

OFFICE OF THE CHANCELLOR

July 28, 2020

The Honorable Bill Ferguson
Co-Chair, Legislative Policy Committee
State House
Annapolis, MD 21401-1991

The Honorable Adrienne Jones
Co-Chair, Legislative Policy Committee
State House
Annapolis, MD 21401-1991

Re: Report Required by State Government Article Sections 15-523c

Dear Chairpersons:

In accordance with State Government Article Sections 15-523c concerning the quarterly and annual reporting requirements, I am providing a report for the period of April 1, 2020 to June 30, 2020. The exemptions were reported for the following USM institutions (supporting documentation is on file in the Chancellor's Office):

April 1, 2020 – June 30, 2020
UMB – 2 plus 1 amendment
UMBC – 1
UMCP - 4

These exemptions are in accord with the Board of Regents' Policy on Conflicts of Interest in Research or Development and procedures developed in accordance with the provisions of the Public/Private Partnership Act.

Sincerely yours,



Jay A. Perman
Chancellor

Enclosures

cc: The Honorable Lawrence J. Hogan, Jr.
Members of the Legislative Policy Committee
Members of the State Ethics Commission
Office of the Attorney General
Sarah Albert, Department of Legislative Services (5 copies)




DIVISION OF RESEARCH


2133 Lee Building
College Park, Maryland 20742-5125
301.405.4175 TEL 301.405.8386 FAX

OFFICE OF THE VICE PRESIDENT FOR RESEARCH

MEMORANDUM

To: Dr. Wallace Loh
President

From: Joseph M. Smith 
Conflict of Interest Administrator

Through: Dr. Laurie E. Locascio 
Vice President for Research

Subject: Conflict of Interest Disclosure for Jack Blanchard

Date: June 29, 2020

The subject disclosure was received and reviewed by the President's Advisory Committee on Conflict of Interest (Committee), in accordance with the provisions of II-3.10 (A) University of Maryland Policy on Conflict of Interest and Conflict of Commitment, and II-3.10 (B) University of Maryland Procedures on Conflict of Interest and Conflict of Commitment.

The Committee members in attendance at the June 10, 2020, Conflict of Interest Meeting were Dr. Ashok Agrawala, Dr. Elizabeth Brittan-Powell, Mr. Eric Chapman, Dr. Philip DeShong (Chair), Ms. Felicia Metz, and Dr. Eric Wish.

Disclosure Summary and Nature of Conflict

Dr. Jack Blanchard, Associate Provost and Professor in the Department of Psychology at the University of Maryland, College Park (UMD), is the Principal Investigator (PI) of a National Institute of Mental Health (NIMH) award titled, "*Using Multimodal Neuroimaging and Real-World Experience Sampling to Understand Negative Affect and Paranoid Ideation in Psychosis*". Dr. Blanchard is married to Dr. Melanie Bennett, Co-Investigator on the NIMH award at the University of Maryland, Baltimore.

Dr. Blanchard and Dr. Bennett are collaborating based on the unique skills and resources that each brings to this research proposal. This research project involves the study of participants with diagnoses of psychosis. Dr. Blanchard does not have access to this population and is only able to conduct this research by collaborating with Dr. Bennett. Dr. Bennett is a faculty member at the University of Maryland School of Medicine and will supervise all staff based at the medical school research sites and will coordinate all details of participant recruitment from a clinical population. Dr. Bennett will also participate in data analyses, interpretation, and manuscript writing. As Co-PI, Dr. Blanchard's contribution to the project is his unique expertise in the assessment of paranoia and other clinical symptoms and the integrative application of ecological momentary assessment and neuroimaging in psychosis. Dr. Blanchard will oversee behavioral assessments, symptom assessments and coordinate with Co-PI (Dr. Alex Shackman - UMD) to conduct fMRI assessments at the Maryland Neuroimaging Center in College Park.

Management Plan

Dr. Blanchard is located on the University of Maryland, College Park campus and Dr. Bennett is located on the University of Maryland, Baltimore campus. Each reports to a separate department chair and college located on their respective campuses. As a tenure-track faculty member and Associate Provost, Dr. Blanchard will be evaluated and his merit increases will be determined by the Provost on the College Park campus on the advice of this committee.

