

# Instructions for Completing Form 700-U

CALIFORNIA FORM 700-U

## Who Files Form 700-U?

7 KLV IRUP PXVW EH ¿ OHG E\ DOO SH UARSQCEVIB S OUSTANDG E&P  
or CSU who have principal responsibility for a research project if the project is to be funded or supported, in whole or in part, by a contract or grant (or other funds earmarked E\ WKH GRQRU IRU D VSHFL¿F UHVHD D from K S B R C M L H D W G I N S T I T U T I O N S M A D E I N T H E F E D E R A T E S regular course of business on terms available to members RI WKH SXEOLF ZLWKR XW UHJDUG WR \ R X

Reporting requirements are outlined in Regulation 18755. This regulation provides that research funding by certain Q R Q S U R ¿ W H Q W L W L H V Z L O O Q R W W U U W H H I S A G I F F O R V X U H 7 K L V U H J X O D W L R Q is available on the FPPC website.

EXVLQHV V SRVLWLRQV WKDW WKH ¿ OHU KHOGGRU UHFH @ AOL O P P O E I P € O ¿ OHU investments include stocks, bonds, warrants, and options, including those held in margin or brokerage accounts. (See Gov. Code Section 82034 and Regulation 18237.)

## What is Income?

“Income” means a payment received, including but not limited to any salary, wage, advance, dividend, interest, rent, proceeds from any sale, gift, including any gift of food or beverage, loan forgiveness or payment of indebtedness UHFHLYHG E\ WKH ¿ OHU UHLPEXUVHPHQW IRU UHSHFWHG S H U H Q V H I S T I T U T I O N S M A D E I N T H E F E D E R A T E S diem, or contribution to an insurance or pension program paid by any person other than an employer, and any community property interest in income of a spouse or registered domestic partner. Income also includes an outstanding loan. Income of an individual also includes a pro rata share of any income of any business entity or trust in which the individual, spouse, or registered domestic SDUWQH U R Z Q V G L U H F W O \ L Q G L U H F W O \ R U E H Q H ¿ F L D O O \ D interest or greater. Income includes your gross income and your community property interest in your spouse’s or registered domestic partner’s gross income totaling \$500 or more. Gross income is the total amount of income before deducting expenses, losses, or taxes. (See Gov. Code Section 82030.)

## What is a Loan?

Loans received or outstanding are reportable if they total \$500 or more from a single lender. Your community property interest in loans received by your spouse or registered domestic partner also must be reported. Loans from K S B R C M L H D W G I N S T I T U T I O N S M A D E I N T H E F E D E R A T E S regular course of business on terms available to members RI WKH SXEOLF ZLWKR XW UHJDUG WR \ R X reportable. (See Gov. Code Section 82030(a).)

## What is a Gift?

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received from a reportable source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Therefore you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is not known, you must make a good faith estimate of the item’s fair market value. Listing the value of a gift as “over \$50” or “value unknown” is not adequate disclosure.

## Commonly reportable gifts include:

- ‡ Tickets/passes to sporting or entertainment events
- ‡ Tickets/passes to amusement parks
- ‡ Parking passes
- ‡ Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- ‡ Rebates/discounts not made in the regular course of EXVLQHV V WR PHPEHUV RI WKH SXEOLF Z status
- ‡ Wedding gifts
- ‡ \$ Q K R Q R U D U L X P U H F H L Y H G S U L R U W R ¿ O You may report an honorarium as income rather than as a gift if you provided services of equal or greater value than the payment received.
- ‡ Transportation and lodging
- ‡ Forgiveness of a loan received by you

(See Gov. Code Section 82028.)

**STATEMENT OF ECONOMIC INTERESTS**  
**FOR**  
**PRINCIPAL INVESTIGATORS**  
**A Public Document**

Date Received \_\_\_\_\_  
 Campus Use Only

Campus: \_\_\_\_\_

ID No: \_\_\_\_\_

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER ( )
ACADEMIC UNIT OR DEPARTMENT		MAIL CODE	E-MAIL ADDRESS

**1. Information Regarding Funding Entity**  
 (Use a separate Form 700-U for each funding entity.)

Name of Entity: \_\_\_\_\_

Address of Entity: \_\_\_\_\_

Principal Business of Entity: \_\_\_\_\_

Amount of Funding: \$ \_\_\_\_\_

Estimated  Actual

**2. Type of Statement** (Check at least one box)

Initial (for new funding)  
 Date of initial funding: \_\_\_\_/\_\_\_\_/\_\_\_\_

Interim (for renewed funding)  
 Funding was renewed on: \_\_\_\_/\_\_\_\_/\_\_\_\_

**3. Filer Information**

\$ \$ U H \ R X D G L U H F W R U R I z F H U S D U W Q T U L W B U X V W H H E F R Q Y X Q W D A W  
 employee, or do you hold a position of management in the entity listed in Part 1? No  Yes

Title: \_\_\_\_\_

B. Do you, your spouse or registered domestic partner, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above?  
 No  Yes  - value is:

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Exceeds \$1,000,000

Date Disposed: \_\_\_\_/\_\_\_\_/\_\_\_\_, if applicable

**3. Filer Information - Cont.**

D. Have you received loans from the entity in Part 1 for which the balance exceeded \$500 during the reporting period?  
 No  Yes  - highest balance:

\$500 - \$1,000       \$1,001 - \$10,000  
 \$10,001 - \$100,000       Exceeded \$100,000

If you checked "yes," was the loan:  
 Secured     Unsecured    Interest rate: \_\_\_\_\_

Was the loan entirely repaid within the last 12 months?  
 No       Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more?  
 No  Yes  - describe below.

Description: \_\_\_\_\_

Value: \$ \_\_\_\_\_ Date Received: \_\_\_\_/\_\_\_\_/\_\_\_\_

F. \_\_\_\_\_

Type of Payment: (check one)  Gift     Income

Amt: \$ \_\_\_\_\_ date(s): \_\_\_\_/\_\_\_\_/\_\_\_\_ \_\_\_\_/\_\_\_\_/\_\_\_\_  
 (If gift)

Description and, if Gift, Travel Destination: \_\_\_\_\_

\_\_\_\_\_

# Instructions for Completing Form 700-U (continued)

## What is a Travel Payment?

Travel payments include advances and reimbursements for travel and related expenses, including lodging and meals.

- ‡ Travel payments are gifts if you did not provide services which were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement. Gifts of travel are reportable without regard to where the donor is located.

When reporting travel payments which are gifts, you must provide a description of the gift and the date(s) received. In addition, the travel destination must be disclosed.

- ‡ Travel payments are income if you provided services which were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You must disclose the date(s) proving the payments are income rather than gifts.

When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments which are income.

Gifts of travel may be subject to a \$470 gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans," which can be obtained from the FPPC at [www.fppc.ca.gov](http://www.fppc.ca.gov).

You are not required to disclose:

- ‡ Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- ‡ Travel payments received from your employer in the normal course of your employment.

- ‡ \$ WUDYHO SD\PHQW WKDW ZDV UHFHLY... entity exempt from taxation under Internal Revenue Service Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

Check the box to indicate if the payment was a gift or income, report the amount, and disclose the date(s) if applicable.

## Violations

) DLOXUH WR ; OH WKH UHTXLUHG 6WDWHP...  
RU IDLOXUH WR UHSRUW D ; QDQFLDO LQV...  
SULQFLSDO LQYHVWLJDWRU WR FLYLO OL...  
as University discipline. (See Gov. Code Sections 81000-91014.)

## Privacy Information Notice

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