

- (1) Submit this document only if Q1 or Q2 in item 4 is applicable to you.
- (2) **Please note that the contents of your disclosure will be examined by the Conflict of Interest Management Committee and informed to the head of your department.**
- (3) The details that you report in this document can be subject to inquiry of the Office for COI Management.
- (4) When you make a report on your side business with the attached document, submit a copy of the Application Form for Permission for Side Business (the form yet to be approved is available). Please note that you can be requested to submit other materials regarding a document explaining the outline of companies in which you are involved and other things.
- (5) How to submit: In-house mail, Address: The Office for COI Management (Box No.: 事B16-3), Tel: 217-4398

Tohoku University Disclosure Form for New Conflict of Interest (General)

To Chairperson for COI Management Committee

1. Write the name of the company subject to COI management.

Name of corporation * /

* For the name of company, confirm its official name and write it without omitting 'Co., Ltd.' or other words.

2. Circle the item corresponding to this report, and if this report is about the continuation of a COI case, write the date when the previous application was approved by the COI committee. Circle also the item corresponding to the type of this application.

Report on a new COI case / Report on a continuation (Date of the committee's approval Month Day Year)

3. Have you submitted the Regular Disclosure on Conflict of Interest ? (Circle the appropriate answer.)

Yes, I have /
No, I haven't *

* If you have not submitted the report, immediately submit it with this document to the Office for COI Management because the committee cannot assess and evaluate this report without it. The form for regular COI management report are sent directly to person subject to COI management every year in the period from late July to early August.

4. Enter the numbers of items corresponding to your relationship with the company mentioned above in the following Q1 and Q2.

© If you are not sure that you have to report a case in which you received something valuable but that is not applicable to items listed in Q1 or Q2, consult with the Office for COI Management.

Q1. For your financial interests, write the all numbers of items from ① to ⑧ corresponding to your situation.

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Left align

- ① Ownership of unlisted shares: one share or more (including shares of corporations that have gone public within the past one year), Capital injection for LLC, LLP, private limited company etc.
- ② Ownership of listed shares (5% or more of outstanding shares)
- ③ Ownership of share warrant (unexercised)
- ④ Receipt of annual income of more than one million yen¹⁾ [Regardless of the name such as lecture and loyalty, the total income received from one corporate entity, dividends from shares and the sale of shares]
- ⑤ Receipt of annual royalties of more than two million yen for intellectual property rights (patent, transfer of copyright, etc.) (total of the amounts allocated to individuals and to the lab)²⁾
- ⑥ Gratuitous receipt and/or borrowing of goods, gratuitous receipt of services [regardless of the monetary amount and with or without a contract or memorandum (excluding those included in research contracts such as joint research contracts, commissioned research contracts, etc. regulated by the University)]
- ⑦ Receipt of financing/guarantees (other than from banks or other financial institutions)
- ⑧ Engaged as a board member of a company that utilizes the results of your research.

Q2. For your academia-industry collaboration, write the all numbers of items from ⑪ to ⑳ corresponding to your situation.

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Left align

- ⑪ External professional activities [work or clerical tasks done by the University's employees for organizations other than the University, with or without remuneration] ⑫ Joint research³⁾ ⑬ Commissioned research (including clinical trials)³⁾
- ⑭ Commissioned business (including consortiums)³⁾ ⑮ Provision of academic consulting³⁾
- ⑯ Receipt of donations (excluding operating costs for donation lectures)³⁾ ⑰ Receipt of research grants³⁾
- ⑱ Acceptance of commissioned researchers (including corporate employees undertaking postdoctoral fellowships)
- ⑲ Receipt or provision of outcomes (including those based on MTA regulated by the University)
- ⑳ Procurement of goods, equipment, systems, etc. and business consignments of annual amounts exceeding three million yen per year (other than educational and research purposes; this includes cases where a decision-maker is introducing university facilities, etc. including the determination of specifications and selection of models. Device repair and services are also included.)⁴⁾
- ㉑ Technology transfer²⁾ (patent, transfer of copyright, etc.) ㉒ Students' involvement in corporate entities⁵⁾

- 1) Excluding income from the central governmental ministries and agencies, independent administrative corporations, local public organizations and schools and medical work for hospitals and other medical institutions.
- 2) If the transfer was made via TLO, please declare the relationship with the company to which the technology was actually transferred, and please declare that the transfer was made via TLO.
- 3) Requested to disclose cases where the total amount reaches 2 million yen or over. (External professional activities is work or clerical tasks done by the University's employees for organizations other than the University, with or without remuneration. This disclosure excludes external professional work for the central governmental ministries and agencies, independent administrative corporations, local public organizations and schools and medical work for hospitals and other medical institutions.)
- 4) Accumulated small amounts are included in the annual amounts of three million yen. The term "decision-maker" refers to a person in a position that carries the right to make decisions or being a member (or the chairperson) of an internal committee established for the purpose of making decisions.
- 5) If any of your students participate in a company that you are involved with or any activities other than academic education.

