

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.

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3. Relevant financial activities outside the submitted work.

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Intellectual Property.

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

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Royalties: Funds are coming in to you or your institution due to your patent

Rasche 1



Section 1. Identifying Informa	ation						
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 Autho	r's Name				
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 ldentifying Number (if you kno HAEMATOL/2014/117945	ow it)						
Section 2. The Work Under Co	nsideration for Public	ation					
Did you or your institution at any time received any aspect of the submitted work (including kestatistical analysis, etc.)? Are there any relevant conflicts of interest	out not limited to grants, dat						
If yes, please fill out the appropriate infor Excess rows can be removed by pressing		e more than one entit	ry press the "ADD" button to add a row.				
Name of Institution/Company	Grant	-Financial other?	Comments				
Patrys Ltd			The university hospital received payment from Patrys to run the trial (pharma sponsored trial)				
Section 3. Relevant financial a	at the constitution	december december					
Relevant financial a	ctivities outside the s	lbmitted work.					
Place a check in the appropriate boxes in of compensation) with entities as describ clicking the "Add +" box. You should repo	ed in the instructions. Use	e one line for each en	tity; add as many lines as you need by				
Are there any relevant conflicts of interes	st? Yes V No						
Section 4. Intellectual Propert	y Patents & Copyrig	hts					
Do you have any patents, whether plann	ed, pending or issued, bro	oadly relevant to the v	work? Yes 🗸 No				

Rasche



Section 5.						
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?						
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Dr. Rasche repor	ts other from Patrys Ltd, during the conduct of the study; .					

Evaluation and Feedback

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Rasche 3



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patent

Duell



Section 1. Identifying Inform							
Identifying Inform	nation						
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 Rel IgM Antibody PAT-SM6	GRP78-directed Immunotherapy in Relapsed or Refractory Multiple Myeloma Results from a Phase 1 Trial with Monoclonal						
6. Manuscript Identifying Number (if you k HAEMATOL/2014/117945	now it)						
Section 2. The Work Under C	Consideration for Public	cation					
any aspect of the submitted work (includin statistical analysis, etc.)? Are there any relevant conflicts of inter	g but not limited to grants, da	a third party (government, commercial, private foundation, etc.) for ta monitoring board, study design, manuscript preparation,					
Section 3. Relevant financial	l activities outside the s	ubmitted 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 Prope	rty Patents & Copyric	yhts					
Do you have any patents, whether plar	nned, pending or issued, br	oadly relevant to the work? Yes No					

Duell 2



Section 5.	Relationships not covered above					
	elationships or activities that readers could perceive to have influenced, or that give the appearance of encing, what you wrote in the submitted work?					
Yes, the follo	wing relationships/conditions/circumstances are present (explain below):					
✓ No other rela	✓ No other relationships/conditions/circumstances that present a potential conflict of interest					
	anuscript acceptance, journals will ask authors to confirm and, if necessary, update their disclosure statements. rnals may ask authors to disclose further information about reported relationships.					
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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.



Section 1. Identifying Information. Given Name: Surname: Effective Date: |12/12/2014 Inês . Castro (or last) (or first) Format example: 07-August-2008 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 Manusclanal IdM 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...)? 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.

Type of Relationship (in alphabetical order)	No	Money Paid to You	Money to Your institution	Entity	Comments	
Board membership	X					Del ×
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Consultancy	X					Del ×
						Add +
Employment		x		Patrys GmbH		Del ×
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	Add +
Stock/stock options Patrys GmbH	Del ×
	Add +
Travel/accommodations expenses covered or reimbursed	Del ×
	Add +
Other (err on the side of full disclosure)	
	Del ×

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 1	partner have financial 1	relationships with ent	ities that have an int	erest in the content of	of the
submitted work?					

\mathbf{x}	No.	other	relation	ships	conditions/	circumstances/	that preser	it potential	conflict	of interest
10.	110	Other	TCIACIOII	011100/	conditions	CII Cuillo tulleco	tilat preser	ic poterium	comme	or micercou

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



Section 5. Information about relevant nonfinancial associations.

Do you have any relevant nonfinancial associations or interests (personal, professional, political, institutional, religious, or other	ner)
that a reasonable reader would want to know about in relation to the submitted work?	
▼ No relevant nonfinancial relationships/conditions/circumstances to report.	

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.

