

Financial Conflict of Interest Policy

I. Purpose

The purpose of this policy is to document the requirements and responsibilities associated with identifying, managing, reducing, or eliminating any actual or potential financial conflicts of interest at Resilient Games Studio (RGS) and to comply with federal regulations.

This policy has been developed to address and comply with the specific federal agency requirements as defined in the 2011 Revised Financial Conflict of Interest Regulation, Promoting Objectivity in Research (42 CFR part 50 subpart F). This regulation was developed to promote objectivity in research by establishing standards that provide a reasonable expectation ensuring the design, conduct and reporting of research funded under National Institutes of Health (NIH) grants or cooperative agreements will be free from bias resulting from Investigator financial conflicts of interest.

II. Summary of Procedures

It shall be the responsibility of the Principal Investigator of a Research project to identify all Investigators who have a SFI requiring disclosure under this policy and to ensure that a SFI Disclosure Form is prepared and submitted. In addition, the Principal Investigator shall be responsible for ensuring that annual updates and disclosures of new or increased financial interests are disclosed.

If it is determined that there is a potential conflict of interest, then steps will be taken to determine what measures are needed to address the SFI identified in the SFI Disclosure Form. A management plan may be required to outline the terms, conditions, and restrictions, if any, to ensure compliance with this policy. The management plan may require one or more of the following actions (but not limited to) to be taken in order to manage, reduce or eliminate any actual or potential conflict of interest:

- Public disclosure of significant financial interests
- Review of research protocols by independent reviewers
- Monitoring of research by independent reviewers
- Modification of research plan
- Disqualification from participation in all or a portion of the research funded
- Divesture of significant financial interests
- Severance of relationships that create actual or potential conflicts

Resilient Games Studio's designated official(s) will review all disclosures and evaluate whether they contain any FCOI. If no FCOI is found the disclosure forms will be filed in the company's SFI records. If a FCOI is identified, it will be put on the FCOI report through the eRA Commons FCOI module prior to expending any funds. If any interests are identified as conflicting subsequent to the initial report, they must be reported to RGS. RGS will then report it to the PHS awarding component that has issued the award within 60 days. Each investigator must submit an updated disclosure of a SFI not less than annually. If a PHS-funded project is conducted by an investigator or signing official with a conflict that was not disclosed or managed, RGS is required to disclose the conflict in each public presentation related to the results of the research.

Investigators are expected to comply fully and promptly with this policy. Whenever a person has violated this policy, RGS will impose sanctions or disciplinary proceedings against the violating individual. In addition, RGS shall follow Federal regulations regarding the notification of the sponsoring agency in the event an Investigator has failed to comply with this policy. The federal agency may take its own action as it deems appropriate, including the suspension of the funding for the Investigator until the matter is resolved.

Records of Investigator SFI Disclosure forms, and of actions taken to manage actual or potential conflicts of interest, shall be retained RGS for three (3) years from the date the final expenditure report is submitted to the NIH, or as required by federal guidelines.

Resilient Games Studio's designated official will be required to submit all required reports disclosing SFI to the NIH including any initial reports, any new FCOI reports within 60 days of discovery, and annual FCOI reports.

III. Key Definitions

Financial Conflict of Interest means a significant financial interest that could directly and significantly affect the design, conduct, or reporting of research or sponsored program regardless of sponsoring agency.

Financial Interest means anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities means an Investigator's professional responsibilities on behalf of the Institution, and as defined by the Institution, including but not limited to, activities such as research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Investigator means the Project Director or Principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research or sponsored program funded by the PHS or other sponsor, or proposed for such funding, which may include, for example, collaborators or consultants.

Manage means taking action to address a financial conflict of interest, which can include reducing or eliminating the financial conflict of interest, to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

PHS means the Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, including the National Institutes of Health (“NIH”).

PHS Awarding Component means the organizational unit of the PHS that funds the research or sponsored program that is subject to this policy.

Research means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (*e.g.*, a published article, book, or book chapter) and product development (*e.g.*, a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS awarding component through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award

Senior/Key Personnel means the PD/PI and any other person identified as senior/key personnel by the Institution in the grant application, progress report, or any other report submitted to the NIH by the Institution under the regulation.

Significant Financial Interest means:

1. A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator’s spouse and dependent children) that reasonably appears to be related to the Investigator’s Institutional Responsibilities:
 - a. With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.*, consulting fees, honoraria, paid authorship); 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;
 - b. With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when

the Investigator (or Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or

- c. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
2. Investigators also must disclose the occurrence of any reimbursed or sponsored travel (*i.e.* that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their Institutional Responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, and institution of higher education, and academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education. The details of this disclosure shall include, at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. The institutional official(s) will determine if further information is needed, including a determination or disclosure of monetary value, in order to determine whether the travel constitutes a Financial Conflict of Interest with the PHS-funded research or sponsored program.
3. The term Significant Financial Interest does not include the following types of financial interests: salary, royalties, or other remuneration paid by the Medical Center to the Investigator if the Investigator is currently employed or otherwise appointed by the Medical Center, including intellectual property rights assigned to the Medical Center and agreements to share in royalties related to such rights; income from or holdings in investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center or a research institute that is affiliated with an institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.