

Investigators' Statements of Financial Interests

Under UCLA Policy 925, the Principal Investigator and all other UCLA Investigators who share responsibility for the design conduct, or reporting of certain sponsored projects must report their personal financial interests in any organization(s) that, to the best of the Investigator's knowledge, may have a significant impact on the conduct of this research or might benefit from the anticipated results of the proposed project.

Sponsor: (please check one box below)

- Federal Agency (specify) _____ UC Special Research Programs
 Subaward from Federal Agency (specify) _____ CIRM
 Other _____

Reason for Disclosure: New Proposal Additional Support New Investigator New Interest(s) Obtained
 IRB Request Voluntary Disclosure Other _____

Title of Proposal: _____

IRB/ARC No(s) (if applicable): _____

Disclosure and Certification

The Principal Investigator's signature certifies that all individuals required to make disclosures of Significant Financial Interests have been listed on this form, or that no other individuals working on the research are required to make such disclosures:

Are there other Investigators who share responsibility for the design, conduct, or reporting of the research? No Yes

If YES, those Investigators must sign and complete the section below.

All Investigators named below acknowledge their responsibility to disclose any new Significant Financial Interests acquired during the term of the award.

Do you, your spouse or registered domestic partner, or dependent children have a Significant Financial Interest related to the work to be conducted under the proposed project? *(See reverse for definitions of Significant Financial Interests)*

1. _____ NO YES, Form 740 Supplement attached
 Signature (Principal Investigator) Date

 Print or Type Name of Principal Investigator

2. _____ NO YES, Form 740 Supplement attached
 Signature Date

 Print or Type Name of Other Investigator

3. _____ NO YES, Form 740 Supplement attached
 Signature Date

 Print or Type Name of Other Investigator

4. _____ NO YES, Form 740 Supplement attached
 Signature Date

 Print or Type Name of Other Investigator

Significant Financial Interest(s): Significant Financial Interests include but are not limited to:

- *Income* including salary or other payment for services including consulting fees, honoraria, reimbursement of expenses (including travel), royalty payments, dividends, loans from an entity, or any other payments or consideration with value, including payments made to a health sciences compensation plan, during the prior twelve months or anticipated in the next twelve months, *of \$10,000 or more*;
- *Equity* in the form of stock, stock options, warrants, real estate, loans to or from an entity, or any other investment or ownership interest exceeding *either* \$10,000 (current market value if publicly traded; otherwise, amount of investment) *or* a 5% ownership interest, for any one enterprise;
- *A management position*, whether paid or unpaid, such as board member, director, officer, partner, or trustee;
- *All intellectual property interests such as patents, patent applications, trademarks and copyrightable software* (but not scholarly publications or other published works) that you own or is controlled by an individual or party other than The Regents, irrespective of whether such intellectual property has resulted in any income.

Reporting is for the individual, his/her spouse or registered domestic partner, and dependent children. Specifically excluded from the definition of Significant Financial Interests are intellectual property owned by The Regents and payments made by The Regents for remuneration from the University including salary, stipends, honoraria, reimbursement of expenses and royalty payments.

Under the California Public Records Act, this information may be made available to the public upon request.