Dr. Blanchard is the Co-PI on the prime award through University of Maryland, College Park and Dr. Bennett is the Co-I on the sub-award through the University of Maryland, Baltimore. Although both are ultimately responsible for the grant, all purchases made for the grant are made by the respective department staff and approved by the respective Business Manager or Director of Administrative Services on each campus. College Park accounts are reconciled each month by the Business Manager, and the Business Manager and the Director of Administrative Services monitor the accounts for any suspicious activity or unusual expenses.

Payroll at College Park is handled in a similar way as procurement. Any new employee hired on the grant will complete the University of Maryland payroll paperwork. This paperwork requires information about qualifications such as education and experience. This information is reviewed by both the Payroll Coordinator and the Director of Administrative Services. If there is a proposed change to Dr. Bennett's salary on the sub-award, it will be reviewed and approved by Dr. Blanchard's Department Chair.


Dr. Blanchard will ensure that everyone working on these grants will be informed of this potential conflict in writing and those working on the grants will sign the document indicating their acknowledgement of the potential conflict. The document will be kept up to date and on file. Any concerns or issues of grant employees will be referred to the department chair or director of Graduate Studies. All purchases made for the grant are conducted by the respective department staff and approved by the respective Business Manager or Director of Administrative Services.

Recommendations

The Committee found the management plan to be acceptable. The Committee has concluded that the disclosed involvement does not constitute a harmful interest, and recommends that this project be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

If you concur, please sign below where indicated. Any exemptions granted will be reported to the Maryland State Ethics Commission and the Chancellor for the USM, as required. Should you have any questions, I can be reached at 301-405-0678 or jsmith54@umd.edu.

Approve of COI Committee Recommendation: Yes X No



Signature

06-29-2020
Date




DIVISION OF RESEARCH


2133 Lee Building
College Park, Maryland 20742-5125
301.405.4175 TEL 301.405.8386 FAX

OFFICE OF THE VICE PRESIDENT FOR RESEARCH

MEMORANDUM

To: Dr. Wallace Loh
President

From: Joseph M. Smith 
Conflict of Interest Administrator

Through: Dr. Laurie E. Locascio 
Vice President for Research

Subject: Conflict of Interest Disclosure for Lai-Xi Wang & Qiang Yang

Title: GlycoT Therapeutics, LLC

Date: June 2, 2020

The subject disclosure was received and reviewed by the President's Advisory Committee on Conflict of Interest (Committee), in accordance with the provisions of II-3.10 (A) University of Maryland Policy on Conflict of Interest and Conflict of Commitment, and II-3.10 (B) University of Maryland Procedures on Conflict of Interest and Conflict of Commitment.

The Committee members in attendance at the May 13, 2020, Conflict of Interest Meeting were Dr. Ashok Agrawala, Dr. Elizabeth Brittan-Powell (Acting Chair), Ms. Felicia Metz, and Ms. Wendy Montgomery, and Dr. Eric Wish.

Disclosure Summary and Nature of Conflict

Dr. Lai-Xi Wang, Professor in the Department of Chemistry and Biochemistry at the University of Maryland, College Park (UMD), is president and a proprietor of GlycoT Therapeutics, LLC. GlycoT aims to develop protein glycosylation technology for improving the therapeutic efficacy of antibodies and other protein-based drugs, and to develop new reagents for the research community. Dr. Lai-Xi Wang owns 85% of GlycoT. GlycoT has licensed a number of patents from UMD and the University of Maryland, Baltimore (UMB) for further development and commercialization.

Dr. Qiang Yang, Assistant Research Scientist in the Department of Chemistry and Biochemistry at UMD, is the Director of Research of GlycoT Therapeutics and owns 5% equity in the company. Dr. Yang is currently employed by both UMD (20%) and GlycoT (80%). Dr. Yang will resign his appointment at UMD when GlycoT moves into a new space in the Herbert Rabin Technology Advancement Building (TAP Building). This move is estimated to happen during summer 2020 or as soon as campus re-opens.

Management Plan

As soon as the GlycoT laboratory in the TAP Building is available, Dr. Yang will resign his UMD appointment and be a 100% employee of GlycoT. As a GlycoT employee, Dr. Yang will not have regular access to Dr. Wang's UMD laboratory facilities, except as described below.

Dr. Wallace Loh
Dr. Laurie Locascio
Conflict of Interest Disclosure
June 2, 2020
Page 2 of 2

No UMD employees or graduate students will have access to GlycoT's laboratories in the TAP Building. All employees in Dr. Wang's UMD laboratory will meet with the Acting COI Committee Chair, Dr. Elizabeth Brittan-Powell, for a discussion of COI issues as soon as possible.

