ICMJE Form for Disclosure of Potential Conflicts of Interest

Instructions

The purpose of this form is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. The form is designed to be completed electronically and stored electronically. It contains programming that allows appropriate data display. Each author should submit a separate form and is responsible for the accuracy and completeness of the submitted information. The form is in six parts.

1. **Identifying information.**
   
2. **The work under consideration for publication.**
   
   This section asks for information about the work that you have submitted for publication. The time frame for this reporting is that of the work itself, from the initial conception and planning to the present. The requested information is about resources that you received, either directly or indirectly (via your institution), to enable you to complete the work. Checking “No” means that you did the work without receiving any financial support from any third party -- that is, the work was supported by funds from the same institution that pays your salary and that institution did not receive third-party funds with which to pay you. If you or your institution received funds from a third party to support the work, such as a government granting agency, charitable foundation or commercial sponsor, check “Yes”.

3. **Relevant financial activities outside the submitted work.**
   
   This section asks about your financial relationships with entities in the bio-medical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer.

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4. **Intellectual Property.**
   
   This section asks about patents and copyrights, whether pending, issued, licensed and/or receiving royalties.

5. **Relationships not covered above.**

   Use this section to report other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work.

Definitions.

- **Entity:** government agency, foundation, commercial sponsor, academic institution, etc.
- **Grant:** A grant from an entity, generally (but not always) paid to your organization
- **Personal Fees:** Monies paid to you for services rendered, generally honoraria, royalties, or fees for consulting, lectures, speakers bureaus, expert testimony, employment, or other affiliations
- **Non-Financial Support:** Examples include drugs/equipment supplied by the entity, travel paid by the entity, writing assistance, administrative support, etc.
- **Other:** Anything not covered under the previous three boxes
- **Pending:** The patent has been filed but not issued
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- **Royalties:** Funds are coming in to you or your institution due to your patent
ICMJE Form for Disclosure of Potential Conflicts of Interest

Section 1. Identifying Information

1. Given Name (First Name) Leo
2. Surname (Last Name) Rasche
3. Date 12-December-2014
4. Are you the corresponding author? ☑ Yes ☐ No
   Corresponding Author’s Name Brändlein
5. Manuscript Title “GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma- Results from a Phase 1 Trial with Monoclonal IgM Antibody PAT-SM6”
6. Manuscript Identifying Number (if you know it) HAEMATOL/2014/117945

Section 2. The Work Under Consideration for Publication

Did you or your institution at any time receive payment or services from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)? Are there any relevant conflicts of interest? ☑ Yes ☐ No
If yes, please fill out the appropriate information below. If you have more than one entity press the “ADD” button to add a row. Excess rows can be removed by pressing the “X” button.

<table>
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<td>Patrys Ltd</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
<td>The university hospital received payment from Patrys to run the trial (pharma sponsored trial)</td>
</tr>
</tbody>
</table>

Section 3. Relevant financial activities outside the submitted work.

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of compensation) with entities as described in the instructions. Use one line for each entity; add as many lines as you need by clicking the “Add +” box. You should report relationships that were present during the 36 months prior to publication. Are there any relevant conflicts of interest? ☐ Yes ☑ No

Section 4. Intellectual Property -- Patents & Copyrights

Do you have any patents, whether planned, pending or issued, broadly relevant to the work? ☐ Yes ☑ No
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Section 6. Disclosure Statement

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Dr. Rasche reports other from Patrys Ltd, during the conduct of the study.

Evaluation and Feedback

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Royalties: Funds are coming in to you or your institution due to your patent
ICMJE Form for Disclosure of Potential Conflicts of Interest

Section 1. Identifying Information

1. Given Name (First Name)     Johannes
2. Surname (Last Name)         Duell
3. Date                        16-December-2014
4. Are you the corresponding author?  Yes  No  ✔

Corresponding Author’s Name
Brändlein Stephanie

5. Manuscript Title
GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma Results from a Phase 1 Trial with Monoclonal IgM Antibody PAT-SM6

6. Manuscript Identifying Number (if you know it)
HAEMATOL/2014/117945

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Did you or your institution at any time receive payment or services from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)?

Are there any relevant conflicts of interest?  Yes  No  ✔

Section 3. Relevant financial activities outside the submitted work.

