

CONFIDENTIAL

FY2012 Conflict of Interest^a Disclosure^b Form for External Activities

Period covered by this disclosure form: April 1, 2012 – March 31, 2013 (Including anticipated future financial interests)

Due date for submission of this disclosure form: Friday May 24, 2013

Please send to Ms. Kubo of VP for Administrative Compliance

Are you engaged in any of the following activities with any organization other than OIST, such as a corporation or private company?

Yes → **Go to the next section.**

No → **Please sign the reverse page and submit this form.**

- A) External employment or appointment (corporate director, auditor, visiting professor, part-time lecturer, technical advisor)
- B) Professional activities (≥300,000 JPY per corporation: academic consulting, technical guidance or consulting, member of panel or committee) *(US\$3,000, @ US\$1.0=100 JPY)*
- C) Lecture, speech or writing (≥50,000 JPY per activity) *(US\$500)*
- D) Joint research, sponsored research, sponsored business (≥300,000 JPY per contract) *(US\$3,000)*
- E) Receipt of donations to your unit (≥300,000 JPY per donation) *(US\$3,000)*
- F) Acceptance or approval of sponsored researchers, supporting staff, or any other personnel supported in your unit by the outside organization.
- G) Technology transfer (license transactions, transfer, disclosure, etc. of intellectual property with which you are concerned, to the organization)

For each external organization in which you serve, please fill out the attached Appendix and submit it with this disclosure form.

Q1. In which activities are you engaged (or do you plan to be engaged) in the external organization? Choose from the items listed in the appendix.

Q2. Concerning your activity with the external organization, did you or any immediate family member ^{note 1} receive personal financial benefits of ≥50,000 JPY *(US\$500)* per activity or ≥300,000 JPY *(US\$3,000)* annually (tax included) from this organization? Or do you expect to receive such remuneration in the future?

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Q3. Do you or any immediate family members have equity^{note 2} in the external organization? If the organization is publicly traded, do you have an equity position in the organization greater than 5%? If the organization is privately held, do you have any stock or stock options in it? If you do not currently have an equity position with this organization, do you plan to do so in the future?

Q4. Have you received a donation of ≥300,000 JPY (US\$3,000) during one year (tax included) from this organization to your unit at OIST?

Q5. When OIST placed an order with this organization for goods, services, or construction, etc., did you have any role in making the decision or in specifying the details regarding any order of ≥1.6 million JPY (US\$16,000) (tax included)? Do you expect to be concerned with such decisions in the future? If so, please explain.

Note 1: “Immediate family member” is defined here as a spouse, domestic partner or dependent children.

Note 2: Equity, as used here, denotes stock, investments, share options (including stock options) and benefit claims, etc.

I hereby certify that this disclosure is accurate.

Date : _____

Division/Job Title : _____

Name : _____

Signature : _____

^a When there is divergence between an individual's private interests and his or her professional obligations to the OIST Graduate University, such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise, there is an individual conflict of interest. An individual conflict of interest depends on the situation, and not on the character or actions of the individual. To facilitate evaluation of situations that may give rise to conflicts of interest, formal written disclosure of external activities and commitments is required of all University officers and employees each year, based on PRP Section 22.3.1 in “**Avoiding Conflicts of Interest & Commitment.**”

^b “The Conflict of Interest Review Panel” will assess your disclosure. Personal information disclosed will be managed as stipulated by law. The privacy of officers and employees will be protected, and obligations of confidentiality that they have assumed will be honored and safeguarded.

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- Addition
- Amendment
- Deletion

