, manufacturing, or improvement of the products or services of the entity in which the Investigator has a financial interest.
2. The Investigator has a financial interest in an entity which might manufacture or commercialize a drug, device, procedure or any other product used in the project or that will predictably result from the project.
3. The Investigator receives income exceeding $10,000 (including payments to the Compensation Plan) from a single entity for consulting activities that would reasonably appear to be related to the research.
4. The Investigator has a financial interest in an entity and the sponsored project will subcontract a portion of the work, or lease property, or make purchases from the entity.
5. The Investigator receives a payment specifically for recruiting or enrolling a human subject in the study.
6. There is an intellectual property interest, such as an invention or a patent (actual, planned, or applied for) or a copyright for software assigned or licensed (or to be assigned or licensed) to a party other than the Regents of UC.

**3. WHAT IS CONSIDERED INCOME?**

1. Income from a single (**for profit**) business entity including salary, consulting fees, honoraria, royalties, dividends, or any other payments or consideration with value, including payments made to the University Compensation Plan
2. Equity in any one enterprise in the form of stock, stock options, real estate, or any other investment or ownership interest
3. A management position, such as board member, director, officer, partner, or trustee in any business entity
4. A position as employee in any business entity
5. A loan arrangement with a business entity
6. Income, from a single public or non-profit entity including salary, consulting payments, honoraria, royalties, or any other payments or consideration with value, including payments made to the Compensation Plan, excluding income from seminars, lectures, teaching engagements or service on a scientific advisory board.