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of compensation) with entities as described in the instructions. Use one line for each entity; add as many lines as you need by clicking the “Add +” box. You should report relationships that were present during the 36 months prior to publication.

Are there any relevant conflicts of interest?  Yes  No  ✔

Section 4. Intellectual Property -- Patents & Copyrights

Do you have any patents, whether planned, pending or issued, broadly relevant to the work?  Yes  No  ✔
ICMJE Form for Disclosure of Potential Conflicts of Interest

Section 5. Relationships not covered above

Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

☐ Yes, the following relationships/conditions/circumstances are present (explain below):

☑ No other relationships/conditions/circumstances that present a potential conflict of interest

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Disclosure Statement

Evaluation and Feedback

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ICMJE Uniform Disclosure Form for Potential Conflicts of Interest

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The purpose of this form is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. The form has five parts.

1. Identifying information.
   Each author should submit a separate form. Provide complete information and double-check the manuscript number. If you are NOT the corresponding author please insert his or her name.

2. The work under consideration for publication.
   Please provide information about the work that you have submitted for publication. The time frame for this reporting is that of the work itself, from the initial conception and planning to the present. The idea is to provide for the reader information about resources that you received, either directly or indirectly (via your institution), to enable you to complete the work. If you check the "No" box it means that you did the work without receiving any financial support from any third party -- that is, the work was supported by funds from the same institution that pays your salary and that institution did not receive third-party funds to pay you. If you or your institution did receive funds from a third party to support the work, check "Yes" along with the appropriate boxes to indicate the type of support and whether you or your institution received it.

3. Relevant financial activities outside the submitted work.
   Please report all sources of revenue relevant to the submitted work that accrued either directly to you or were paid to your institution on your behalf over the 36 months prior to submission of the work. This should include all monies from sources with relevance to the submitted work, not just monies from the entity that sponsored the research. If there is any question, it is usually better to disclose a relationship than not to do so. Please note that your interactions with the work’s sponsor outside the submitted work should be listed here. For each category list each entity on a separate line. Use as many lines as necessary to provide complete information. In addition, please disclose relationships that fall outside the 36-month window that readers may want to know about and could reasonably criticize you for not disclosing (for example, long-term financial relationships that are now ended).

   The goal of this section is to provide information for our reviewers and readers about your interactions with entities in the biomedical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer. For grants you have received for work outside the submitted work, you should disclose support ONLY from entities that could be perceived to benefit financially from the published work, such as drug companies, or foundations supported by entities that could be perceived to have a financial stake in the outcome. Public funding sources, such as the NIH or the MRC, need not be disclosed. For example, if the NIH sponsored a piece of work you have been involved in but drugs were provided by a pharmaceutical company, you need only list the pharmaceutical company.

4. Financial relationships involving your spouse or partner or your children (under 18 years of age).
   If monies from the types of relationships listed in Section 3 were paid to your spouse or partner or dependent children, please list the type of activity and source of the money.

5. Nonfinancial associations.
   Please report any personal, professional, political, institutional, religious, or other associations that a reasonable reader would want to know about in relation to the submitted work.
ICMJE Uniform Disclosure Form for Potential Conflicts of Interest

Section 1. Identifying Information.

Given Name: Inês
Surname: C. Castro
Effective Date: 12/12/2014

Are you the corresponding author? Yes No

Corresponding author’s name: Stephanie Brändlein, PhD

Manuscript Title: GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma - Results from a Phase 1 Trial with Monoclonal IgM Antibody PAT-SM6

Manuscript Identifying Number (if you know it): HAEMATOL/2014/117945

Section 2. Information about the support of the work under consideration for publication.

Did you or your institution at any time receive payment or support in kind for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc…)?

No

Yes, specify nature of compensation

Section 3. Information about relevant financial relationships outside the submitted work.

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of compensation) with any entities that have an interest related to the submitted work. Use one line for each entity; add as many lines as you need. Use the comments column to indicate any additional information that you think a reader or editor would want to know about the compensation. Report relationships that were present during the 36 months prior to submission. In addition please disclose relationships that fall outside the 36-month window that readers may want to know about and could reasonably criticize you for not disclosing (for example, long-term financial relationships that are now ended).