Drs. Wang and Yang request that Dr. Yang be provided a non-paid, Adjunct Scientist appointment in the Department of Chemistry and Biochemistry for a period of 12 months. This determination will require departmental approval. Dr. Yang is an expert in the use of cell line assays and mammalian cell culture for glycoprotein production. He has been helping Dr. Wang in supervising two graduate students (Ms. Roushu Zhang and Ms. Sunaina Prabhu) on research projects that involve mammalian cell culture systems but those are not related to GlycoT's business. Ms. Roushu Zhang expects to graduate with a PhD this winter semester and Ms. Sunaina Prabhu is expected to graduate with a PhD in the summer of 2021. Thus, a request for a 12-month Adjunct Scientist appointment is ideal for him to continue his assistance for the two students. Dr. Yang's responsibility will be to educate the two graduate students and others as needed in Dr. Wang's group on human cell line techniques. In this capacity, he will meet regularly in the conference room (Chem 4507) adjacent to Dr. Wang's laboratory to speak with the students. He may also enter the Wang laboratories to monitor first-hand experimental setups for the human cell line experiments. However, Dr. Yang will not perform experiments himself and will perform no experiments related to GlycoT's research in the Wang laboratories.

In order to manage the conflict of interest (COI), Dr. Lyle Isaacs, Professor in the Department of Chemistry and Biochemistry, will serve as the COI Oversight Official to supervise Dr. Wang's research. When there is a subcontract awarded to the Wang laboratory from GlycoT's Small Business Innovation Research (SBIR) grants, a new COI disclosure will be required and we anticipate that Dr. Isaacs will be responsible for approving personnel appointments, financial matters relating to the subcontract project, and for final approval of research reports and manuscripts arising from the sponsored projects. Anyone appointed to a sponsored project in the Wang laboratory will be informed in writing of the COI and will be encouraged to approach Dr. Isaacs with any concerns regarding the COI and its management. No graduate students will be involved in any research involved in any research related to a GlycoT subcontract.

Recommendations

The Committee found the management plan to be acceptable. The Committee has concluded that the disclosed involvement does not constitute a harmful interest, and recommends that this project be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

If you concur, please sign below where indicated. Any exemptions granted will be reported to the Maryland State Ethics Commission and the Chancellor for the USM, as required. Should you have any questions, I can be reached at 301-405-0678 or jsmith54@umd.edu.

Approve of COI Committee Recommendation: Yes No



Signature

06-03-2020

Date




DIVISION OF RESEARCH

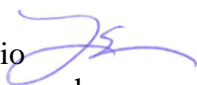
OFFICE OF THE VICE PRESIDENT FOR RESEARCH

2133 Lee Building
College Park, Maryland 20742-5125
301.405.4175 TEL

MEMORANDUM

To: Dr. Wallace Loh
President

From: Joseph M. Smith 
Conflict of Interest Administrator

Through: Dr. Laurie E. Locascio 
Vice President for Research

Subject: Conflict of Interest Disclosure for Ichiro Takeuchi

Date: April 15, 2020

The subject disclosure was received and reviewed by the President's Advisory Committee on Conflict of Interest (Committee), in accordance with the provisions of II-3.10 (A) University of Maryland Policy on Conflict of Interest and Conflict of Commitment, and II-3.10 (B) University of Maryland Procedures on Conflict of Interest and Conflict of Commitment.

The Committee members received all Disclosure materials via email and voted electronically. The members voting for approval were Dr. Katharine Abraham, Dr. Ashok Agrawala, Dr. Elizabeth Brittan-Powell, Mr. Eric Chapman, Dr. Philip DeShong (Chair) Ms. Felicia Metz, Ms. Wendy Montgomery, and Dr. Eric Wish. The vote was finalized on April 8, 2020.

Disclosure Summary and Nature of Conflict

Dr. Ichiro Takeuchi, Professor in the Department of Materials Science and Engineering at the University of Maryland, College Park (UMD), is a founder and the Chief Technology Officer of Maryland Energy & Sensor Technologies, LLC (MEST). The Department of Energy, Office of Energy Efficiency & Renewable Energy – Building Technologies Office (DOE EERE BTO) has selected UMD for a cooperative agreement on the development of thermoelastic active regenerators with giant delta T.

