



**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
Food and Drug Administration

**Certification of Compliance**  
**Under 42 U.S.C. § 282(j)(5)(B), with Requirements for ClinicalTrials.gov Data Bank**

(For submission with an application/submission, including amendments, supplements, and resubmissions, under §§ 505, 515, 520(m), or 510(k) of the Federal Food, Drug, and Cosmetic Act or § 351 of the Public Health Service Act.)

**SPONSOR / APPLICANT / SUBMITTER INFORMATION**

1. Name of Sponsor/Applicant/Submitter		2. Date of the Application/Submission	
3. Address		4. Telephone and Fax Numbers <i>(Include country code if applicable and area code)</i>	
Address 1 <i>(Street address, P.O. box, company name c/o)</i>		(Tel): _____	
Address 2 <i>(Apartment, suite, unit, building, floor, etc.)</i>		(Fax): _____	
City	State/Province/Region		
Country	ZIP or Postal Code		

**PRODUCT INFORMATION**

5. **For Drugs/Biologics:** Include Any/All Available Established, Proprietary and/or Chemical/Biochemical/Blood/Cellular/Gene Therapy Product Name(s).  
**For Devices:** Include Any/All Common or Usual Name(s), Classification, Trade or Proprietary or Model Name(s) and/or Model Number(s)

Continuation Page for #5

**APPLICATION / SUBMISSION INFORMATION**

6. Type of Application/Submission Which This Certification Accompanies

IND   
  NDA   
  ANDA   
  BLA   
  PMA   
  HDE   
  510(k)   
  PDP   
  Other

7. Include IND/NDA/ANDA/BLA/PMA/HDE/510(k)/PDP/ Other Number  
*(If number previously assigned)*

If BLA was selected in item 6, provide Supplement Number

8. Serial Number Assigned to Application/Submission Which This Certification Accompanies

**CERTIFICATION STATEMENT / INFORMATION**

9. Check only one of the following boxes *(See instructions for additional information and explanation)*

A. I certify that the requirements of 42 U.S.C. § 282(j), section 402(j) of the Public Health Service Act, including 42 CFR part 11, do not apply because the application/submission which this certification accompanies does not reference any clinical trial.

B. I certify that the requirements of 42 U.S.C. § 282(j), section 402(j) of the Public Health Service Act, including 42 CFR part 11, do not apply to any clinical trial referenced in the application/submission which this certification accompanies.

C. I certify that the requirements of 42 U.S.C. § 282(j), section 402(j) of the Public Health Service Act, apply to one or more of the clinical trials referenced in the application/submission which this certification accompanies and that the requirements of 42 U.S.C. 282(j), including any applicable provisions of 42 CFR part 11, have been met.

*Certification Statement / Information section continued on page 2*

**CERTIFICATION STATEMENT / INFORMATION (Continued)**

10. If you checked box C, in number 9, provide the National Clinical Trial (NCT) Number(s) for any "applicable clinical trial(s)," for which you (the sponsor/applicant/submitter) are the "responsible party" under 42 U.S.C. § 282(j)(1)(a)(i), section 402(j)(1)(a)(i) of the Public Health Service Act referenced in the application/ submission which this Certification accompanies. (Add continuation page as necessary.)

NCT Number(s): \_\_\_\_\_

**Continuation Page for #10**

The undersigned declares, to the best of her/his knowledge, that this is an accurate, true, and complete submission of information. I understand that the failure to submit the certification required by 42 U.S.C. § 282(j)(5)(B), section 402(j)(5)(B) of the Public Health Service Act, and the knowing submission of a false certification under such section are prohibited acts under 21 U.S.C. § 331, section 301 of the Federal Food, Drug, and Cosmetic Act.

**Warning:** A willfully and knowingly false statement is a criminal offense, U.S. Code, title 18, section 1001.

11. Name and Title of the Person who Signs Number 15

Name	Title
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12. Address

Address 1 (Street address, P.O. box, company name c/o)	
Address 2 (Apartment, suite, unit, building, floor, etc.)	
City	State/Province/Region
Country	ZIP or Postal Code

13. Telephone and Fax Numbers

*(Include country code if applicable and area code)*

(Tel): \_\_\_\_\_

(Fax): \_\_\_\_\_

14. Date of Certification

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15. Signature Of Sponsor/Applicant/Submitter or an Authorized Representative (Sign)

**Sign**

This section applies only to requirements of the Paperwork Reduction Act of 1995.

**\*\*\*DO NOT SEND YOUR COMPLETED FORM TO THE PRA STAFF ADDRESS BELOW.\*\*\***

The burden time for this collection of information is estimated to average 15 minutes and 45 minutes (depending on the type of application/ submission) per response, including the time to review instructions, search existing data sources, gather and maintain the data needed and complete and review the collection of information. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden to:

Department of Health and Human Services  
Food and Drug Administration  
Office of Chief Information Officer  
Paperwork Reduction Act (PRA) Staff  
[PRASStaff@fda.hhs.gov](mailto:PRASStaff@fda.hhs.gov)

*"An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB number."*

CONTINUATION PAGE FOR ITEM 5 – Product Information for Drugs/Biologics and/or for Devices

For Drugs/Biologics: Include Any/All Available Established, Proprietary and/or Chemical/Biochemical/Blood/Cellular/Gene Therapy Product Name(s).

For Devices: Include Any/All Common or Usual Name(s), Classification, Trade or Proprietary or Model Name(s) and/or Model Number(s)

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**CONTINUATION PAGE FOR ITEM 10 – NCT Number(s)**

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*If you have additional NCT Number(s) to enter, use as many of the provided slots below as needed.*

NCT Number(s): \_\_\_\_\_

_____	_____	_____	_____	_____
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