

# Declaration of Interest for Academia Sinica (For Non-Governmental Organization Sponsored Case)

Academia Sinica provides this form to a person(s) who have the obligations of making a disclosure, according to Articles 6 and 7 of the Management Guidelines on Conflicts of Interest (hereinafter referred to as **Guidelines**), which stipulate the disclosure requirements of the above mentioned personnel to disclose his/her significant financial interests in a for-profit enterprise or non-governmental organization to the Conflicts of Interest Committee (hereinafter referred as **COIC**). The COIC or IRB shall determine whether conflicts exist and decide measures to manage, reduce or eliminate such conflicts.

## Part 1. Filer 's information

Name :

Unit/Department :

Position :

TEL :

E-Mail :

**Filer's job title in this research project:**

☐ Principal Investigator; ☐ Co- Investigator; ☐ Joint Investigator; ☐ Others:

## Part 2. Research Project / Designated Donation information

Name of the Research Project / Designated Donation :

Docket Number (Not Applicable for Designated Donation ) :

**Type of Research project:**

- ☐ Research-related donation project (Article 6 of the Guidelines)  
☐ Sponsored research project (Article 7 of the Guidelines)  
☐ Commissioned research project (Article 7 of the Guidelines)  
☐ Cooperative research project (Article 7 of the Guidelines)  
☐ Other types: \_\_\_\_\_

**Name of the Donation/Sponsorship/Commission/Cooperation Unit :**

**Principal Investigator of Research Project :**

Research project start date :

Research project end date :

**Whether the research project is human subject research or human research:**

- ☐ No;  
☐ Yes, please also fill in the IRB Personal Non-financial Relationship Conflict of Interest Management Disclosure Form

**Does the research project focus on research related to the technology that the Academia Sinica has licensed, assigned or transferred?**

- ☐ No;
- ☐ Yes, please explain below: (please state the technical name and the docket number)

### Part 3. Information regarding Significant Financial Interest:

**1. The for-profit or non-governmental organization(s) related to this disclosure are hereinafter referred to as “Entity”:**

**2. Have you, your spouse or cohabiting partner, or minor children, obtained or expected to receive an amount greater than NT\$150,000 in financial interests from the Entity within one year prior to this disclosure?**

- ☐ No
- ☐ Yes; please explain below:

Remark :

1. “Spouse” includes a same sex partner who has been registered for marriage.
2. “Financial Interests” refers to any interest including: chattel, real-estate, cash, deposits, foreign exchange, securities with value, loans, rights with pecuniary values, interests with economic values, or that are acquirable through money transactions.
3. Rights of shares shall be reported in the next section.
4. Financial interests managed by the trustee, the frontman in a name-borrowing contract in which you are a silent owner, or your agent, your spouse or cohabiting partner, or children (minors) shall be aggregately calculated with all of the financial interests.
5. For donations made by Academia Sinica, such as those designated for use by you, the laboratory that you preside over, or your specific research project in progress, etc., it should be aggregately calculated with all of the financial interests.
6. Royalty payments generated from licensing contracts approved by Academia Sinica, and fees for the Principal Investigators or stipends from contracts for research approved by Academia Sinica, shall not be considered as Financial Interests. However, income or consulting fees from part-time jobs approved by Academia Sinica shall be aggregately calculated with all of the financial interests.

**3. Have you, your spouse or cohabiting partner, or minor children had invested or held the shares of the Entity within the last year prior to this disclosure? (Please refer to the point 1 of the Remark below)**

- ☐ No. (Please refer to the point 2 of the Remark below).
- ☐ Yes, have invested or held shares
- ☐ Investment, and the amount of investment in aggregation exceeds NT\$150,000. Please explain below:
  - ☐ The shares are of the non-listed or not over-the-counter companies. Please explain below:
  - ☐ The shares are of the listed or over-the-counter companies, and the market value

exceeds NT\$150,000. Please explain below:

Remark :

1. The "Investments" referred to in this question indicated those investments with financial interests to the disclosed Entity without holding rights of shares of the disclosed Entity. Stock options or interests in other forms are included.
2. In the following two situations, please check "No".
  - (1) No investment or holding of shares in the disclosed Entity.
  - (2) Investment in the disclosed entity, but the amount of investment does not exceed NT\$150,000.
  - (3) Have invested or held the shares of the disclosed Entity, but the shares are of listed or over-the-counter company, and the total market value does not exceed NT\$150,000.
3. For the interests of you, your spouse or cohabiting partner, or children (minors), the shares invested or held by the trustee, the frontman in a name-borrowing contract in which you are a silent owner, or your agent shall be aggregately calculated with all of the financial interests.

**4. Are you, your spouse or cohabiting partner, or minor children, serving as the person(s) in charge, director(s), supervisor(s) or manager(s) of the Entity?**

- ☐ No  
☐ Yes; please explain below.

Remark:

Any information in relation to an Entity, if required, maybe obtained from the website of the Ministry of Economic Affairs using the website provided below. However, information that cannot be acquired from the website shall also be disclosed.

<https://findbiz.nat.gov.tw/fts/query/QueryBar/queryInit.do>

**5. Are you, your spouse or cohabiting partner, or minor children, the intellectual property rights holders of the patents or works used in this research project or related to the research project, or have obtained financial interests as a result?**

- ☐ No  
☐ Yes; please explain below.

Remark :

The "financial interests" referred to in this question refers to the financial interests obtained from patents or works used by or related to the research project of Academia Sinica. Therefore, items such as royalties or authorization funds obtained from the technical transfer contract of Academia Sinica are NOT the financial interests referred to in this question.

#### **Part 4. Statement**

If the COIC or IRB considers the facts disclosed to affect the execution, review and monitoring of the research or technical transfer, a person(s) making a disclosure shall:

1. comply with the opinion of the COIC or IRB and follow its advice.
2. comply with the conditions or restrictions suggested by the COIC or IRB in order to

manage, reduce or eliminate any existing or possible conflicts of interest.

3. understand that according to the Guidelines, a person(s) making a disclosure, investigators and technicians who violate this Guidelines shall be referred to the Divisional Ethics Review Committee with which the violator is affiliated.
4. promise to abide by all relevant criminal and administrative laws and rules.

I have used all reasonable diligence in reading the Guidelines and I confirm that all the information provided above is correct and consistent as to the best of my knowledge. If the information provided is found to be dishonest, I accept full responsibility. If I discover any other conflicts of interest that requires additional declaration after the making of this declaration, such conflicts of interest shall be disclosed to the COIC immediately.

**Address to:**  
**Conflicts of Interest Committee of Academia Sinica**

**Date of Disclosure:**            (month)/            (Day)/            (Year)    (Required)

**Signature:** \_\_\_\_\_ **(Required)**