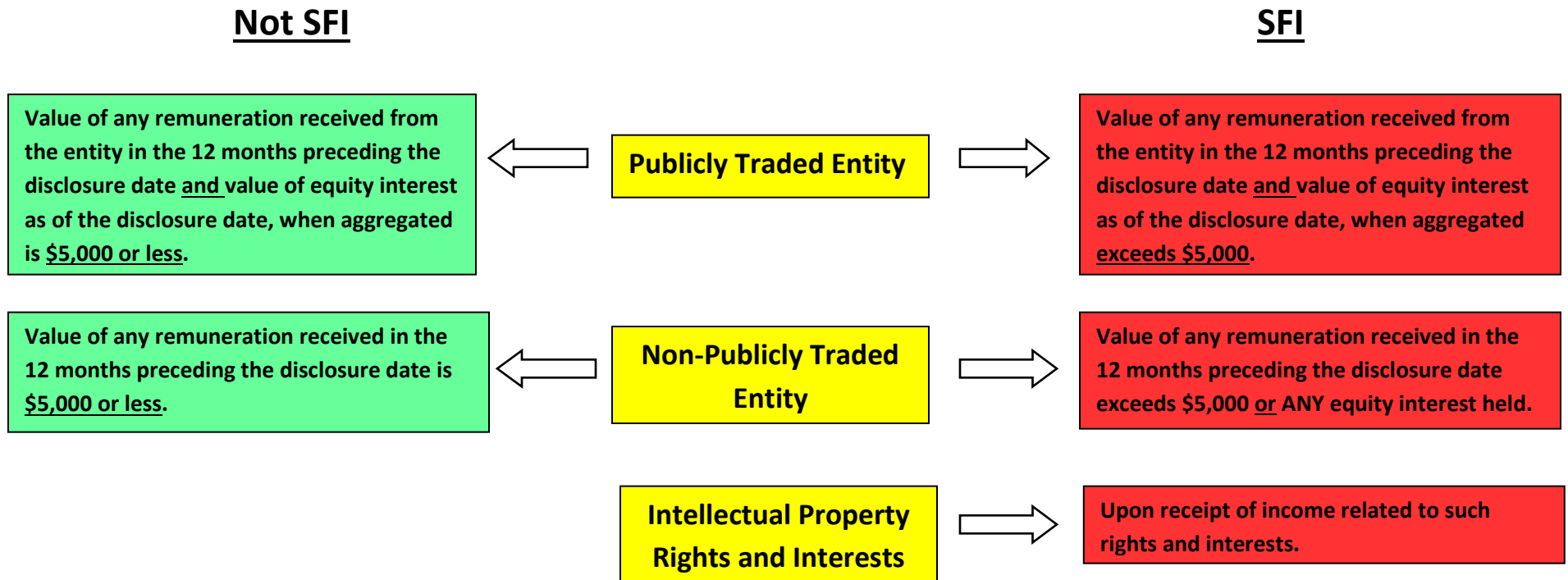


Significant Financial Interest (SFI)

- I. Remuneration¹ and Equity Interest² received or held by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.



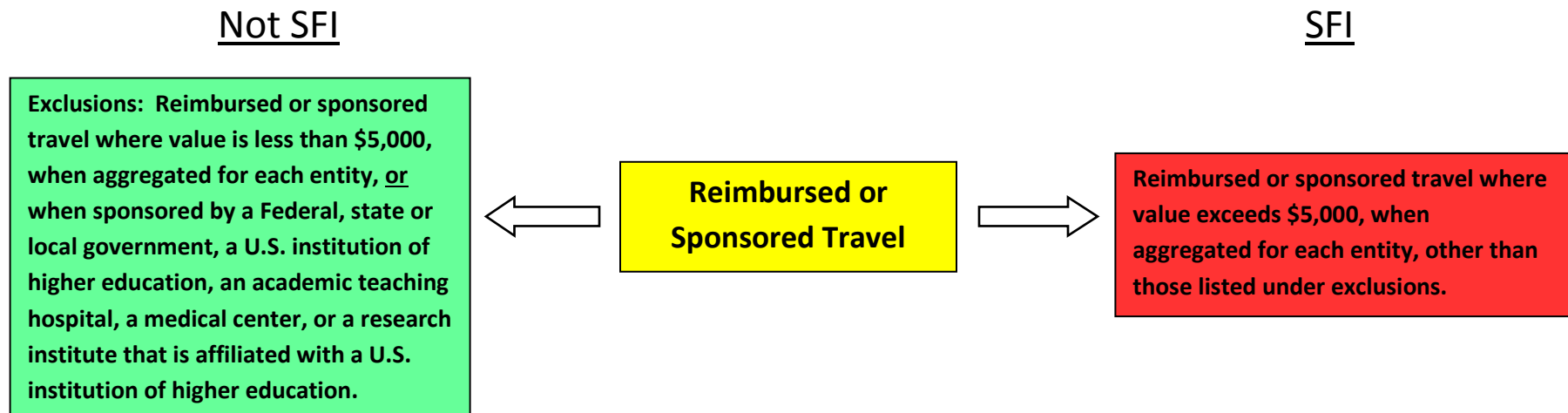
¹ For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (i.e. consulting fees, honoraria, paid authorship);

² For purposes of this definition, equity interest includes stock, stock options, or other ownership interests, as determined through reference to public prices or other reasonable measures of fair market value.

Significant Financial Interest (SFI)

II. Reimbursed or Sponsored Travel[†] received by Investigator / Key Personnel (and those of the Investigator's / Key Personnel's spouse and dependent children) that reasonably appear to be related to their institutional responsibilities.

[†]Travel as defined in UH APM A8.851.



III. Other exclusions (Not SFI)

- Salary, royalties, or other remuneration paid by UH if the Investigator / Key Personnel is currently employed or otherwise appointed by UH, including intellectual property rights assigned to UH and agreements to share in royalties related to such rights
- Income from investment vehicles as long as the Investigator does not directly control the investment decisions (i.e. mutual funds, retirement account)
- Income from seminars, lectures, or teaching engagements sponsored by a U.S. Federal, state or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with U.S. institution of higher education
- Income from service on advisory committees or review panels for a U.S. Federal, state, or local government agency, U.S. institution of higher education as defined at 20 U.S.C. 1001(a), academic teaching hospital, medical center, or research institute affiliated with the U.S. institution of higher education