Ancillary Information Conflicts of Interest Disclosure Form Relating to PCORI-Funded Research Project

All fields are required.

Contract Number: IHS-1503-28573

1. Name of Recipient (Awardee Institution):
   University of Massachusetts Amherst

2. Name of PCORI-Funded Research Project:
   Enhancing Mental Health Care by Scientifically Matching Patients to Providers' Strengths

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>Michael J. Constantino</td>
<td>Principal Investigator</td>
<td>University of Massachusetts Amherst</td>
</tr>
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<tr>
<th>Key Personnel Name:</th>
<th>Institution:</th>
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<tr>
<td>James F. Boswell</td>
<td>University at Albany, SUNY</td>
</tr>
<tr>
<td>David R. Kraus</td>
<td>Outcome Referrals, Inc.</td>
</tr>
<tr>
<td>Thomas Swales</td>
<td>Psychological and Behavioral Consultants</td>
</tr>
</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 US Public Health Service (http://grants.nih.gov/grants/policy/coi/) that it applies to PCORI-funded research?
   □ YES □ NO (See Question 5)

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).

None

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).

As disclosed to PCORI in the grant submission, a project subcontract organization PI (Dr. Kraus) owns the patent on the process that was tested in the trial. Dr. Kraus has licensed the patent to Outcome Referrals, Inc. (subcontract organization), and forms a basis of its revenue.

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.

As addressed in the subcontract agreement with the University of Massachusetts Amherst, Outcome Referrals, Inc. agreed to follow the COI requirements and policies of the University of Massachusetts Amherst as the primary awardee institution. As part of this collaboration, Outcome Referrals, Inc., has been under the purview of the University of Massachusetts IRB. In addition, management of conflicts were overseen as part of the role of the project data safety and monitoring board.
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 Principal Investigator must complete and sign one form.

Administrative Official:

Signed: [Signature]

Print Name: Carol P. Sprague

Title: Director, Office of Post-Award Management, University of Massachusetts Amherst

Date: 5/14/2020

Principal Investigator:

Signed: [Signature]

Print Name: Michael J. Constantino

Title: Professor, University of Massachusetts Amherst

Date: 5/13/2020