As a part of the cooperative agreement, there is a subaward to MEST (\$750K = \$250K/year x 3 years) for the development of Cu-based thermoelastic active regenerators. Because the focus of MEST has been on low stress thermoelastic cooling, there are many low stress Cu-based thermoelastic materials as well as a database on this class of materials at MEST. The subaward is to be used for salary of an engineer who has been working on other projects at MEST, as well as for purchasing parts to build Cu-based active regenerators.

Dr. Wallace Loh
Dr. Laurie Locascio
Conflict of Interest Disclosure
April 15, 2020
Page 2 of 3

Dr. Takeuchi is the Principal Investigator (PI) on the Department of Energy (DOE) cooperative agreement at UMD. Dr. Takeuchi owns 25% of MEST. MEST will be a subawardee on the DOE cooperative agreement focused on the development of Cu-based thermoelastic active regenerators. Ms. Sherry Xie, Chief Executive Officer of MEST, will be the PI on the subaward. Lisa Takeuchi, spouse of Dr. Takeuchi, is a Business Manager at MEST and paid hourly for managing accounting, payroll, and purchasing for MEST.

Management Plan

MEST will work on research outlined in the subaward and specified in the DOE scope of work in the MEST Lab. There is a new patent filed jointly by UMD/MEST on novel active regeneration technologies (provisional patent, PS- 2019- 054). Part of this project is to demonstrate the technology in the invention. Because the provisional patent has been filed, it is not clear if there will be new intellectual property (IP) developed. Ms. Xie will negotiate contractual issues with UMD independent of Dr. Takeuchi, including any potential IP licensing.

MEST is located in the TAP Building on campus and will not be using UMD laboratories to carry out the subaward project. Dr. Takeuchi noted that no one from the laboratory of Co-PI Reinhard Radermacher, Professor in the Department of Mechanical Engineering at UMD, or Dr. Takeuchi's laboratory on campus will be working at MEST, and no one from MEST will be working in the UMD laboratories.

Should the need arise for usage of UMD facilities for the purpose of the subaward project, a Facilities Use Application will be generated and approved before the usage happens. Any formal Facilities Use Application between MEST and the University for use of UMD facilities will be provided to the campus COI Committee. In addition, no UMD students and/or employees will be involved in the MEST subaward.

Dr. Hugh Bruck, the Associate Dean for Faculty Affairs in the Clark School of Engineering, has agreed to serve as the Oversight Official for the award from the DOE EERE BTO titled *Thermoelastic Active Regenerators with Giant Delta T*. Dr. Bruck will provide oversight of COI issues by conducting twice-yearly reviews of project data, financial records, and any other necessary supporting documents. Any concerns raised will be reported to the campus COI Committee for review, consideration, and potential subsequent recommendations. The COI Committee Chair will meet with lab employees to explain the COI and Management Plan. Dr. Takeuchi will ensure that everyone working on this cooperative agreement and/or in the same lab where the cooperative agreement work will be conducted will be informed of this potential conflict in writing and will sign the document indicating their acknowledgement of the potential conflict. All MEST employees must also sign a document indicating their acknowledgement of the potential conflict. These documents will be kept up to date and on file with the UMD COI Office. Any concerns or issues of cooperative agreement employees will be referred to Dr. Bruck. Dr. Bruck and Dr. Radermacher have signed the Oversight Official Memo, which is now on file with the UMD COI Office.

Dr. Wallace Loh
Dr. Laurie Locascio
Conflict of Interest Disclosure
April 15, 2020
Page 3 of 3

All purchases made for the cooperative agreement are conducted by the Materials Science and Engineering (MSE) department staff and approved by the MSE Business Manager or Director of Administrative Services. Specifically, MEST subaward request forms and invoices shall be authorized and approved by JC Zhao, Professor and Chair in the Department of MSE. Only with Dr. Zhao's approval will payments be authorized for the MEST subaward. No UMD employees will be hired to work on the MEST subaward.

All public presentations and/or publications that acknowledge joint UMD and MEST participation are required to include a Conflict of Interest statement.

Recommendations

The Committee found the management plan to be acceptable. The Committee has concluded that the disclosed involvement does not constitute a harmful interest and recommends that this project be approved for exemption from the provisions of the State of Maryland Public Ethics Law.

If you concur, please sign below where indicated. Any exemptions granted will be reported to the Maryland State Ethics Commission and the Chancellor for the USM, as required. Should you have any questions, I can be reached at 301-405-0678 or jsmith54@umd.edu.