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

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http://www.springer.com/journal/12028

Neurocritical Care

ISSN: 1541-6933 (print version)

ISSN: 1556-0961 (electronic version)

Journal no. 12028



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Dubljevic



Section 1. Identifying Inform	mation				
Given Name (First Name) Valentina	Surname (Last Name) Dubljevic	3. Date 12-December-2014			
4. Are you the corresponding author?	ou the corresponding author? Yes No Corresponding Author's Name Dr. Stephanie Brändlein				
5. Manuscript Title GRP78-directed Immunotherapy in Re IgM Antibody PAT-SM6	lapsed or Refractory Multi	ple Myeloma- Results from a Phase 1 Trial with Monoclonal			
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Dubljevic



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Chatterjee



Section 1. Identifying Inform	nation					
1. Given Name (First Name) Manik	Surname (Last Name) Chatterjee	3. Date 16-December-2014				
4. Are you the corresponding author?	Yes V No	Corresponding Author's Name Stephanie Brändlein				
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Do you have any patents, whether plan		<u> </u>				

Chatterjee



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Chatterjee 3



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Royalties: Funds are coming in to you or your institution due to your patent



Section 1. Identifying Infor	mation		
Given Name (First Name) Stefan	2. Surname (Last Name) Knop	3. Date 16-Dec	cember-2014
4. Are you the corresponding author?	Yes V No	Corresponding Author's Name Dr Stephanie Brändlein	
5. Manuscript Title GRP78-directed Immunotherapy in R	elapsed or Refractory Multip	ole Myeloma	
6. Manuscript Identifying Number (if you	know it)		
Section 2. The Work Under	Consideration for Publ	cation	
Did you or your institution at any time re any aspect of the submitted work (includi statistical analysis, etc.)? Are there any relevant conflicts of into	ng but not limited to grants, d	a third party (government, commercia ata monitoring board, study design, ma	l, private foundation, etc.) for inuscript preparation,
If yes, please fill out the appropriate in Excess rows can be removed by press	nformation below. If you ha	ve more than one entity press the ",	ADD" button to add a row.
Name of Institution/Company	Grant? Personal No	n-Financial Other? Comments	LEE BOOK
Patrys Ltd.			
Section 3. Relevant financia	al activities outside the	submitted work.	
Place a check in the appropriate boxe of compensation) with entities as desclicking the "Add +" box. You should Are there any relevant conflicts of interest.	cribed in the instructions. Ureport relationships that we	se one line for each entity; add as n	nany lines as you need by
Are there any televant commend or me			
Section 4. Intellectual Brown			
intellectual Prop	erty Patents & Copyr		
Do you have any patents, whether pl	anned, pending or issued, b	roadly relevant to the work?	es 🗸 No



Section 5.	Relationships not covered above
	relationships or activities that readers could perceive to have influenced, or that give the appearance of sencing, what you wrote in the submitted work?
Yes, the follo	owing relationships/conditions/circumstances are present (explain below):
✓ No other rel	ationships/conditions/circumstances that present a potential conflict of interest
	nanuscript acceptance, journals will ask authors to confirm and, if necessary, update their disclosure statements urnals may ask authors to disclose further information about reported relationships.
Section 6.	Disclosure Statement
Based on the abbelow.	pove disclosures, this form will automatically generate a disclosure statement, which will appear in the box
Dr. Knop served	d as a consultant for Patrys Ltd. during the conduct of the study.

Evaluation and Feedback

Please visit http://www.icmje.org/cgi-bin/feedback to provide feedback on your experience with completing this form.

Knop



Instructions

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Royalties: Funds are coming in to you or your institution due to your patent

Hensel



Section 1.	Identifying Inform	ation				
1. Given Name (First Name) Frank		Surname (Last Name) Hensel		3. Date 12-December-2014		
4. Are you the corresponding author?		Yes V No	Corresponding Author's Na Dr. Stephanie Brändlein			
5. Manuscript Title GRP78-directed IgM Antibody PA	Immunotherapy in Rela	psed or Refractory Multip	le Myeloma-Results from a	a Phase 1 Trial with Monoclonal		
6. Manuscript Ider	ntifying Number (if you kr 4/117945	ow it)	_			
Section 2.	The Work Under Co	onsideration for Public	ration			
any aspect of the s statistical analysis,	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					
	out the appropriate info be removed by pressin		re more than one entity pro	ess the "ADD" button to add a row.		
Name of Institut	Name of Institution/Company Grant? Personal Fees? Support? Comments Comments					
Patrys GmbH			✓ Emp	loyee		
	l					
Section 3.	Relevant financial	activities outside the	ubmitted 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 V						
Section 4.	Intellectual Proper	ty Patents & Copyri	ghts			
Do you have any	patents, whether plan	ned, pending or issued, br	roadly relevant to the work	Yes V No		

Hensel



Coetion F			
Section 5.	Relationships not covered above		
	elationships or activities that readers could perceive to have influenced, or that give the appearance of encing, what you wrote in the submitted work?		
Yes, the follow	wing relationships/conditions/circumstances are present (explain below):		
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Section 6.	Disclosure Statement		
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Dr. Hensel repor	ts other from Patrys GmbH, during the conduct of the study; .		

