Disclosing individuals must disclose their financial interests received within the 12 months prior to disclosure submission including the financial interests of his/her spouse/registered domestic partner, and/or dependent child(ren). All positive disclosures must be approved prior to acceptance of the award or additional funding, to expenditure of funds, and/or to IRB review and approval of the protocol. Non-UCI Researchers have different COI forms. Refer to our site here.

<table>
<thead>
<tr>
<th>STATE LAW</th>
<th>NATIONAL SCIENCE FOUNDATION and NATIONAL AERONAUTICS &amp; SPACE ADMINISTRATION</th>
<th>PUBLIC HEALTH SERVICE and DEPARTMENT OF ENERGY</th>
<th>HUMAN SUBJECTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Research contract/grant from a non-governmental entity</td>
<td>• NSF research contracts and grants</td>
<td>• PHS grant, cooperative agreement, contract or DOE financial assistance award (e.g., grant, cooperative agreement or technology investment agreement)</td>
<td>Any study involving human subjects</td>
</tr>
<tr>
<td>• Research Gifts earmarked for a specific individual or a specific research project</td>
<td>• NASA research contract and cooperative agreements</td>
<td>• Non-governmental entity which flows down PHS/DOE funds</td>
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<tr>
<td>• Material Transfer Agreement Note: Exclude all exempt sponsors on FPPC approved list and all non-profit, tax-exempt educational institutions. However, researchers must disclose for the prime sponsor if the educational institution received its funds from a non-governmental entity.</td>
<td>• Non-governmental entity which flows down NSF/NASA funds</td>
<td>• Research Funding from organizations that follow PHS/DOE disclosure requirements (i.e., American Cancer Society, American Heart Association). Complete list here. Note: Exclude Phase 1 SBIR or STTR and Office of Indian Energy</td>
<td></td>
</tr>
<tr>
<td>UCI Principal Investigator and co-Principal Investigator, if applicable</td>
<td>UC Investigator(s) (individuals responsible for the design, conduct, or reporting of the funded research project)</td>
<td>UC Investigator(s) (individuals responsible for the purpose (DOE only), design, conduct, or reporting of the funded research project) Note: DOE has discretion to expand this definition</td>
<td></td>
</tr>
<tr>
<td>Who</td>
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</tbody>
</table>

**What to Disclose**

A financial interest in the non-governmental sponsor of the research including:

- Income ≥ $500
- Investments ≥ $2,000
- Director, Officer, Employee, Partner, Trustee, Consultant or Management position
- Loan Balances ≥ $500
- Personal Gifts Valued at ≥ $50
- Travel Reimbursements

A significant financial interest related to the research project including:

- Salary, honoraria, royalties, venture or other capital financing, or other payments > $10,000 (excluding income from seminars, lectures, teaching engagements, or service on advisory committees or review panels for public or nonprofit entities)
- Equity interest > 10% or 5% ownership interest
- Intellectual Property interest in a patent, patent application, or copyright of a software

A significant financial interest related to the Investigator’s institutional responsibilities including:

- If publicly traded entity, total value of compensation and equity interest ≥ $5,000
- If non-publicly traded entity, total value of compensation > $5,000 or any equity interest
- Income received related to intellectual property > $5,000 (excluding intellectual property owned by the UC)
- Any reimbursed or sponsored travel (excluding (1) travel that is reimbursed or sponsored by a US Federal, state, local government agency, a domestic institution of higher education, or a research institute affiliated with an institution of higher education within US (for PHS only- also exclude an academic teaching hospital, a medical center); and (2) sponsored or reimbursed travel for the Investigator’s spouse/registered domestic partner and/or dependent children.

A disclosable financial interest related to the research including:

<table>
<thead>
<tr>
<th>Income ≥ $10,000</th>
<th>Equity interest1 ≥ $10,000 or 5% in a publicly traded company</th>
<th>Equity interest1 in a privately held company, regardless of the value</th>
<th>Board of Directors, director, officer, partner, trustee or management position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intellectual Property interest in a patent, patent application, or copyright of a software (excluding intellectual property owned by the UC)</td>
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</tbody>
</table>

**When to Disclose**

- With the initial award
- With the renewal award (additional funding intended to extend or results in the extension of a project beyond the originally approved project period)

- With the initial proposal
- When a new Investigator(s) is added
- With any change in an investigator’s financial interest

- With the initial and renewal proposals
- With supplemental funding proposal
- With non-competing continuation
- With no cost time extension
- When a new Investigator(s) is added
- At least annually for duration of project
- With any new significant financial interest (New significant financial interests must be reported within 30 days of acquiring or discovering the new SFI)

- With the KR Protocol application
- With the Renewal
- With any amendment that changes the Lead Researcher or adds Co-Researchers or other research personnel
- With any new related financial interest

**Forms**

- State Disclosure (Form 700U – 3 versions in “Forms” section)
- Addendum (Form COI-1CA) or Gift Addendum (Form COI-2), if necessary

- Annual Disclosure (KR COI)
- Threshold Question (email), if necessary
- Addendum (Form COI-1), if necessary

- Annual Disclosure (KR COI)
- Annual Form 810, if necessary
- Addendum (Form 820), if necessary

- KR Protocols application (online)
- Addendum (Form COI-1), if necessary

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1"Equity interest" includes stock, stock options, private equity and other ownership interests.