

FINANCIAL INTEREST DISCLOSURE REQUIREMENTS

	STATE
<p>Reporting Triggers</p>	<ul style="list-style-type: none"> ▪ 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 <p><i>Note: Some non-governmental sponsors are exempted from the disclosure requirements. See exempt list.</i></p>
<p>Who Must Disclose</p>	<ul style="list-style-type: none"> ▪ UCLA Principal Investigator(s) ▪ Other Investigators (UCLA employee who shares responsibility for design, conduct, or reporting of the results of a sponsored project)
<p>What to Disclose</p>	<p>For the <u>PI</u>: A financial interest <i>in the sponsor</i> of the research including:</p> <ul style="list-style-type: none"> ▪ Income \geq \$500¹ ▪ Investments \geq \$2,000² ▪ Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)³ ▪ Loan balances \geq \$500 ▪ Gifts valued at \geq \$50⁴ ▪ Travel⁵ <p>For <u>Other Investigators</u>: A significant financial interest <i>in the sponsor</i> of the research including:</p> <ul style="list-style-type: none"> ▪ Income \geq \$10,000¹ ▪ Equity \geq \$10,000 or 5%² ▪ Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)³ ▪ Intellectual property <p><i>Note: Financial interests must be reported for the discloser and his/her spouse or registered domestic partner, and dependent children.</i></p>
<p>When to Disclose</p>	<ul style="list-style-type: none"> ▪ With the initial proposal ▪ With requests for additional support <p><i>Note: All positive disclosures must be reviewed and approved prior to acceptance of the award or additional support.</i></p>
<p>Disclosure Forms</p>	<p>Principal Investigator:</p> <ul style="list-style-type: none"> ▪ State Form 700-U ▪ UCLA Form 700-U Addendum ▪ Supplement* (if 700U is positive) <p><i>*For <u>industry-supported clinical trials</u>, complete Industry Clinical Trial Specific Disclosure Supplement online smart form</i></p> <p>Other Investigators:</p> <ul style="list-style-type: none"> ▪ UCLA Form 700-U Addendum ▪ Supplement* (if positive) <p><i>*For <u>industry-supported clinical trials</u>, complete Industry Clinical Trial Specific Disclosure Supplement online smart form</i></p>

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 \geq \$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 \geq \$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.