

Tracking No. \_\_\_\_\_

Received/Filed By: \_\_\_\_\_

**ADDGENE, INC.**  
**SIGNIFICANT FINANCIAL INTERESTS (SFI) DISCLOSURE FORM**

**Grant-Funded Research Information**

Name:	Role / Job Title:
Research Start Date:	Research End Date:
Research Project Title / Description:	
Sponsor: <input type="checkbox"/> PHS <input type="checkbox"/> NIH <input type="checkbox"/> Other: _____	
<input type="checkbox"/> Subcontract of PHS Funds from: _____	

**Type of Proposal / Disclosure**

<input type="checkbox"/>	New Proposal	<input type="checkbox"/>	Supplemental Funding Which Includes Time Extension
<input type="checkbox"/>	Annual Reporting / Non-Competing Continuation	<input type="checkbox"/>	No-Cost Time Extension
<input type="checkbox"/>	Renewal / Competing Continuation	<input type="checkbox"/>	New Investigator Added to Research

**Disclosure of Interests****I. Publicly Traded Entity (e.g., For-Profit Organization) - *Income and Equity Interests***

Have you, your spouse or registered domestic partner, and/or dependent children received (or expect to receive) income or payment for services in the past 12 months, own equity\* interest in any publicly traded entity related to your Addgene responsibilities or any other remuneration exceeding \$5,000 USD when aggregated?

☐ NO   ☐ YES

*\*does not include investments in which you do not control investment decisions (e.g., mutual and retirement funds)*

If you ticked "yes" above, please provide the following information:

Name of Entity:

Actual or Anticipated Amount:

Nature of remuneration (income, stocks, etc.):

## II. A. Non-Publicly Traded Entity (e.g., privately held companies, universities, NPOs, gov. agencies) - *Income*

Have you, your spouse or registered domestic partner, and/or dependent children received (or expect to receive) income or payment for services in the past 12 months, exceeding \$5,000 USD, when aggregated, from any non-publicly traded entity related to your Addgene responsibilities? This does not include your Addgene salary or income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

☐ NO ☐ YES

## B. Non-Publicly Traded Entity (e.g., privately held companies, universities, NPOs, gov. agencies) - *Equity*

Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, (or expect to own or acquire) **any** equity interest in any non-publicly traded entity related to your Addgene responsibilities? This can include (but is not limited to) stocks, stock options, or any ownership interests.

☐ NO ☐ YES

If you ticked "yes" to any of the above, please provide the following information:

Name of Entity:

Actual or Anticipated Amount:

Nature of remuneration (income, stocks, etc.):

## III. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children received (or expect to receive) income or payment, in the past 12 months, for any intellectual property rights and interests (e.g., patents, copyrights, assigned or licensed to a party other than Addgene) exceeding \$5,000 USD related to your Addgene responsibilities?

☐ NO ☐ YES

If you ticked "yes" above, please provide the following information:

Name of Entity:

Actual or Anticipated Amount:

Nature of remuneration (income, stocks, etc.):

## IV. Travel Reimbursement and/or Sponsorship

Have you received **any** travel reimbursement or been sponsored for travel (i.e. travel expenses paid on your behalf), in the past 12 months, by any entity related to your Addgene responsibilities? This does not include your Addgene salary or income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, a U.S. institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

☐ NO ☐ YES

If you ticked "yes" above, please provide the following information:

Name of Entity:

Actual or Anticipated Amount:

Nature of remuneration (income, stocks, etc.):

## Acknowledgment and Certification

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my Addgene responsibilities and I have used all reasonable diligence in preparing this financial disclosures form, 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 interests obtained during the term of this publicly funded research.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_

NOTICE: The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to Addgene's status as a nonprofit organization, may also be released to the public upon request. These records will be retained for 3 years after termination of this publicly funded research or until resolution of any action by the sponsor, whichever is greater.

## Form Help

### 1. Who must complete this form?

- Investigators: those responsible for the design, conduct, or reporting of publicly funded research, and/or those who proposed for such funding
- Senior / Key Personnel: those identified as senior/key personnel by Addgene in the grant application, progress report, or any other report submitted to the federal funding agency

### 2. When should this form be completed?

- Prior to engaging in the publicly-funded research
- Annually during the course of federal sponsored research
- Immediately if/when:
  - Addgene revises its FCOI Policy that affects its Investigator requirements
  - A new Investigator joins Addgene
  - A new SFI is discovered or acquired, or
  - An Investigator is not in compliance with Addgene's FCOI Policy or conflicts management plan

### 3. What is an “entity” for purposes of this form?

- Any domestic or foreign, public or private, for-profit or nonprofit, organization (*excluding* federal agencies) from which you, your spouse or registered domestic partner, or dependent children receives remuneration or in which any person has an ownership or equity interest.

### 4. What is considered “remuneration” for purposes of this form?

- salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);
- equity interests such as stocks, stock options, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value

### 5. When is an activity or organization “related to my Addgene responsibilities?”

- Addgene responsibilities consist of your day to day duties as well as any educational, research, outreach, training and other public services on behalf of Addgene and directly related to those credentials, expertise and achievements upon which your Addgene position is based
- An activity or organization is “related to Addgene responsibilities” when the activity or the organization's activities fall within the scope of your responsibilities described above