If you have more than one relationship, click "Add +" to add a row. Click "Del ×" to delete an extra row.

<table>
<thead>
<tr>
<th>Type of Relationship (in alphabetical order)</th>
<th>No</th>
<th>Money Paid to You</th>
<th>Money to Your Institution</th>
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<td>Royalties</td>
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<td>Payment for development of educational presentations including service on speakers' bureaus</td>
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<td>Stock/stock options</td>
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<td>Patrys GmbH</td>
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<td>Travel/accommodations expenses covered or reimbursed</td>
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<td>Other (err on the side of full disclosure)</td>
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Section 4. Information about financial relationships involving your spouse or partner or your children (under 18 years of age).

Do your children or your spouse or partner have financial relationships with entities that have an interest in the content of the submitted work?

- ☒ No other relationships/conditions/circumstances that present potential conflict of interest
- ☐ Yes, the following relationships/conditions/circumstances are present (explain below):

Stranges
ICMJE Uniform Disclosure Form for Potential Conflicts of Interest

Section 5. Information about relevant nonfinancial associations.

Do you have any relevant nonfinancial associations or interests (personal, professional, political, institutional, religious, or other) that a reasonable reader would want to know about in relation to the submitted work?

☒ No relevant nonfinancial relationships/conditions/circumstances to report.

☐ Yes, the following relevant nonfinancial relationships/conditions/circumstances are present (explain below):

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ICMJE Form for Disclosure of Potential Conflicts of Interest

### Section 1. Identifying Information

1. Given Name (First Name)
   Valentina

2. Surname (Last Name)
   Dubljevic

3. Date
   12-December-2014

4. Are you the corresponding author? ☑ No

   Corresponding Author’s Name
   Dr. Stephanie Brändlein

5. Manuscript Title
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Dr. Dubljevic has nothing to disclose.

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<tr>
<td>Manik</td>
<td>Chatterjee</td>
<td>16-December-2014</td>
</tr>
</tbody>
</table>

4. Are you the corresponding author?  ✔ No

Corresponding Author’s Name

| Stephanie Brändlein |

5. Manuscript Title

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HAEMATOL/2014/117945

**Section 2. The Work Under Consideration for Publication**

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Are there any relevant conflicts of interest?  ✔ No

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Are there any relevant conflicts of interest?  ✔ No

**Section 4. Intellectual Property -- Patents & Copyrights**

Do you have any patents, whether planned, pending or issued, broadly relevant to the work?  ✔ No
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Section 6. Disclosure Statement

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Dr. Chatterjee has nothing to disclose.

Evaluation and Feedback

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ICMJE Form for Disclosure of Potential Conflicts of Interest

**Section 1. Identifying Information**

1. Given Name (First Name)  
   Stefan  
2. Surname (Last Name)  
   Knop  
3. Date  
   16-December-2014  
4. Are you the corresponding author?  
   Yes ☑ No  
   Corresponding Author's Name  
   Dr Stephanie Brändlein  
5. Manuscript Title  
   GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma  
6. Manuscript Identifying Number (if you know it)  

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Are there any relevant conflicts of interest?  
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Dr. Knop served as a consultant for Patrys Ltd. during the conduct of the study.

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ICMJE Form for Disclosure of Potential Conflicts of Interest

### Section 1. Identifying Information

1. Given Name (First Name)  
   Frank
2. Surname (Last Name)  
   Hensel
3. Date  
   12-December-2014
4. Are you the corresponding author?  
   Yes
5. Manuscript Title  
   GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma-Results from a Phase 1 Trial with Monoclonal IgM Antibody PAT-SM6
6. Manuscript Identifying Number (if you know it)  
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Are there any relevant conflicts of interest?  
Yes

If yes, please fill out the appropriate information below. If you have more than one entity press the "ADD" button to add a row. Excess rows can be removed by pressing the "X" button.

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Are there any relevant conflicts of interest?  
Yes

### Section 4. Intellectual Property -- Patents & Copyrights

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Hensel
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Dr. Hensel reports other from Patrys GmbH, during the conduct of the study.

