

ADDGENE, INC.

SUBRECIPIENT INVESTIGATORS ON PUBLICLY FUNDED RESEARCH

Disclosure Requirements: You have been identified as a subrecipient investigator subject to Addgene's Financial Conflict of Interest Policy. As an investigator on a proposed federally funded project, please disclose your significant financial interests (SFI) aggregated with those of your spouse and dependent children, on this form. These disclosure requirements are in compliance with PHS regulations 42 CFR Part 50 Subpart F or Chapter IV of the NSF Award and Administration Guide, as applicable.

Disclosures **must** be made:

- For PHS and NSF funded projects – an initial disclosure must be provided prior to Addgene submitting the proposal.
- For PHS and NSF funded projects – an update for disclosing new significant financial interests must be provided within 30 days of discovering or acquiring any new financial interest (including those that may arise between the time the proposal is submitted and the time a subaward is made)
- For PHS funded projects – an annual update must be provided during the period of the subaward. Annual disclosures are due between March 1 and March 31 regardless of when you made your initial disclosure or disclosed new SFIs.

NOTE: Addgene cannot not submit a proposal until disclosures from all investigators on the project have been received.

Training Requirement for PHS funded projects: If a proposed PHS funded project is awarded, you are required to complete conflict of interest training before engaging in work related to the PHS funded award and again every four years during the period of the subaward. The required training will be made available to you through Addgene.

DEFINITIONS

- “Remuneration” includes all salary and any payment for services not otherwise identified as salary, such as consulting fees, honoraria, and paid authorships.
- “Equity interest” includes any stock, stock option, or other ownership interest with the value determined through public prices or other reasonable measures of fair market value.
- “Publicly traded entities” include organizations whose ownership is organized via shares of stock which are intended to be freely traded on a stock exchange or in over-the-counter markets.
- “Non-publicly traded entities” include organizations whose ownership is not publicly traded or sold, and may include universities, nonprofit organizations, privately held corporations, and governmental entities.

EXCLUSIONS

- Salary, royalties, or other remuneration paid by the Subrecipient (as named below) if you (or your spouse or dependent children, as applicable) are currently employed or otherwise appointed by the Subrecipient.
- Income related to intellectual property rights assigned to the Subrecipient or to agreements to share in royalties related to such rights.
- Income from investment vehicles such as mutual funds and retirement accounts for which you, your spouse and dependent children do not directly control the investment decisions made in such vehicles.
- Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education as defined at 20 U.S.C. 1001(a).
- Income from service on advisory committees or review panels for a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education as defined at 20 U.S.C. 1001(a).

You need to report only those “Significant Financial Interests” (SFI) that are, or could be perceived to be, directly related to your employment responsibilities or to the work you will be performing in collaboration with Addgene on the identified project.

DISCLOSURE FORM INSTRUCTIONS

When you complete the disclosure form (last page of this document), if you check to indicate that you are disclosing any significant financial interests (SFI), as listed in numbers 1 through 6, please attach additional pages to your disclosure form to provide Addgene with the requested details listed below.

When responding to the prompts in the disclosure form under “**Disclosure of Interests**”, please remember that you are considering **all** your, your spouse’s and your dependent children’s financial interests **in aggregate**.

1. If you tick prompt #1, please provide the following information for **each** publicly traded entity involved:
 - The name of the publicly traded entity
 - The combined value of the remuneration received and equity interest
 - An explanation of how you determined the value of your equity interest
 - An explanation of how this financial interest could or could not appear to be related to your employment responsibilities and to the work you will be performing on the Addgene research project
2. If you tick prompt #2 please provide the following information for **each** non-publicly traded entity involved:
 - The name of the non-publicly traded entity
 - Whether the financial interest was remuneration or other equity interest
 - If it was remuneration, the value of that received
 - An explanation of how you determined the value of your equity interest
 - An explanation of how this financial interest could or could not appear to be related to your employment responsibilities and to the work you will be performing on the Addgene research project
3. If you tick prompt #3, provide a list of the intellectual property rights (copyrights, patents, etc.) and the value of income received from each.
4. If you tick prompt #4, provide the following for **each** entity involved:
 - The name of the entity
 - The value of the equity interest
 - The percentage of ownership your interest represents in that entity
 - An explanation of how you determined the value of your equity interest
 - An explanation of how this financial interest could or could not appear to be related to your employment responsibilities and to the work you will be performing on the Addgene research project
5. If you tick prompt #5, provide the following information for **each** instance of such travel / expense:
 - The identity of the sponsor or organizer of the travel
 - The purpose of the trip
 - The destination
 - The duration of the trip
 - The reimbursed or sponsored costs for travel expenses (e.g., food, lodging, airfare)

Tracking No. _____

Received/Filed By: _____

ADDGENE, INC.

SUBRECIPIENT DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS FORM**Subrecipient Information**

Name:	Project Role:
Email:	Telephone:
Research Start Date:	Research End Date:
Subrecipient Organization:	
Address:	
Research Project Title / Description:	
Addgene Point of Contact/Collaborator:	
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

Check any and all of the following that represent your significant financial interest when aggregated with those of your spouse and dependent children:

<input type="checkbox"/>	1. Remuneration received from any publicly traded entity during the 12 months preceding this disclosure, plus equity interest in that entity as of the date of this disclosure, the combined value of which exceeds \$5,000.
<input type="checkbox"/>	2. Remuneration received during the 12 months preceding this disclosure from any non-publicly traded entity that exceeds \$5,000 in value, or any equity interest in that entity as of the date of this disclosure.
<input type="checkbox"/>	3. Income related to intellectual property rights and interests.
<input type="checkbox"/>	4. Equity interest in any single entity, the value of which exceeds \$10,000 and represents more than a 5% ownership as of the date of this disclosure.
<input type="checkbox"/>	5. Travel related to my work on this project that was paid on my behalf or reimbursed to me, excluding such travel that was paid by a federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. § 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education as defined at 20 U.S.C. § 1001(a).

Attachments

☐ Details of the significant financial interests I identified above are provided on attached pages.

☐ I do not have any significant financial interests to disclose at this time.

Subrecipient Investigator Acknowledgment and Certification

I have read Addgene's Financial Conflicts of Interest Policy pertaining to federally funded research and understand my responsibilities thereunder. I agree to comply with the conditions or restrictions that may be imposed by Addgene to manage my real or perceived financial conflicts of interest. I understand that I may be asked to provide additional information when needed to determine if a financial conflict of interest exists.

Furthermore, I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to my responsibilities on this federally funded research project 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.