Approve of COI Committee Recommendation: Yes X No

Wallace Loh
Signature

04-20-2020
Date



Office of the Vice President for Research
University of Maryland, Baltimore County
ITE Building, Room 222
1000 Hilltop Circle, Baltimore, MD 21250

phone 410.455.5636 // fax 410.455.5550
research.umbc.edu

July 14, 2020

Office of the Chancellor
University System of Maryland
3300 Metzerott Road
Adelphi, MD 20783

Re: Quarterly Reporting of Conflict of Interest Management Plans

On behalf of Freeman Hrabowski, President, Karl Steiner, Vice President for Research and as required by the *UMBC Policy on Individual Conflicts of Interest in Research & Product Development (Policy No. III.1.11)*, below is a list of Conflict of Interest Management Plans developed for UMBC faculty for the period **April 2020 to June 2020**.

1. Chemistry and Biochemistry, Bradley Arnold (update to previously approved COI Management Plan)

If you have any questions, please contact me or Timothy Sparklin, Research Compliance Officer, at 410-455-2737 or sparklin@umbc.edu.

Sincerely,

A handwritten signature in blue ink, appearing to read "Dean Drake". The signature is stylized and somewhat abstract, with several loops and flourishes.

Dean Drake
Associate Vice President for Research

Cc: Dave Gleason
Timothy Sparklin

I. Individual Information:

Name: Bradley Ray Arnold
Title: Associate Professor
Department Affiliation(s): Department of Chemistry and Biochemistry
Contact Information: BArnold@umbc.edu, 410-455-2503

II. Description of any actual or proposed association with the Company:

A. NuMoon Technologies, LLC
1450 S Rolling Road
Halethorpe, Md. 21227

B. Summary of actual or proposed relationships between the individual and the Company

1. Dr. Arnold has a 7% ownership in NuMoon Technologies, LLC. Dr. Arnold is the Chief Scientific Officer (CSO) of the company and as such may be involved in all business and scientific matters concerning NuMoon Technologies, LLC.
2. Gianna Julian Arnold (spouse) has a 60% ownership in NuMoon Technologies, LLC. She is the Chief Executive Officer (CEO) of the company and attends to funding and legal matters.
3. NuMoon Technologies, LLC has purchased and currently owns the 33% membership interests formerly owned and held by Sid Hite III (per the Member Withdrawal Agreement). Mr. Hite has separated and withdrew as Chief Operations Officer (COO) of the company. A search for a new COO is underway.
4. Dr. Arnold will make the COI Manager and UMBC's Office of Research Protections and Compliance (ORPC) aware of any changes in his relationship with NuMoon Technologies, LLC and where applicable, obtain prior approval for such changes, as set forth in this plan.
 - (a) COI Manager – Zeev Rosenzweig, Professor and Chair, zrosenzw@umbc.edu, 410-455-2521
 - (b) Compliance Officer - ORPC, compliance@umbc.edu / 410-455-2737

C. Summary of actual or proposed relationships between UMBC and the Company

1. Dr. Arnold has a number of active and pending awards dealing with this technology (See Exhibit A).
2. NuMoon Technologies, LLC has negotiated an Express License with UMBC (Ref. 2016-014/2016-015, 2018-006, 2018-205). Dr. Arnold's interest in the IP as inventor has been signed over to the university to avoid conflict of interest. All of the previous and current relationships, as well as the specific technology, are

identified in the disclosure attached to this plan as Exhibit B.

3. UMBC may have, in the future, Research Agreements and Service Agreements with NuMoon Technologies, LLC.

III. Description of the plan to manage or reduce any Conflict of Interest:

A. Separation of work

1. General

1. UMBC finances, space, personnel and other resources will be independent of NuMoon Technologies, LLC.
2. Any work (either research or service, other than consulting) Dr. Arnold or any UMBC employee performs for NuMoon Technologies, LLC must come through and be approved by ORPC.
3. Approval of this Management Plan should not be interpreted as permission to engage in outside professional activity with NuMoon Technologies, LLC, unless authorized within this Management Plan.
4. NuMoon Technologies, LLC may only contract with UMBC employees for consulting or to perform specific research under agreements subject to the provisions of the State of Maryland Ethics Law and the COI and Professional Commitment Policies of the University System of Maryland and UMBC.
5. UMBC maintains the right to approve and terminate any relationship described in this Plan that it believes hinders its ability to manage this conflict