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Section 1. Identifying Information

1. Given Name (First Name) Andreas
2. Surname (Last Name) Rosenwald
3. Date 15-December-2014
4. Are you the corresponding author? ☐ Yes ☑ No
   Corresponding Author’s Name Dr. Stephanie Brändlein
5. Manuscript Title GRP78-directed immunotherapy in relapsed or refractory multiple myeloma - results from....
6. Manuscript Identifying Number (if you know it) HAEMATOL/2014/117945

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Dr. Rosenwald reports grants from Patrys, Australia, during the conduct of the study.

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1. Given Name (First Name)  
Hermann

2. Surname (Last Name)  
Einsele

3. Date  
16-December-2014

4. Are you the corresponding author?  
☐ Yes  ✔ No

Corresponding Author’s Name  
Stephanie Brändlein

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Einsele
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Dr. Einsele has nothing to disclose.

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1. Given Name (First Name) Max
2. Surname (Last Name) Topp
3. Date 14-December-2014
4. Are you the corresponding author? Yes ☑ No
Corresponding Author’s Name
Stephanie Brändlein

5. Manuscript Title
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Are there any relevant conflicts of interest? Yes ☐ No

Section 4. Intellectual Property -- Patents & Copyrights

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Section 5. Relationships not covered above

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At the time of manuscript acceptance, journals will ask authors to confirm and, if necessary, update their disclosure statements. On occasion, journals may ask authors to disclose further information about reported relationships.

Section 6. Disclosure Statement

Based on the above disclosures, this form will automatically generate a disclosure statement, which will appear in the box below.

Dr. Topp has nothing to disclose.

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The purpose of this form is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. The form is designed to be completed electronically and stored electronically. It contains programming that allows appropriate data display. Each author should submit a separate form and is responsible for the accuracy and completeness of the submitted information. The form is in six parts.

1. Identifying information.

2. The work under consideration for publication.
   This section asks for information about the work that you have submitted for publication. The time frame for this reporting is that of the work itself, from the initial conception and planning to the present. The requested information is about resources that you received, either directly or indirectly (via your institution), to enable you to complete the work. Checking "No" means that you did the work without receiving any financial support from any third party -- that is, the work was supported by funds from the same institution that pays your salary and that institution did not receive third-party funds with which to pay you. If you or your institution received funds from a third party to support the work, such as a government granting agency, charitable foundation or commercial sponsor, check "Yes".

3. Relevant financial activities outside the submitted work.
   This section asks about your financial relationships with entities in the bio-medical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer.
   Report all sources of revenue paid (or promised to be paid) directly to you or your institution on your behalf over the 36 months prior to submission of the work. This should include all monies from sources with relevance to the submitted work, not just monies from the entity that sponsored the research. Please note that your interactions with the work’s sponsor that are outside the submitted work should also be listed here. If there is any question, it is usually better to disclose a relationship than not to do so.
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5. Relationships not covered above.
   Use this section to report other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work.

Definitions.

- **Entity:** government agency, foundation, commercial sponsor, academic institution, etc.
- **Grant:** A grant from an entity, generally (but not always) paid to your organization
- **Personal Fees:** Monies paid to you for services rendered, generally honoraria, royalties, or fees for consulting, lectures, speakers bureaus, expert testimony, employment, or other affiliations
- **Non-Financial Support:** Examples include drugs/equipment supplied by the entity, travel paid by the entity, writing assistance, administrative support, etc.
- **Other:** Anything not covered under the previous three boxes
- **Pending:** The patent has been filed but not issued
- **Issued:** The patent has been issued by the agency
- **Licensed:** The patent has been licensed to an entity, whether earning royalties or not
- **Royalties:** Funds are coming in to you or your institution due to your patent
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1. Given Name (First Name)  
   Stephanie

2. Surname (Last Name)  
   Brändlein

3. Date  
   15-December-2014

4. Are you the corresponding author?  
   ✔ Yes  
   ☐ No

5. Manuscript Title  
   GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma-

6. Manuscript Identifying Number (if you know it)  
   HAEMATOL/2014/117945

Section 2. The Work Under Consideration for Publication

Did you or your institution at any time receive payment or services from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)?

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Dr. Brändlein reports grants from Patrys Ltd., Melbourne, Australia, during the conduct of the study.

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