

## Article 1 Designated Positions

Article 1 provides the assigned disclosure category for all positions identified in the Glossary of Designated Positions. General positions identified in Article 1 may include multiple levels of the positions designated (including any Associate, Assistant, Deputy, or Vice position) as specified in the Glossary of Designated Positions. The Glossary of Designated Positions includes all existing positions subject to disclosure as of the effective date of this code. Positions in Article 1 not included in the Glossary of Designated Positions are intended for future designations and may be applied to new positions upon a determination determined by the Filing Officer as outlined below in footnote ii.

| <b><u>TITLE</u></b>   | <b><u>DISCLOSURE CATEGORY</u></b> |
|---|-----------------------------------|
| Administrator .....   | 3                                 |
| Architect/Engineer .....  | 3                                 |
| Auditor .....   | 2, 3                              |
| Buyer with real estate-related authority <sup>i</sup> .....   | 2, 3                              |
| Buyer without real estate-related authority <sup>i</sup> .....                                      | 3                                 |
| Chancellor and Executive Vice Chancellor .....  | 1                                 |
| Chancellor (Associate, Assistant, or Vice) with real estate-related authority <sup>i</sup> .....    | 2, 3                              |
| Chancellor (Associate, Assistant, or Vice) without real estate-related authority <sup>i</sup> ..... | 3                                 |
| Chief or Officer (campus) with real estate-related authority <sup>i</sup> .....                     | 2, 3                              |
| Chief or Officer (non-campus) with real estate-related authority <sup>i</sup> .....                 | 3, 4                              |
| Chief or Officer without real estate-related authority <sup>i</sup> .....                           | 3                                 |
| Chief Deputy and Deputy General Counsel .....   | 1                                 |
| Consultant <sup>ii</sup> .....  | 1                                 |
| Controller with real estate-related authority <sup>i</sup> .....                                    | 2, 3                              |
| Controller without real estate-related authority <sup>i</sup> .....                                 | 3                                 |
| Coordinator .....   | 3                                 |
| Counsel (campus) .....  | 2, 3                              |
| Counsel (non campus) .....  | 3, 4                              |
| Dean with real estate-related authority <sup>i</sup> .....  | 2, 5                              |
| Dean without real estate-related authority <sup>i</sup> .....                                       | 5                                 |
| Director (campus) with real estate-related authority <sup>i</sup> .....                             | 2, 3                              |
| Director (non-campus) with real estate-related authority <sup>i</sup> .....                         | 3, 4                              |
| Director without real estate-related authority <sup>i</sup> .....                                   | 3                                 |
| Investment-specific Officer, Director, or Manager .....   | 1                                 |
| Librarian .....   | 3                                 |
| Manager with real estate-related authority <sup>i</sup> .....                                       | 2, 3                              |
| Manager without real estate-related authority <sup>i</sup> .....                                    | 3                                 |
| Principal Investigators .....   | 6                                 |
| Provost (campus) .....  | 2, 3                              |
| Provost (non-campus) .....  | 3                                 |

Secretary and Chief of Staff of the Regents ..... 1  
 Specialist, Strategist, or Analyst with real estate-related authority<sup>i</sup> ..... 2, 3  
 Specialist, Strategist, or Analyst without real estate-related authority<sup>i</sup> ..... 3  
 Vice President with real estate-related authority<sup>i</sup>  
     (Not Reporting Directly to the President) ..... 3, 4  
 Vice President without real estate-related authority<sup>i</sup>  
     (Not Reporting Directly to the President) ..... 3  
 Vice President (Reporting Directly to the President) ..... 1

**(For a list of the University job titles that are encompassed by the omnibus positions specified above, please refer to Appendix A “Glossary of Designated Positions”)**

## **Article 2 Designated Positions (Full Disclosure)**

### **TITLE**

Associate Chief Investments Officer  
 Chief Investment Officer and Vice President of Investments  
 President  
 Regent

<sup>i</sup> “Real estate-related authority” means that the job duties of the position include influencing or participating in decisions to purchase or lease property on behalf of the University.

<sup>ii</sup> Consultants/New Positions shall disclose pursuant to the broadest disclosure category in the code subject to the following limitations: The Filing Officer may determine in writing that a particular consultant or new position, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to comply with the disclosure requirements described above. Such determination shall include a description of the consultant’s or new position’s duties and, based upon that description, a statement of the extent of disclosure requirements. The determination by the Filing Officer is a public record and shall be retained by the University and provided for inspection, upon request.

## Article 3 Disclosure Categories

### INTRODUCTION

Each designated employee is assigned to one or more of the following disclosure categories and must disclose reportable financial interests in each category assigned. Designated employees need not report any investment in a business entity or real property worth less than \$2,000 or any source of income, including gifts, loans and travel payments, which aggregated less than \$500 (if a gift, less than \$50) during the reporting period. An interest in real property used as the designated employee's principal residence is only required to be reported if the residence is also used as a place of business.

### Disclosure Categories:

1. All interests in real property, all investments, all income, including gifts, loans and travel payments, and business positions.
2. Interests in real property located within two miles of the laboratory or campus at which the designated employee works, or within two miles of land owned or used, or proposed for acquisition or use by such laboratory or campus.
3. Investments and business positions in business entities and income, including gifts, loans, and travel payments, from sources of the type which, within the last two calendar years, have contracted with the University to (a) supply goods or services to, and/or (b) receive licenses in existing patents, patent applications, and rights in patents and patent applications from, the University, campus, laboratory, or portion thereof (including but not limited to, department, section, or office) over which the designated employee has authority relevant to these contracts. Services include providing grant, contract, or gift funds for research.
4. Interests in real property located within the State of California.
5. Investments and business positions in business entities and income, including gifts, loans and travel payments, from sources of the type which, within the last two calendar years, have contracted with the University to supply goods or services (including providing grant, contract, or gift funds for research) to the unit(s) for which the designated employee has authority relevant to these contracts.
6. All investments and business positions in and income, including gifts, loans and travel payments, from any private, nongovernmental entity (other than one deemed by the FPPC as exempt under FPPC regulation 18755) which will be providing funds, or support for the research project for which the filer is the principal investigator. (The required disclosure shall be made on FPPC Form 700-U).
7. All investments and business positions in business entities, and income (including gifts, loans and travel payments) from sources which are of the type in which University of California funds are or may be invested.