

APPENDIX A

FINANCIAL INTEREST DISCLOSURE FOR CARRA

FORM INSTRUCTIONS

Who must submit this form?

All CARRA Leaders, defined as Members of the Steering Committee (including all elected leadership positions), Members of the Board of Directors, CARRA officers and employees, must submit this form, Leaders must disclose any Significant Financial Interests related to their CARRA Activities upon appointment to membership, annually at the time of membership renewal, election to a new role, and within thirty (30) days of acquiring or discovering any new Significant Financial Interest. The requirement for disclosure of Significant Financial Interests extends to the Leader's spouse, registered domestic partner and/or dependent child(ren).

What must be disclosed?

All Significant Financial Interests related to a Leader's CARRA Activities. **CARRA Activities** are defined as research, teaching/education, outreach, and/or administrative service performed on behalf of CARRA or directly related to programs or functions of CARRA as defined in the CARRA Guidelines for Management of Conflict of Interest and Conflict of Commitment for CARRA.

Significant Financial Interest(s) consisting of any one or more of the following interests of the Leader, Leader's spouse, registered domestic partner and/or dependent child(ren) that may reasonably appear to be related to the Leader's CARRA activities must be disclosed:

Publicly-Traded Entity: Any combination of income (including salary, consultant payments, honoraria, royalty payments, dividend, loan, or any other payments or consideration with value) received in the 12 months preceding disclosure and the value of any equity interests as of the date of disclosure exceeding \$10,000 when summed for a Leader, Leader's spouse or domestic partner, and/or dependent child(ren). Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

Privately Held or Not-For-Profit Entity: Any combination of income from (including salary, consultant payments, honoraria, royalty payments, dividend, loan, or any other payments or consideration with value) received in the 12 months preceding disclosure that exceeds \$10,000; or ANY equity interest (e.g., stock, stock option, or other ownership interest) by a Leader, Leader's spouse or domestic partner, and/or dependent child(ren).

Intellectual property rights and interests: Income from such rights and interests that exceeds \$5,000 during the 12 months preceding disclosure. **Significant Financial Interests** do **NOT** include royalties received through an institution of higher education, an academic teaching hospital, a medical center, or a research institute affiliated with an institution of higher education.

Travel: Sponsored travel or reimbursements made to or on behalf of the Leader exceeding \$5,000 in value during the twelve months preceding disclosure. You do **NOT need to** report travel reimbursed or paid by a Federal, state, or local government agency, an institution of higher education, or an academic teaching hospital, medical center, or affiliated research institute.

Examples of disclosable Significant Financial Interests

Significant Financial Interests need only be disclosed as they relate to or might reasonably be considered to overlap with CARRA interests. Examples include income or equity received from entities for: Providing expert testimony or consulting services; Serving on a board of directors, scientific advisory board, committee, panel or commission, including paid service to professional or scholarly societies; Income received for acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals; Salary or honoraria received from an entity other than an academic institution, hospital or affiliated research institute; Any equity interest in a company that is developing, manufacturing or selling products or providing services used in an Leader's CARRA-related activities; Royalties from any organization other than an academic institution, hospital or affiliated research institute, including for use or sale of patented or copyright intellectual property, such as software, textbooks, or other scholarly works; Travel reimbursed or sponsored by a professional society, foreign university or company for which the Investigator provides recompensed advice.

Significant Financial Interests do **NOT** include: Payments made from CARRA or by an academic institution, hospital or research institute affiliated with an academic institution (salary, royalties, honoraria, expense reimbursement or any other remuneration); Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, or an academic teaching hospital, medical center, or affiliated research institute; Investments via a mutual fund, pension fund or other investment vehicle over which the Leader or his/her immediate family member does NOT hold control or exercise management of investment decisions.

FINANCIAL INTEREST DISCLOSURE FOR CARRA

I. Leader Information

| | | | |
|-------------------------|--|-------------------------|--|
| First Name | | Last Name | |
| Street Address | | City, State, Zip | |
| Primary Employer | | E-mail address | |

I. Disclosure

For the purposes of this disclosure, the questions below refer to significant financial interests related to CARRA Activities. **CARRA Activities** are defined as teaching/education, research, outreach, and/or administrative service performed on behalf of CARRA or directly related to programs or functions of CARRA.

Significant Financial Interests do **NOT** include: Payments made from CARRA or by an academic institution, hospital or research institute affiliated with an academic institution (salary, royalties, honoraria, expense reimbursement or any other remuneration); Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, or an academic teaching hospital, medical center, or affiliated research institute; Investments via a mutual fund, pension fund or other investment vehicle over which the investigator or his/her immediate family member does NOT hold or exercise management of investment decisions.