2. Management/Employment Restrictions

- a. **Consulting and Other Arrangements; Decision-Making.** Dr. Arnold will provide the COI Manager and ORPC contact identified in Section II.B.4. for review and approval any consultant agreement, subcontract or other arrangement for independent work ("Agreement") to be performed for NuMoon Technologies, LLC by Dr. Arnold prior to initiating such work. Terms relevant to the review may include but are not limited to, financial compensation, the scope of work and duties, as well as provisions relating to intellectual property rights and nondisclosure. Dr. Arnold may not consult or advise on the scientific merit of UMBC confidential or otherwise nonpublic information not licensed to NuMoon Technologies, LLC unless under terms of such Agreement. Dr. Arnold may not participate on behalf of UMBC in decisions concerning UMBC interactions with NuMoon Technologies, LLC but may be involved in such decisions on behalf of NuMoon Technologies, LLC in his capacity as the Chief Science Officer, including but not limited to agreements, licenses, and consulting on behalf of UMBC. UMBC's Office of Technology Development



(OTD) will serve as the focal point of all UMBC negotiations concerning the licensing of UMBC technology, agreements, or any other legal documents in relation to NuMoon Technologies, LLC. Gianna Julian Arnold will serve as legal contact for negotiations of agreements including, but not limited to, the Express License to be extended to NuMoon Technologies, LLC in conjunction with its counsel, Saul Ewing Arnstein & Lehr.

- b. **UMBC Personnel** refers to Dr. Arnold, as well as paid or unpaid faculty, staff, students, trainees, and other persons working with Dr. Arnold, using UMBC resources and subject to USM policy

3. Consulting, Collaborations & Sharing of Information

Dr. Arnold is permitted to consult on the scientific and technical merit of the technology licensed to NuMoon Technologies, LLC. Licensed technology does not include improvements on licensed technology that otherwise belong solely to UMBC. Should Dr. Arnold either (i) consult with NuMoon Technologies, LLC or (ii) collaborate with NuMoon Technologies, LLC, he will not communicate to company new know-how, trade secrets, IP, or confidential information in which NuMoon Technologies, LLC has no right or interest unless under an Agreement as set forth in Section III.A.2.

4. Agreements with UMBC

No individual, including UMBC Personnel as defined in Section III.2.b, shall use UMBC facilities to perform research or services for NuMoon Technologies, LLC when that research has not been specified in a written and approved contract between UMBC and NuMoon Technologies, LLC. For the purposes of this COI Management Plan, this includes both paid and unpaid individuals.

B. Public Disclosure

Whenever reasonably necessary or appropriate to avoid a conflict, or the appearance of a conflict, arising by virtue of Dr. Arnold's affiliation with UMBC and his relationship with NuMoon Technologies, LLC in situations relating to the technology licensed to NuMoon Technologies, LLC (or in which NuMoon Technologies, LLC may have an interest), Dr. Arnold shall disclose his relationship with NuMoon Technologies, LLC through an appropriate legend on the pertinent publication or other matter.

1. At a minimum, the disclosure shall identify the pertinent technology and include

a reference to Dr. Arnold's interest in the company commercializing the technology. Below is a sample public disclosure:

"I am an inventor of a patent related to the technology described in this (define situation – i.e. publication, proposal, research award, presentation, etc.) for which I am entitled to receive royalties. One invention was issued to the University of Maryland Baltimore County (UMBC) (U.S. Patent No. 000000000 & UMBC Ref # 0000UG). In addition, I am a partner in NuMoon Technologies, LLC. that has licensed the technology from Company and UMBC."

2. Below is a list of situations where a disclosure may be required should the subject of the situation include the technology licensed to NuMoon Technologies, LLC. This list is not intended to be an exhaustive list. Disclosure should be included in UMBC documents and in other situations that make material mention of Dr. Arnold's affiliation with UMBC and could reasonably be perceived as promoting NuMoon Technologies, LLC or potential economic benefit of using the licensed technology. At the discretion of the COI Manager, items can be disclosed annually, as long as the disclosure follows the guidelines set out in paragraph III.B.1 above. Should Dr. Arnold need additional clarity regarding a particular situation, he should contact the COI Manager or ORPC.

- a. Proposals
- b. Publications
- c. Consultant Agreements
- d. Evaluation of a technology in any form (even if the technology is not commercially available) for NuMoon Technologies, LLC or any competitor.

