

DISCLOSURE SUPPLEMENT

This form is to be completed by all Principal Investigators and other Investigators who have reported a financial interest either on a Form 700-U or a 700-U Addendum. Completion of this form is required in accordance with UCLA Procedure 925.2. The information provided herein may be released or transmitted to the sponsor upon request. Per the California Public Records Act, it may also be released to the public upon request.

Name: _____		
Principal Investigator's Name (if different): _____		
Funding Entity: _____		
If a for-profit Entity:	Publicly Traded	Non-Publicly Traded
Title of Research Project: _____		

NOTE: REPORTING PERIOD FOR DISCLOSURE SUPPLEMENT MAY DIFFER FROM REPORTING PERIOD FOR FORM 700-U

NEW PROPOSALS: For items 1, 2, and 3 below, report financial interests held as of the date the award is made or received from the sponsor within the 12 months prior to the date that the award is made.

FOR RENEWALS, AMENDMENTS AND SUPPLEMENTS: For items 1, 2 and 3 below, report financial interests held or received during the 12 months prior to the current date.

<p>1. Are you a director, officer, partner, trustee, or employee of, or do you hold any position of management (paid or unpaid) in the entity listed above?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes Title(s): _____</p>
<p>2. Have you, your spouse or registered domestic partner, or dependent children, received:</p> <p>A. Income (including any payment, such as salary or consulting fees) from the entity listed above in the reporting period? (Do not include any salary or summer salary paid by the University with funds provided by the sponsor or entity listed above.)</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes Amount: \$ _____ Check all that apply:</p> <p style="margin-left: 20px;"> <input type="checkbox"/> Consulting Income <input type="checkbox"/> Honorarium <input type="checkbox"/> Salary <input type="checkbox"/> Reimbursement for travel, per diem, other <input type="checkbox"/> Royalties (not from The Regents) <input type="checkbox"/> Dividends <input type="checkbox"/> Other (specify): _____ </p> <p>How much of this income was received during preceding 12 months? \$ _____</p> <p>Do you anticipate receiving income during the next 12 months? <input type="checkbox"/> No <input type="checkbox"/> Yes Amount: \$ _____</p> <p>B. Gifts from the entity listed above during the last 12 months? <input type="checkbox"/> No <input type="checkbox"/> Yes Fair Market Value: \$ _____</p> <p>C. Loans received from the sponsor or entity listed above in the reporting period? <input type="checkbox"/> No <input type="checkbox"/> Yes Balance: \$ _____ Interest rate: _____%</p>
<p>3. Do you, your spouse or registered domestic partner, or dependent children, have an investment or ownership interest in the entity listed above?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes Estimated current value: \$ _____</p> <p>Do you anticipate obtaining a new (or additional) interest, through a stock purchase plan, an employee stock option plan, or by other similar means?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes Describe: _____</p> <p>If you indicated above or in Question 3.B. of the 700-U that you have an existing investment interest (e.g., stocks, bonds, warrants and options, including those held in margin or brokerage accounts), please indicate type (aggregate for family). Check all that apply:</p> <p><input type="checkbox"/> Stock <input type="checkbox"/> Stock Options <input type="checkbox"/> Bonds <input type="checkbox"/> Other (specify): _____</p> <p>If stock or stock options, number of shares: _____ and/or estimated current dollar value: \$ _____</p> <p>If the entity is not publicly traded please explain the basis for the evaluation: _____</p> <p>If bonds, estimated current value: \$ _____ Estimated percentage of total value of the company your interest represents: _____%</p>

4. Do you have an inventive or ownership interest in any intellectual property (e.g., inventions, tangible research materials, copyrights, etc.) that will be utilized in this project?

No Yes If Yes, please answer questions A – E below.

A. Please provide a brief non-technical description of the intellectual property involved.

B. Will the IP be used as a research tool or will it be further developed under the proposed research?

C. Please identify the owner of the intellectual property to be utilized in this project:

The Regents of the University of California Me, my spouse or registered domestic partner, and/or my dependent children
 The research sponsor Other (identify): _____

D. If The Regents of the University of California is the owner of the intellectual property, has it optioned or licensed the intellectual property?

No Yes (UC Case No., if known: _____) Please circle one: Optioned Licensed

Name of entity to which the intellectual property has been optioned or licensed: _____

E. Do you currently receive, or do you anticipate receiving in the future, royalty or other income resulting from licenses of the intellectual property?

No Yes, royalty or other income is/may be received from the University of California
 Yes, royalty or other income is/may be received from a third party

5. Will you be supervising or assigning students, postdoctoral fellows, or other trainees on this project?

No Yes

A. If Yes, please describe their participation or assignment:

B. Would the direct participation of students, postdoctoral fellows or other trainees in the research being supported or in any related consulting activities in any way hinder their ability to report or publish for academic purposes (including thesis or dissertation)? Please explain.

C. Will the students, postdoctoral fellows or other trainees participate in any consulting or other relationship with the sponsor or entity listed above, either independently or as an assistant to you?

No Yes, describe: _____

6. If you have an ownership or other interest in an entity that is proposed as a subcontractor, consortium member, lessor or is otherwise involved in the project, please describe the relationship.

7. Please provide additional information or any details about the specific nature of your financial interest(s) that you feel would be helpful to the Conflict of Interest Review Committee (CIRC) in its review of this matter. Attach additional pages as necessary.

If you are a UCLA faculty member and are a salaried employee of, or hold an executive or management position in the sponsor or entity listed above, please attach a copy of APM-025 Appendix B as required under University of California "Policy on Conflict of Commitment and Outside Activities of Faculty Members." (Academic Personnel Manual Section 025)

Not Applicable APM 025 Appendix B attached

VERIFICATION

I have used all reasonable diligence in preparing this statement, and to the best of my knowledge it is true and complete.

Signature

Date