A. Publicly Traded Entity

Equity Interest + Compensation

1. In the past 12 months, have you, your spouse, registered domestic partner and/or dependent child(ren) received income from or hold equity interest in publicly traded entities developing, manufacturing or selling products or providing services related to CARRA activities that exceeds \$10,000? *When determining your response to this question, please add the value of any equity interest held as of the date of this disclosure and any compensation received in the twelve months preceding this disclosure. Please see Form Instructions for detailed explanation of inclusions and exclusions.*

No Yes (if Yes, please provide a detailed explanation on the next page)

B. Privately Held or Not-For-Profit Entity

Equity Interest + Compensation

2. In the past 12 months, have you, your spouse, registered domestic partner and/or dependent child(ren) received income exceeding \$10,000, or currently own, or have held in the past 12 months, equity interest (includes any stock, stock option or other ownership interest) in **any** privately-held or not-for-profit Entity that is developing, manufacturing or selling products or providing services related to CARRA activities?

No Yes (if Yes, please provide a detailed explanation on the next page)

C. Intellectual Property Rights and Interests

4. In the past 12 months, have you, your spouse, registered domestic partner and/or dependent child(ren) received payments in excess of \$5,000 for any intellectual property rights or interests (e.g. patents, royalties or copyrights assigned or licensed to a party other than an academic institution, hospital or affiliated research institute)?

No Yes (if Yes, please provide a detailed explanation on the next page)

D. Travel Reimbursement/Sponsorship

5. In the past 12 months, has any organization sponsored or reimbursed you, your spouse, registered domestic partner and/or dependent child(ren) for any travel expenses in excess of \$5,000 that is related to your work for CARRA? *This can include travel that is reimbursed or sponsored by a professional society, foreign university, or an Entity for which you are providing compensated or non-compensated services.*

No Yes (if Yes, please provide a detailed explanation on the next page)

II. Acknowledgment and Certification

I **acknowledge** that by signing my name below that it is my responsibility to disclose, *within 30 days*, any new significant financial interests obtained during the term of the above proposed project. I **certify**, to the best of my knowledge, that this is disclosure of significant financial interests related to my Institutional Responsibilities is complete and accurate. My signature further attests that I have read and understand the CARRA Guidelines Conflict of Interest and agree to comply with the guidelines.

Name

Date

CARRA FINANCIAL CONFLICT OF INTEREST DISCLOSURE SUPPLEMENT

III. Leader Information

| | | | |
|------------|--|-----------|--|
| First Name | | Last Name | |
|------------|--|-----------|--|

For the purposes of this disclosure, the questions below refer to significant financial interests related to CARRA Activities. **CARRA Activities** are defined as teaching/education, research, outreach, and/or administrative service performed on behalf of CARRA or directly related to programs or functions sponsored by CARRA.

Significant Financial Interests do **NOT** include: Payments made from CARRA or by an academic institution, hospital or research institute affiliated with an academic institution (salary, royalties, honoraria, expense reimbursement or any other remuneration); Income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, or an academic teaching hospital, medical center, or affiliated research institute; Investments via a mutual fund, pension fund or other investment vehicle over which the Leader or his/her immediate family member does NOT hold control or exercise management of investment decisions.

Please provide comments regarding the nature and sources of Significant Financial Interests noted on the form above. Attach additional pages as needed.

IV. Acknowledgment and Certification

I **acknowledge** by signing my name below that it is my responsibility to disclose, *within 30 days*, any new significant financial interests related to CARRA activities. I **certify**, to the best of my knowledge, that the information above is complete and accurate to the best of my ability.

_____ Name

_____ Date

APPENDIX B

CONFLICT OF COMMITMENT DISCLOSURE FOR CARRA

FORM INSTRUCTIONS

Conflict of Commitment (COC) arises when a leader’s activity within an external organization potentially introduces competing priorities that could limit the ability or willingness of the leader to perform the full range of his or her CARRA duties. A COC becomes relevant only to the extent that the priorities of the external organization(s) diverge from those of CARRA. In many cases such divergence will not arise, and indeed CARRA interests may best be served by leaders who also participate actively in external organizations. Determination of whether a COC is problematic shall be made as described in the CARRA Guidelines for Management of Conflict of Interest and Conflict of Commitment for CARRA Leaders and Members.

Who must submit this form?

All CARRA leaders, specifically Members of the Steering Committee and the Board of Directors, and others as defined in the CARRA Guidelines for Management of Conflict of Interest and Conflict of Commitment. CARRA Leaders must disclose any Conflict of Commitment related to their CARRA Activities upon election, annually at the time of membership renewal, and within thirty (30) days of acquiring any new Conflict of Commitment. The requirement for disclosure of Conflict of Commitment extends to the Member’s spouse, registered domestic partner and/or dependent child(ren).

What must be disclosed?

CARRA leaders should report all leadership positions in any other entity or program with interests that substantially overlap CARRA interests except where serving as a designated CARRA representative.

Member Information

| | | | |
|-------------------|--|------------------|--|
| First Name | | Last Name | |
|-------------------|--|------------------|--|

Please describe the nature and sources of Conflict of Commitment. Attach additional pages as needed.

Acknowledgment and Certification

I **acknowledge** by signing my name below that it is my responsibility to disclose, *within 30 days*, any new conflict(s) of commitment related to CARRA activities. I **certify**, to the best of my knowledge, that the information above is complete and accurate to the best of my ability.

Name

Date