In the event a journal, funding source, or other sponsor has a documented policy regarding financial Conflicts of Interest, a written or otherwise published disclosure in accordance with such policy shall be deemed to satisfy the foregoing requirements.

C. Disclosure within UMBC

1. Students: When Dr. Arnold approaches a student in any effort that (i) is funded by NuMoon Technologies, LLC or (ii) will directly benefit NuMoon Technologies, LLC (including, but not limited to, benefits resulting from a collaboration), he agrees to arrange for the student to be counseled by the COI Manager to ensure the student is aware of the Conflict of Interest situation. Should the student feel Dr. Arnold's interests in NuMoon Technologies, LLC conflict with the best interests of the student's

educational goals, both parties should be willing to approach the COI Manager.

2. Dr. Arnold agrees that any individual, including UMBC Personnel working in his lab, will not be assigned to work on a project that is in any way funded or supported by NuMoon Technologies, LLC unless they have been fully informed of the nature of the work, the source of the funding, and the fact that Dr. Arnold has a financial interest in the sponsor. For new hires who may be assigned to work on such a project, notification should occur at an appropriate point during the recruitment process. Dr. Arnold agrees that the nature of the work, the source of the funding, and his/her financial interest in NuMoon Technologies, LLC will be clearly stated in any such individual's letter of appointment or a separate written/electronic communication if the project commences after recruitment. Dr. Arnold will inform all individuals who may work in his lab or who support his lab in a direct administrative capacity of the conflict if they may have any involvement in any work or project that is in any way funded or supported by NuMoon Technologies, LLC.

Dr. Arnold will also provide them with the name and contact information of the COI Manager and ORPC Contact, making them aware they are free to contact the COI Manager and ORPC directly should they have any questions or concerns.

3. New inventions/improvements to technology developed by Dr. Arnold's laboratory are subject to UMBC's Intellectual Property Policy, and shall be disclosed to UMBC OTD as per UMBC policy. New inventions may require a revised Invention Disclosure Statement and modification to this Plan. Use of such inventions/improvements to technologies by NuMoon Technologies, LLC shall be governed by separate agreement(s) negotiated between UMBC and NuMoon Technologies, LLC.
4. Dr. Arnold will make every effort to inform internal UMBC offices such as Human Resources, Academic Affairs, and the Office of Sponsored Programs when agreements they are negotiating may be affected by this Conflict of Interest.
5. Dr. Arnold will provide regular updates to the COI Manager in order to meet their annual reporting requirements to the ORPC.

Note: Capitalized terms are defined in [UMBC's Procedures](#) for UMBC III-1.11.02 Interim Policy on Conflicts of Interest in PHS Research and UMBC III-1.11.01 Policy on Individual Conflicts of Interest in Research & Product Development.



IV. Request for exemption under the Maryland State Ethics Law:

This Conflict of Interest Management Plan is intended to address any actual or perceived Conflict of Interest that may result from the relationships described in Section II, above. The plan described in Section III, above, is intended to sufficiently manage or reduce any potential Conflict of Interest resulting from the relationships.

Dr. Arnold has been made aware of his obligations under UMBC's Conflict of Commitment policies and procedures, as well as the Management Plan.

ACKNOWLEDGED, MODIFIED AND AGREED AS OF THE DATE SET FORTH ABOVE:

SIGNATURES:

Signature: Bradley Arnold Date: 6/17/2020 | 7:38:30 AM EDT
Bradley Arnold, Ph.D. Date

Signature: Zeev Rosenzweig Date: 6/17/2020 | 7:52:39 AM EDT
Zeev Rosenzweig, Ph.D. Professor and Chair Date
COI Manager

Signature: Karl V Steiner Date: 6/17/2020 | 11:19:34 AM EDT
Karl V. Steiner, Ph.D., UMBC Vice President for Research Date

Signature: [Signature] Date: 6/24/2020 | 3:20:04 PM EDT
David R. Gleason, UMBC Office of General Counsel Date

Signature: Freeman Hrabowski Date: 6/25/2020 | 1:44:48 PM EDT
Freeman A. Hrabowski III, Ph.D., UMBC President Date



Conflict of Interest
Management Plan
For: Bradley Arnold
Dated: June 9, 2020 (#167-4) (version 2)

EXHIBIT A

Financial disclosures recorded in the Kuali COI module (disclosure ID # 185).



