

# FINANCIAL INTEREST DISCLOSURE REQUIREMENTS

	STATE
<b>Reporting Triggers</b>	<ul style="list-style-type: none"> <li>▪ <b>Research contract/grant from a non-governmental entity</b> (including the industry sponsor match for subawards made under SBIR/STTR grants)</li> <li>▪ <b>Gift</b> (earmarked specifically for research or for a specific PI)</li> <li>▪ <b>Material Transfer Agreement</b></li> </ul> <p><i>Note: Some non-governmental sponsors are exempted from the disclosure requirements. See <a href="#">exempt list</a>.</i></p>
<b>Who Must Disclose</b>	<ul style="list-style-type: none"> <li>▪ <b>UCLA Principal Investigator(s)</b></li> <li>▪ <b>Other Investigators</b> (UCLA employee who shares responsibility for design, conduct, or reporting of the results of a sponsored project)</li> </ul>
<b>What to Disclose</b>	<p><b>For the <u>PI</u>: A financial interest in the sponsor of the research including:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Income</b> ≥ \$500<sup>1</sup></li> <li>▪ <b>Investments</b> ≥ \$2,000<sup>2</sup></li> <li>▪ <b>Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)</b><sup>3</sup></li> <li>▪ <b>Loan balances</b> ≥ \$500</li> <li>▪ <b>Gifts valued at</b> ≥ \$50<sup>4</sup></li> <li>▪ <b>Travel</b><sup>5</sup></li> </ul> <p><b>For <u>Other Investigators</u>: A significant financial interest in the sponsor of the research including:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Income</b> ≥ \$10,000<sup>1</sup></li> <li>▪ <b>Equity</b> ≥ \$10,000 or 5%<sup>2</sup></li> <li>▪ <b>Director, Officer, Employee, Partner, Trustee, Consultant or Management position (paid or unpaid)</b><sup>3</sup></li> <li>▪ <b>Intellectual property</b></li> </ul> <p><i>Note: Financial interests must be reported for the discloser and his/her spouse or registered domestic partner, and dependent children.</i></p>
<b>When to Disclose</b>	<ul style="list-style-type: none"> <li>▪ <b>With the initial proposal</b></li> <li>▪ <b>With requests for additional support</b></li> </ul> <p><i>Note: All positive disclosures must be reviewed and approved prior to acceptance of the award or additional support.</i></p>
<b>Disclosure Forms</b>	<p><b>Principal Investigator:</b></p> <ul style="list-style-type: none"> <li>▪ State <a href="#">Form 700-U</a></li> <li>▪ <a href="#">UCLA Form 700-U Addendum</a></li> <li>▪ <a href="#">Supplement</a>* (if 700U is positive)</li> </ul> <p><i>*For industry-supported clinical trials, complete <a href="#">Industry Clinical Trial Specific Disclosure Supplement</a> online smart form</i></p> <p><b>Other Investigators:</b></p> <ul style="list-style-type: none"> <li>▪ <a href="#">UCLA Form 700-U Addendum</a></li> <li>▪ <a href="#">Supplement</a>* (if positive)</li> </ul> <p><i>*For industry-supported clinical trials, complete <a href="#">Industry Clinical Trial Specific Disclosure Supplement</a> online smart form</i></p>

**Definitions:**

<sup>1</sup> **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.

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

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

<sup>4</sup> **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.

<sup>5</sup> **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.