Evaluation and Feedback

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Hensel 3



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Royalties: Funds are coming in to you or your institution due to your patent

Rosenwald



Section 1.	Identifying Inform	ation				
Given Name (First Name) Andreas		2. Surname (Last Name) Rosenwald			3. Date 15-December-2014	
4. Are you the cor	responding author?	Yes	✓ No	Corresponding Author's Name Dr. Stephanie Brändlein		
5. Manuscript Title GRP78-directed	e immunotherapy in rela	psed or ref	ractory multipl	e myeloma -	results from.	
6. Manuscript Idea	ntifying Number (if you kr 4/117945	ow it)				
				_		
Section 2.	The Work Under Co	onsiderat	ion for Public	cation		
any aspect of the s statistical analysis,	ubmitted work (including	but not lim	ited to grants, da			commercial, private foundation, etc.) for design, manuscript preparation,
	out the appropriate info			e more thar	one entity p	ress the "ADD" button to add a row.
Name of Institut	Name of Institution/Company Grant? Personal Fees? Non-Financial Support? Comments					
Patrys, Australia		~			Res	earch Funding
	ı					
Section 3.	Relevant financial	activities	outside the s	ubmitted	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 Proper	tv Pate	nts & Copyrid	ihts		
Do you have any	patents, whether plan	•			int to the wor	k? Yes 🗸 No

Rosenwald



Coetion F					
Section 5.	Relationships not covered above				
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Dr. Rosenwald re	eports grants from Patrys, Australia, during the conduct of the study; .				

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Rosenwald 3



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Einsele 1



Section 1. Identifying Inforn	nation				
identifying inform	nation				
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			
5. Manuscript Title GRP78-directed Immunotherapy in Rel IgM Antibody PAT-SM6	apsed or Refractory Multip	ole Myeloma-Results from a Phase 1 Trial with Monoclonal			
6. Manuscript Identifying Number (if you ki HAEMATOL/2014/117945	now it)				
Section 2. The Work Under C	onsideration for Publi	cation			
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					
<u> </u>					
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Section 4. Intellectual Prope	rty Patents & Copyri	ahts			
Do you have any patents, whether plan		<u> </u>			

Einsele



Section 5.					
Section 5.	Relationships not covered above				
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Dr. Einsele has n	othing to disclose.				

Evaluation and Feedback

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Einsele 3



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Topp 1



Section 1. Identifying Inform	ation	
1. Given Name (First Name) Max	2. Surname (Last Name) Topp	3. Date 14-December-2014
4. Are you the corresponding author?	Yes V No	Corresponding Author's Name Stephanie Brändlein
5. Manuscript Title GRP78-directed Immunotherapy in Rela Results from a Phase 1 Trial with Monoc 6. Manuscript Identifying Number (if you kn	lonal IgM Antibody PAT-S	
HAEMATOL/2014/117945	low it/	
Section 2. The Work Under Co	onsideration for Publi	cation
any aspect of the submitted work (including statistical analysis, etc.)?	but not limited to grants, do	a third party (government, commercial, private foundation, etc.) for ata monitoring board, study design, manuscript preparation,
Are there any relevant conflicts of intere	est? Yes 🗸 No	
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Do you have any patents, whether plant	ned, pending or issued, b	roadly relevant to the work? Yes V No

Topp



Section 5.	
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Topp 3



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For grants you have received for work outside the submitted work, you should disclose support ONLY from entities that could be perceived to be affected financially by 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 government agencies, charitable foundations or academic institutions, need not be disclosed. For example, if a government agency sponsored a study in which you have been involved and drugs were provided by a pharmaceutical company, you need only list the pharmaceutical company.

4. Intellectual Property.

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

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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Section 1. Identifying Inform	asian		
Identifying Inform	lation		
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 Rela Multiple Myeloma- 6. Manuscript Identifying Number (if you kr			
HAEMATOL/2014/117945	,		
Section 2. The Work Under Co	onsideration for Publica	tion	
Did you or your institution at any time rece any aspect of the submitted work (including statistical analysis, etc.)? Are there any relevant conflicts of intere	but not limited to grants, data	1) 3	
If yes, please fill out the appropriate info		more than one entity pre	ess the "ADD" button to add a row.
Excess rows can be removed by pressing	-	, ,	
Name of Institution/Company	Grant	Financial Other? Cor	nments
Patrys Ltd., Melbourne, Australia			
Section 3. Relevant financial	activities outside the su	bmitted work.	
Place a check in the appropriate boxes i of compensation) with entities as descri clicking the "Add +" box. You should rep Are there any relevant conflicts of interes	bed in the instructions. Use port relationships that were	one line for each entity; a	add as many lines as you need by
Section 4. Intellectual Proper	ty Patents & Copyrigh	nts	
Do you have any patents, whether plan	ned, pending or issued, broa	adly relevant to the work	? Yes V No

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Section 5.	
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 follow	wing relationships/conditions/circumstances are present (explain below):
No other rela	tionships/conditions/circumstances that present a potential conflict of interest
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. Brändlein reports grants from Patrys Ltd., Melbourne, Australia, during the conduct of the study; .	

Evaluation and Feedback

Please visit http://www.icmje.org/cgi-bin/feedback to provide feedback on your experience with completing this form.

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