5. Write the details of items of numbers that you entered in Q1 or Q2 in 4 into the applicable columns below.

◎ If there is not enough space, use another sheet (any style is OK) and submit it with this report.

①、②、③ Applicable to Ownership of unlisted shares, Capital injection, Ownership of listed shares, Ownership of share warrant

○ If you have one or more unlisted stocks (including stocks listed one year ago or later), 5% of issued stocks or an equity warrant of a listed company or are financing an LLC, circle the appropriate item below and write the details.

(1) Date of acquisition (sell-off/investment) _____	(2) Number of stocks you acquired/sold (trading unit of shares) _____
(3) Number of stocks you currently own (trading unit of shares) _____	(4) Total number of share issued _____
(5) Amount of money you paid for/received or invested _____	(6) Reason for the acquisition (sell-off) or investment _____

④ Applicable to annual income of 1 million yen or more

○ Write ✓ in the box for applicable items. If you answer that the type of the income is a side business in (2), you do not need to enter ⑪.

(1) Amount _____ (2) Type of Income: ☐ External professional activities ☐ General ☐ Board member → Title _____)
☐ Compensation ☐ Dividend, etc. ☐ Honorarium ☐ Manuscript fees/royalties ☐ Other
 (3) Time or period of acquisition _____

⑤ Applicable to Receipt of annual royalties of more than two million yen for intellectual property rights

(1) Amount _____ (2) Time (or period) of acquisition _____
 (3) Type of Intellectual Property (patent, copyright, etc.) _____ (4) Time of technology transfer _____

⑥ Applicable to Gratuitous receipt and/or borrowing of goods, gratuitous receipt of services

Specific details _____

⑦ Applicable to Receipt of financing/guarantees (1) Time/Period _____ (2) Amount _____

⑧ Applicable to engaged as a board member of a company that utilizes the results of your research.

○ Please provide details of the research results generated by the applicant and which the corporation is planning to utilize in its business (name of technology (patent), etc.).

Details of Research Results _____

⑪ Applicable to External professional activities

○ Enter ✓ in the box for applicable items. If you wrote about your side business in ④, you do not need to fill in ⑪.

(1) Type of External professional activities : ☐ General ☐ Board member → Title _____
 (2) Income _____ (3) Period of engagement _____

⑫、⑬、⑭、⑮、⑯、⑰、⑱ Applicable to Joint research, commissioned research, commissioned business, and/or provision of academic consulting

○ Enter ✓ in the box for applicable items. ○ If the amount of money does not reach 2 million yen for the year, you do not need to enter.

☐ Joint research ☐ Commissioned research (including clinical trials)
☐ Commissioned business (including consortiums) ☐ Provision of academic consulting
☐ Receipt of donations(excluding operating costs for donation lectures) ☐ Receipt of research grants
☐ Acceptance of commissioned researchers (including corporate employees undertaking postdoctoral fellowships)

(1) Time /Period _____ (2) Amount _____
 (3) Number of persons accepted (Enter only the number of contract researchers) _____ (4) research title _____

⑲ Applicable to Receipt or provision of outcomes Specific details _____

⑳ Applicable to Procurement of goods (1) Time of the activity to be conducted (period) _____ (2) Amount _____

㉑ Applicable to technology transfer **If you wrote about your technology transfer in ⑤, you do not need to fill in ㉑.**

(1) Type of Intellectual Property (patent, copyright, etc) _____ (2) Time of technology transfer _____
 (3) Amount _____ (4) Time (or period) of acquisition _____

㉒ Applicable to Students' involvement in corporate entities

Specific details _____

comment _____

I hereby certify that this disclosure is accurate.

(Year) _____ (Month) _____ (Day) _____

Division _____ Job title _____ Signature _____