## FINANCIAL INTEREST DISCLOSURE REQUIREMENTS

| Reporting Triggers | • Research contract/grant from a non-governmental entity (including the industry sponsor match for subawards made under SBIR/STTR grants)  
• Gift (earmarked specifically for research or for a specific PI)  
• Material Transfer Agreement  
  Note: Some non-governmental sponsors are exempted from the disclosure requirements. See exempt list. |
| Who Must Disclose | • UCLA Principal Investigator(s)  
• Other Investigators (UCLA employee who shares responsibility for design, conduct, or reporting of the results of a sponsored project) |
| What to Disclose | **For the PI:** A financial interest in the sponsor of the research including:  
• Income ≥ $500<sup>1</sup>  
• Investments ≥ $2,000<sup>2</sup>  
• Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)<sup>3</sup>  
• Loan balances ≥ $500  
• Gifts valued at ≥ $50<sup>4</sup>  
• Travel<sup>5</sup>  
**For Other Investigators:** A significant financial interest in the sponsor of the research including:  
• Income ≥ $10,000<sup>1</sup>  
• Equity ≥ $10,000 or 5%<sup>2</sup>  
• Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)<sup>3</sup>  
• Intellectual property  
  Note: Financial interests must be reported for the discloser and his/her spouse or registered domestic partner, and dependent children. |
| When to Disclose | • With the initial proposal  
• With requests for additional support  
  Note: All positive disclosures must be reviewed and approved prior to acceptance of the award or additional support. |
| Disclosure Forms | **Principal Investigator:**  
• State [Form 700-U](https://example.com)  
• [UCLA Form 700-U Addendum](https://example.com)  
• [Supplement](https://example.com)* (if 700U is positive)  
  *For industry-supported clinical trials, complete [Industry Clinical Trial Specific Disclosure Supplement](https://example.com) online smart form  
**Other Investigators:**  
• [UCLA Form 700-U Addendum](https://example.com)  
• [Supplement](https://example.com)* (if positive)  
  *For industry-supported clinical trials, complete [Industry Clinical Trial Specific Disclosure Supplement](https://example.com) online smart form |
Definitions:

1. **Income** includes but is not limited to salaries, wages, advances, dividends, interest, rent, proceeds from sale, gifts (incl. food & beverage), loan forgiveness, expense reimbursement, per diem, contributions to insurance/pension programs, outstanding loans.

2. **Investments/Equity** include any direct, indirect or beneficial financial interest in a business, stocks, bonds, warrants, options.

3. **Key Position/Management Position** includes any position of management, whether paid or unpaid, including director, officer, partner, trustee, consultant, employee, or board member.

4. **Gifts** are anything of value for which equal or greater consideration have not been provided. Gifts commonly include: tickets/passes to sporting or entertainment events or amusement parks; parking passes; food, beverages and accommodations including that provided in direct connection with attendance at a convention, conference, meeting, social event, meal, or like gathering, where a speech, participation in a panel or seminar, or similar service was not provided; rebates/discounts not made in the regular course of business to members of the public; wedding gifts; honoraria (honoraria may be reported as income if the services provided were of equal or greater value than the payment received); transportation and lodging; and forgiveness of a loan received by the discloser.

5. **Travel** includes advances and reimbursements for travel and related expenses, including lodging and meals. Travel payments are considered gifts if no services equal to or greater in value than the payments received are provided. Gifts of travel ≥$50 must be disclosed (a description and dates must be provided). Travel payments are considered income if services equal to or greater in value than the payments received are provided. Travel income ≥$500 must be disclosed (a description of the services must be provided; dates are not required to be disclosed for travel income). Disclosure is not required for: payments for transportation within California in connection with an event in which a speech, participation in a panel or seminar, or similar service was provided; food, beverages and necessary accommodations received directly in connection w/an event held inside or outside California at which a speech, participation in a panel, or similar service was provided (payments for transportation outside California are reportable); payments from 501(c)(3) nonprofit entities for which services of equal or greater consideration are provided.