FINANCIAL INTEREST DISCLOSURE FORM

Name: ___________________________ Email Address: ___________________________

Assets and Sources of Earned Income: Do you, your spouse/domestic partner or dependent children have any Financial Interests related to your Institutional Responsibilities (refer to the attached definitions page)? Attach additional copies of this page if needed. NUMBER ALL PAGES.

ASSETS AND INTELLECTUAL PROPERTY INTERESTS

Assets include stocks, stock options, bonds, tax shelters, annuities, real estate, commodity futures, trades, and business/partnership interests.

☐ I do not have any Assets or Intellectual Property requiring disclosure under the financial disclosure policy for Investigators involved in research subject to Public Health Service (PHS) regulations.

☐ I hereby disclose the following assets/intellectual property interests:

<table>
<thead>
<tr>
<th>Name of Entity:</th>
<th>Asset/Intellectual Property Description</th>
<th>Approximate value of Asset</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SOURCE OF EARNED INCOME AND TRAVEL

Sources of Earned Income include salaries received from other than AEHN and payment for services not otherwise identified as salary (e.g. consulting fees, gifts, honoraria, paid authorship, payment for expert witness testimony or advisory board participation) and reimbursed/sponsored travel over previous 12 months related to Institutional Responsibilities.

☐ I do not have any Sources of Earned Income requiring disclosure under the financial disclosure policy for research subject to PHS regulations.

☐ I hereby disclose the following Earned Income Sources:

<table>
<thead>
<tr>
<th>Source of Earned Income:</th>
<th>Income type</th>
<th>Approximate amount of the Earned Income</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reimbursed or Sponsored Travel related to Institutional Responsibilities:

<table>
<thead>
<tr>
<th>Travel Sponsor:</th>
<th>Destination</th>
<th>Duration</th>
<th>Purpose of Travel</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Initials ___________
I certify that the statements I have provided on this form are accurate and complete to the best of my knowledge.

In submitting this form, I agree:

- To update this “Financial Interest Disclosure form” annually or as new reportable Financial Interests are obtained.
- To report new reportable Financial Interests and/or changes to previously disclosed Financial Interests within 30 days of change in circumstance
- To comply with any conditions or restrictions imposed by the Research Conflict of Interest Committee to manage, reduce, or eliminate actual or potential conflicts of interest or withdraw from participation in the related research.
- To read and understand the AEHN Financial Disclosure Policy for Investigators Involved in Research Subject to Public Health Service Regulations and to disclose any potential conflicts of interest as required by it.
- To be committed to the highest intellectual, integrity and ethical standards in all aspects of research.

Signature: __________________________ Date: __________________________

Questions to Consider when Providing Responses Regarding Assets and Sources of Earned Income:

Is the entity related to the conduct of your AEHN responsibilities in any of the following ways:

- Entity is a sponsor, subcontractor, sub-awardee, or supplier of goods, materials, proprietary information, services, or facilities used for as part of your AEHN responsibilities.
- Entity provides gifts, grants, awards, or other funding for support of your AEHN activities (do not include research awards executed by the AEHN Office of Research and Technology Development).
- Entity makes use of your AEHN research or scholarly work either directly or indirectly. For example, entity has contracted with you for your expert testimony, witness, or opinion, which is derived from activities you conduct on behalf of AEHN.
- Entity manufactures, commercializes, or is developing a product that has been or is being used, evaluated, or further developed by you as part of your AEHN responsibilities.
- Entity has or will receive materials, data or other information produced as a result of your AEHN responsibilities.
- Entity is a competitor of a sponsor of your research.
- Entity is a member of an industry, trade or advocacy group that directly or indirectly funds your AEHN responsibilities.
DEFINITIONS:

Financial Interest - one or more of the following interests of the Investigator (and those of the Investigator’s spouse/domestic partner and dependent children) that reasonably appears to be related to the Investigator’s Institutional Responsibilities:

1) Any remuneration or honoraria received from a non-AEHN entity in the 12 months preceding the disclosure, including, but not limited to, compensation for speakers bureau or other lecture(s)/presentation(s), consulting, advising, participation on scientific advisory board or data safety monitoring board, paid authorship and expert witness testimony

2) Intellectual property rights and interests (e.g. patents, copyrights, and similar rights)

3) Ownership/equity interests, including, but not limited to stock/options, bonds, dividends, annuities, commodity futures, real estate and any other business and/or partnership interests, etc. in any enterprise or non-AEHN entity

4) Any management position (e.g. director, officer, trustee, management employee) in a non-AEHN entity

5) Reimbursed or sponsored (i.e. paid for on the Investigator’s behalf but not reimbursed to Investigator so the exact monetary value may not be readily available) travel in the past 12 months. Disclosure of this interest will include the purpose and duration of the trip, the identity of the sponsor/organizer and the travel destination

The following items are NOT considered to be a Financial Interest:

1) Salary or other payments for services from AEHN to the Investigator if the Investigator is currently employed by AEHN;

2) Income from non-promotional, educational seminars, lectures, or teaching engagements sponsored and paid for by governmental entities, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education

3) Income from service on advisory committees or review panels established by and paid for by a governmental entity

4) Income investment vehicles, such as from mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these investment vehicles

5) Travel that is reimbursed or sponsored by a government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education

Institutional Responsibilities – Any of the professional responsibilities of an Investigator conducted on behalf of the institution, including but not limited to, research, research consultation, teaching, clinical, administrative or professional duties performed on behalf of AEHN.

Investigator – Includes the principal investigator/project director, co-investigator(s), sub-investigator(s), coordinator(s), research assistants/associates, research nurses, technical staff and any other person, including but not limited to residents, fellows, and students at AEHN, collaborators and consultants who are responsible for the design, conduct and/or reporting of research subject to PHS regulations. For purposes of this definition, “Investigator” includes both AEHN employees as well as non-employees, including without limitation, volunteer physicians if such individuals perform such research utilizing AEHN facilities or patients and authorized volunteers of AEHN who are participating as a member of the research team on an AEHN research project. In this context, the term Investigator includes the Investigator’s spouse/domestic partner and dependent children.