Attachment D: Conflicts of Interest Disclosure Form

All fields are required.

1. Name of Recipient (Awardee Institution): «RecipName»
   - Trustees of Dartmouth College (through March 2017)
   - University of Washington (as of June 2017)

2. Name of PCORI-Funded Research Project:
   - Comparing Mobile Health (mhealth) and Clinic-Based Self-Management inventions for Serious Mental Illness: Patient Engagement, Satisfaction and Outcomes

3. Names and Institutions of Principal Investigator (PI) and Key Personnel:

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Recipient (Awardee Institution)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Dror Ben-Zeev</td>
<td>Principal Investigator</td>
<td>Dartmouth College (through March 2017)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Personnel Name</th>
<th>Institution</th>
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<tbody>
<tr>
<td>Robert E. Drake</td>
<td>Dartmouth</td>
</tr>
<tr>
<td>Elizabeth Carpenter-Song</td>
<td>Dartmouth</td>
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<tr>
<td>Emily Scherer</td>
<td>Dartmouth</td>
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<tr>
<td>Haiyi Xie</td>
<td>Dartmouth</td>
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</tbody>
</table>

4. Does Recipient have a Conflicts of Interest Policy or Guidelines that meets the requirements of the federal financial conflicts of interest regulations of the U.S. Public Health Service (http://grants.nih.gov/grants/policy/coi/) that it applies to PCORI-funded research?
   xYES □ NO

5. If you checked “No,” Recipient must provide information describing how Recipient will ensure that the PCORI-Funded Research Project is not influenced by conflicts of interest.
6. Report the existence of any financial or personal interests or associations of Recipient, Principal Investigator, and Key Personnel related to the PCORI-Funded Research Project under this Contract that constitute a conflict of interest. Attach the management plan that addresses identified conflicts of interest.

Print “None” if Recipient, Principal Investigator, and Key Personnel have no financial or personal interests or associations that constitute a conflict of interest. (Attach additional documents, if needed).

In June 2015 Prof. Ben-Zeev disclosed a financial interest in the copyrighted intervention content that was developed in connection with, and was evaluated in the above mentioned PCORI funded project. He provided this content to the company Pear Therapeutics pursuant to a license, and received certain royalty payments. In July 2015 the Dartmouth Conflict of Interest Committee reviewed the research and the disclosed financial interest in accordance with the Dartmouth College Conflict of Interest (COI) review process. The committee identified a financial conflict of interest and decided on the following management to address the conflict in accordance with Federal Regulations and Dartmouth Conflict of Interest Policy.

1) Disclosure of Dr. Ben-Zeev’s financial interest in publications/presentations and appointment of an independent monitor
2) Disclosure of Dr. Ben-Zeev’s FCOI to human participants on consent forms.

Data analysis for this project was discussed. The committee found that in light of the fact that a faculty level statistician was employed on this research project, and an independent monitor would be appointed, the management was adequate to protect Dr. Ben-Zeev’s research from bias.

While conducting research at Dartmouth Dr. Ben-Zeev has been in full compliance with the COI management plan and submitted annual compliance statements to the Office of the Vice Provost for Research.

Dr. Ben-Zeev left Dartmouth in the spring of 2017 to take a position at the University of Washington. Research (data collection and analysis) on this project continued at Dartmouth via a sub-award from the University of Washington, and under the purview of the Dartmouth IRB. Dr. Emily Scherer, the Dartmouth PI on the subaward, had disclosed no financial interest. Dr. Ben Zeev confirms that he has been in full compliance with the terms of the COI management throughout the entire duration of the award.
7. Please list any direct or indirect links to industry (such as pharmaceutical, medical device, health insurance, and other healthcare-related companies) that Recipient has related to the PCORI-Funded Research Project.

Print “None” if there are no direct or indirect links to industry as described above. There is no need to include disclosures here that are reported under Question 6 above. (Attach additional documents, if needed).

None

8. If Recipient has any additional material information relating to disclosures or management of conflicts of interest, or other protections against bias pertinent to the PCORI-Funded Research Project, please describe it here. Print “None” if there is no additional material information as described above.

None (see above 6.)

The undersigned certify that the above information is complete and true to the best of their knowledge and understand that this completed form, with these disclosures, will be made publicly available by PCORI in conjunction with the research findings relating to the Research Project. Both the Administrative Official and
Administrative Official:

Signed: [Signature]

Print Name: Henrike Frowein

Title: Research Compliance Office

Date: 02/15/18

Principal Investigator:

Signed: [Signature]

Print Name: Dror Ben-Zeev

Title: Principal Investigator

Date: 2.15.18