

## DISCLOSURE OF CONFLICT OF INTEREST

This document is a Disclosure (“Disclosure”) of a conflict of interest that is being managed under a Conflict of Interest Management Plan (“COI MP”) for Drs. David D. Thomas and Razvan Cornea with the University of Minnesota (“UMN”), under the direction of BMBB Department Head, Dr. David A. Bernlohr and the supervision of the UMN Office of Institutional Compliance, Conflict of Interest Program.

### Thomas and Cornea COI MP:

Drs. Thomas and Cornea, in addition to their faculty positions at UMN, hold executive positions with Photonic Pharma LLC (“Photonic”), and along with Dr. Thomas’ wife hold a majority interest in Photonic. As a result, a COI MP is in place for Drs. Thomas and Cornea with UMN. For your information, the University of Minnesota holds a minority interest in Photonic under the terms of an Exclusive Patent License Agreement negotiated between Photonic and UMN.

### Requirement of Disclosure:

The COI MP requires that:

“Thomas and Cornea will disclose their business and significant financial interest in [Photonic] to our colleagues, research associates, and staff, working on sponsored research projects that may benefit Photonic Pharma. This disclosure can be done orally, provided that a record of the disclosure is kept.”

Photonic has chosen to provide written disclosure to help us track that the appropriate disclosures have been made.

### Recipient of Disclosure:

This Disclosure is made to you (“Recipient”) because of your participation in academic research under a sponsored research project (“Project”) that involves technology (instruments and/or intellectual property) owned or managed by or that may benefit Photonic (“Photonic Technology”). This document serves as disclosure to you for the current or proposed Project as well as future Projects using Photonic Technology. Details of the Photonic Technology are disclosed below.

### Photonic Technology:

The Project involves use of one or more instruments and resources for fluorescent lifetime (“FLT”) and/or spectral detection in high-throughput screening (“HTS”) with biological samples.

- 1) **UMN FLT Instrument:** UMN owns the fluorescence lifetime plate-reader (FLTPR) located in the Biophysical Technology Center (“BTC”). The UMN Instrument is a bottom-read (FLTPR Bottom-Read) instrument using 384-well plates, suitable for most academic research purposes. It is available for academic or commercial use.
- 2) **Photonic Instruments:** Photonic owns and controls access to the following instruments located at UMN in lab space leased to Photonic:
  - a. **Photonic FLT Instrument:** A high-performance top-read (FLTPR Top-Read) instrument, custom-designed for Photonic’s commercial activities, including adaptation for 1536-well plates and efficient HTS of large chemical libraries.
  - b. **Photonic SUPR Instrument:** A Spectral Unmixing Plate Reader (SUPR) suitable for HTS.

The Photonic Instruments and related resources are available for use for sponsored research at UMN by permission of Photonic, through a separate Equipment Use Agreement between UMN and Photonic. Each Project and the UMN academic users working on the Project must be registered with Photonic. The rates and terms of use that apply to all UMN academic users have been approved as part of the COI MP annual review and are set forth on Photonic’s website at [photonicpharma.com/instruments](http://photonicpharma.com/instruments).

- 3) **Intellectual Property.** The Project also may involve use of intellectual property owned by UMN. UMN has granted Photonic an exclusive license to commercial rights for five (5) separate patents related to biosensor engineering of assays for spectroscopic detection (“Licensed IP”). UMN has retained the right to use the Licensed IP for non-commercial teaching, research and educational purposes. The Licensed IP may not be used for any commercial purpose without a separate agreement with Photonic.

### Next Steps:

- Photonic’s permission is not required for use of the UMN Instrument.
- If the Recipient and/or Project PI seek use of the Photonic Instruments, contact [Info@PhotonicPharma.com](mailto:Info@PhotonicPharma.com) to register the Project and the UMN academic users working on the Project.
- Any questions related to this Disclosure can be directed to Drs. Thomas, Cornea, or Bernlohr.