

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

Please refer to the points listed below in completing the Tohoku University Disclosure Form for New Conflict of Interest (General).

1. Standards and Terminology

(1) Standards

- ① Annual income of ¥1 million or more from a single corporation (regardless of the name such as lecture and loyalty. This covers remuneration for the total income received from one corporate entity 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. Royalty income of 2 million or more (total of the amount allocated to individuals and the amount allocated to the lab) based on intellectual property is subject to disclosure.)
- ② Holding of 5% or more of the outstanding shares of a listed company
- ③ Holding of one or more shares of an unlisted company (includes companies that have only been listed within the past year)

(2) Terminology

- ① **Academia-industry collaboration** external professional activities, refers to joint research, commissioned research, commissioned business, academic consulting, receipt of donations and research grants, acceptance of commissioned researchers (including corporate employees undertaking postdoctoral fellowships), receipt or provision of outcomes, Procurement of goods, equipment, systems, business consignments, technology transfers and students' involvement in corporate activities.
- ② **Corporation** refer to companies, institutions etc.
- ③ **Institutions** include private companies, national, local public organizations, independent administrative corporations, public interest corporations (healthcare corporations, school corporation) and incorporated NPOs.
- ④ **Share warrants** is a general term for stock options, inclusive of share warrants and corporate bonds with share warrants, and refers to the right to obtain shares at a predetermined price (exercise price) within a stipulated period.
- ⑤ **Financing/guarantees** exclude financing/guarantees received from banks and other financial institutions.
- ⑥ **Capital injection** refers to providing finance for limited liability companies (LLCs), limited liability partnerships (LLPs).
- ⑦ **External professional activities** 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. Part-time worker who does not require permission for activities but still engage in activities is also asked to report.
- ⑧ **Procurement of goods** includes manufacturers and distributors. This includes cases of procuring facilities for university use (applies to persons responsible in organizations

involved in facility procurement such as the chairperson or a member of an in-house committee.)

- ⑨ **Gratuitous receipt and/or borrowing of goods** refers to cases where goods owned by corporations are provided for or used in your lab without any monetary payment, regardless of the monetary amount (excluding those included in research contracts such as joint research contracts, commissioned research contracts, etc. regulated by the University).
- ⑩ **Gratuitous receipt of services** entails the dispatch of personnel to academic meetings, inspections, and research. Here, “academic meetings” does not include those co-organized by academic associations and corporate entities and those included in joint research contracts and committed research contracts.
- ⑪ **Technology transfer** refers to the transfer to companies/institutions of research products, copyrights, etc. owned by Tohoku University as intellectual property. Please report the relationship between companies and organizations to which the technology has actually been transferred.

2. Submission

- (1) Once you have completed the Disclosure Form, please submit it to the Office for COI Management In-house mail. (In-house mail Box No.: 事B16-3)
When you make a report on your side business, 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.
- (2) The details that you report in this document can be subject to inquiry of the Office for COI Management.
- (3) 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.