EXHIBIT B

Description of Licensed Technology

UMBC Express License Agreement Inventor Acknowledgement and Waiver



In respect of the license granted or to be granted by the University of Maryland, Baltimore County ("UMBC") of certain rights to NuMoon™ Technologies, LLC ("Licensee"), ("the License Agreement"), including rights related to inventions (UMBC Ref. 2016-014/2016-025, 2018-006 and 2018-025) developed by the undersigned, in whole or in part, I, Bradley Arnold acknowledge and agree as follows:

Ownership and all other rights as to the licensed inventions and related intellectual property as defined by Exhibit A of the License Agreement, including any such rights that I may have now or in the future, are governed by the Intellectual Property Policies of UMBC.

Pursuant to the License Agreement, UMBC expects to receive, in lieu of an upfront license fee, a contractually obligated fee upon a liquidation event or initial public offering. I acknowledge that as a founder of the Licensee, I will receive or have received shares of stock or a membership interest directly from the Licensee. Consequently, I consider that the receipt of such founder's equity satisfies in full my rights, and duly discharges UMBC's duty, under its Intellectual Property Policies or otherwise, to share with me the contractually obligated fee pursuant to Article 3.1.1 of the License Agreement UMBC receives, or proceeds thereof, in consideration for issuance of the License Agreement. I acknowledge that I, my heirs, successors and assigns shall have no right to shares of the contractually obligated fee issued in consideration for the License Agreement under the Intellectual Property Policies of UMBC, or the proceeds thereof.

I hereby acknowledge that UMBC and counsel for UMBC represent the interests of UMBC, and not my interests with respect to the tax consequences of the execution and performance of, and the receipt of consideration contemplated by, the License Agreement or of any equity I receive or have received from the Licensee as a founder. I further acknowledge that I have not received any tax advice from UMBC, or counsel for UMBC. I further acknowledge that I have been free to, and have been advised by representatives of UMBC to consult with independent tax counsel of my own choosing regarding the federal, state and local tax consequences to me, and any elections that should or may be made by me, as a result of entering into, performing and receiving shares of stock and future consideration, if any, as a founder of the Licensee or pursuant to the terms of, the Intellectual Property Policies of UMBC, the License Agreement and this Inventor Acknowledgement and Waiver.

I make this Acknowledgement and Waiver freely and of my own accord and without duress.

Bradley Arnold (Inventor Name/ Signature)

7/24/2019 Date

(Witness Name/ Signature)

7/24/19 Date

MEMORANDUM

TO: Jay A. Perman, M.D.
Chancellor

FROM: Bruce E. Jarrell, M.D.
Interim President *Bruce E Jarrell*
University of Maryland, Baltimore

DATE: July 8, 2020

RE: Fourth Quarter Report on Exemptions Granted Pursuant
To the Public-Private Partnership Act

There were two (2) exemptions and one (1) amendment granted to UMB personnel between April 1, 2020 and June 30, 2020 pursuant to the Public-Private Partnership Act.

Supporting documentation is enclosed.

COI EXEMPTIONS

EMPLOYEE	EXEMPTED CONFLICT	ENTITY	DATE OF EXEMPTION
Charles Mensah, MBA, CPA	Dual Employment	Institute of Human Virology, Nigeria	05/26/2020
Milagritos Tapia, MD	As principal investigator, selected her spouse for her grant's research team.	Dr. Samba Sow Adjunct Professor University of Maryland, Baltimore	05/20/2020

COI AMENDMENT

EMPLOYEE	REASON FOR AMENDMENT	ENTITY	DATE OF EXEMPTION	DATE OF AMENDMENT
-----------------	-----------------------------	---------------	--------------------------	--------------------------

Vincent Njar, PhD	Startup company, Terprene Pharmaceuticals, LLC dissolved, resulting in new company Isoprene Pharmaceuticals, Inc.	Terprene Pharmaceuticals, LLC	06/15/2015	06/25/2020
----------------------	--	-------------------------------------	------------	------------

If any further information is required, please do not hesitate to contact Alison Watkins in the Office of the Provost at (410) 706-1266.

ENCLOSURES

CC: Dr. Roger Ward, Executive Vice President & Interim Provost
Ms. Alison Watkins, Esq. UMB CoI Officer & Assistant Vice President
Ms. Yolanda Williams-Clark, Executive Assistant to the Chancellor, USM
Mr. Michael Lord, Esq. Executive Director, State Ethics Commission