Principal Investigator's Statement of Financial Interests

NSF and Other Non-PHS Governmental Agencies

Under Cal State LA's Conflict of Interest policy, the Principal Investigator and all other investigators/personnel who have or share responsibility for the design, conduct, or reporting of NSF sponsored projects must disclose all significant financial interests of the investigator (including those of the investigator's spouse/registered domestic partner and dependent children) (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.

Sponsor: NSF

☐ Subaward with Federal Agency pass through (specify sponsor and pass through agency) _____

Reason for Disclosure: ☐ New Proposal ☐ Continuation/Additional Funding ☐ New/Change Investigator

☐ New Interest Obtained (Previous proposal/award # if applicable): _____

☐ New Sponsor on Existing Project (Previous sponsor name): _____

☐ Request from IRB ☐ No Cost Time Extension ☐ Other

Title of Proposal: _____

Budget Period From: _____ Through: _____ Project Period From: _____ Through: _____

Amount Requested (estimated) for Budget Period $: _____

IRB/IACUC/IBC No(s) if applicable: _____

Disclosure and Certification

The Principal Investigator's signature acknowledges having read Cal State LA's Financial Conflict of Interest Policy for Investigators Sponsored by the National Science Foundation (NFS) and certifies that all individuals required to make disclosures of Significant Financial Interests have been listed on this form, or that no other individuals working on the research are required to make decisions.

Do you, your spouse or registered domestic partner, or dependent children have a Significant Financial Interest (i) that would reasonably appear to be affected by the research or educational activities funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be affected by such activities? *(See next page for definitions of Significant Financial Interests)*

☐ No ☐ Yes Addendum attached

Are there other Investigators/key personnel who share responsibility for the design, conduct, or reporting of the research? ☐ No ☐ Yes

If YES, those Investigators/key personnel should be named below, and you should direct them to the Other Investigators/Key Personnel Statement of Financial Interests/PHS form to complete their disclosures.

Print or Type Name of Other Investigator(s)/key personnel (this would include co-PIs, consultants, sub-recipients, or any others who have, or share, responsibility for the design, conduct, or reporting of this PHS sponsored projects). IT IS THE RESPONSIBILITY OF THE PI TO PROVIDE THESE NAMES.

Signature **Principal Investigator**: _____ Date: _____

Print or Type Name of **Principal Investigator**: _____

☐ Administrative Review
Institutional Official: _____ Date: _____

Significant financial interests *are involved and must be disclosed where one or more of the following financial interests of the investigator (and those of the investigator's spouse/domestic partner or dependent children) reasonably appears to be related to the investigator's Institutional responsibilities:*

- A *significant financial interest* exists if an equity interest that, when aggregated for the investigator and the investigator's spouse/ domestic partner and dependent children, exceeds $10,000 in value as determined through reference to public prices or other reasonable measures of market value, and represent more than a 5% ownership interest in any single entity

- A *significant financial interest* exists when salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse/domestic partner of dependent children, have exceeded or are expected to exceed $10,000 during any immediately preceding or following 12 monthperiod.

For National Science Foundation (NSF), significant financial interest **does not** *include:*

- Salary, royalties or other remuneration from the applicant Institution
- Any ownership interest in the Institution, if the Institution is an applicant under the Small Business Innovation Program or Small Business Technology Transfer Program
- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities
- Income from service on advisory committees or review panels for public or nonprofit entities
- Equity interest and/or salary, royalty and other payments do not exceed the thresholds in the section regarding NSF immediately above

Under the California Public Records Act, this information may be made available to the public upon request.