Date: _____

Unit/Division: _____

Name: _____

Signature: _____

Name of Corporation / Organization	1)	2)
Q1. In which of the listed activities are you engaged?	<input type="checkbox"/> External employment / appointment Position: _____ <input type="checkbox"/> Professional activities Kind: _____ <input type="checkbox"/> Lecture / speech / writing <input type="checkbox"/> Joint or sponsored research <input type="checkbox"/> Donation / money contribution <input type="checkbox"/> Acceptance or approval of sponsored researchers, supporting staff, etc. <input type="checkbox"/> Technology transfer <input type="checkbox"/> Others: _____	<input type="checkbox"/> External employment / appointment Position: _____ <input type="checkbox"/> Professional activities Kind: _____ <input type="checkbox"/> Lecture / speech / writing <input type="checkbox"/> Joint or sponsored research <input type="checkbox"/> Donation / money contribution <input type="checkbox"/> Acceptance or approval of sponsored researchers, supporting staff, etc. <input type="checkbox"/> Technology transfer <input type="checkbox"/> Others: _____
Q2. Concerning your activity with the organization, did you or your immediate family members receive personal financial benefits of ≥50,000 JPY (US\$500) per activity or ≥300,000 JPY (US\$3,000) annually? Or do you expect to receive such benefits in the future?	<input type="checkbox"/> Yes, I received or expect to receive. <input type="checkbox"/> Yes, my immediate family members received or expect to receive such benefits. <input type="checkbox"/> No.	<input type="checkbox"/> Yes, I received or expect to receive. <input type="checkbox"/> Yes, my immediate family members received or expect to receive such benefits. <input type="checkbox"/> No.
Q3. Do you or your immediate family members have an equity position in the organization? Equity position: ≥5% Privately Held: ≥1 share	<input type="checkbox"/> Yes, I have or expect to have. <input type="checkbox"/> Yes, my immediate family members have or expect to have such an equity position. <input type="checkbox"/> No.	<input type="checkbox"/> Yes, I have or expect to have. <input type="checkbox"/> Yes, my immediate family members have or expect to have such an equity position. <input type="checkbox"/> No.
Q4. Did you receive a donation of ≥300,000 JPY (US\$3,000) annually to your unit?	<input type="checkbox"/> Yes, I have received or expect to receive such a donation. <input type="checkbox"/> No.	<input type="checkbox"/> Yes, I have received or expect to receive such a donation. <input type="checkbox"/> No.
Q5. Were you involved in making the decision or specifying the details regarding any order or contract worth ≥1,600,000 JPY (US\$16,000)? Or do you expect to have such involvement in the future?	<input type="checkbox"/> Yes, I am involved or expect to be. Amount: _____ JPY Involvement: _____ <input type="checkbox"/> No.	<input type="checkbox"/> Yes, I am involved or expect to be. Amount: _____ JPY Involvement: _____ <input type="checkbox"/> No.

Name of Corporation / Organization	3)	4)
<p>Q1. In which of the listed activities are you engaged?</p>	<p><input type="checkbox"/> External employment / appointment Position: _____</p> <p><input type="checkbox"/> Professional activities Kind: _____</p> <p><input type="checkbox"/> Lecture / speech / writing</p> <p><input type="checkbox"/> Joint or sponsored research</p> <p><input type="checkbox"/> Donation / money contribution</p> <p><input type="checkbox"/> Acceptance or approval of sponsored researchers, supporting staff, etc.</p> <p><input type="checkbox"/> Technology transfer</p> <p><input type="checkbox"/> Others: _____</p>	<p><input type="checkbox"/> External employment / appointment Position: _____</p> <p><input type="checkbox"/> Professional activities Kind: _____</p> <p><input type="checkbox"/> Lecture / speech / writing</p> <p><input type="checkbox"/> Joint or sponsored research</p> <p><input type="checkbox"/> Donation / money contribution</p> <p><input type="checkbox"/> Acceptance or approval of sponsored researchers, supporting staff, etc.</p> <p><input type="checkbox"/> Technology transfer</p> <p><input type="checkbox"/> Others: _____</p>
<p>Q2. Concerning your activity with the organization, did you or your immediate family members receive personal financial benefits of ≥50,000 JPY (US\$500) per activity or ≥300,000 JPY (US\$3,000) annually? Or do you expect to receive such benefits in the future?</p>	<p><input type="checkbox"/> Yes, I received or expect to receive.</p> <p><input type="checkbox"/> Yes, my immediate family members received or expect to receive such benefits.</p> <p><input type="checkbox"/> No.</p>	<p><input type="checkbox"/> Yes, I received or expect to receive.</p> <p><input type="checkbox"/> Yes, my immediate family members received or expect to receive such benefits.</p> <p><input type="checkbox"/> No.</p>
<p>Q3. Do you or your immediate family members have an equity position in the organization?</p> <p>Equity position: ≥5%</p> <p>Privately Held: ≥1 share</p>	<p><input type="checkbox"/> Yes, I have or expect to have.</p> <p><input type="checkbox"/> Yes, my immediate family members have or expect to have such an equity position.</p> <p><input type="checkbox"/> No.</p>	<p><input type="checkbox"/> Yes, I have or expect to have.</p> <p><input type="checkbox"/> Yes, my immediate family members have or expect to have such an equity position.</p> <p><input type="checkbox"/> No.</p>
<p>Q4. Did you receive a donation of ≥300,000 JPY (US\$3,000) annually to your unit?</p>	<p><input type="checkbox"/> Yes, I have received or expect to receive such a donation.</p> <p><input type="checkbox"/> No.</p>	<p><input type="checkbox"/> Yes, I have received or expect to receive such a donation.</p> <p><input type="checkbox"/> No.</p>
<p>Q5. Were you involved in making the decision or specifying the details regarding any order or contract worth ≥1,600,000 JPY (US\$16,000)? Or do you expect to have such involvement in the future?</p>	<p><input type="checkbox"/> Yes, I am involved or expect to be. Amount: _____ JPY Involvement: _____</p> <p><input type="checkbox"/> No.</p>	<p><input type="checkbox"/> Yes, I am involved or expect to be. Amount: _____ JPY Involvement: _____</p> <p><input type="checkbox"/> No.</p>