SPECIALIZED CENTER OF RESEARCH GRANT AGREEMENT

This Specialized Center of Research Grant Agreement ("<u>Agreement</u>"), is entered into on [DATE] ("<u>Effective Date</u>") between The Leukemia & Lymphoma Society, Inc., a New York not-forprofit corporation, with an office located at 3 International Drive, Suite 200, Rye Brook, New York 10573 ("<u>LLS</u>"), and the Sponsoring Institution set forth below ("<u>Sponsoring Institution</u>"). Under this Agreement, LLS will provide the Sponsoring Institution with the grant set forth below, and Sponsoring Institution will cause the grantee set forth below to perform certain duties. For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties agree to the terms of this Agreement, which consists of this cover sheet ("<u>Cover Sheet</u>"), the Terms and Conditions attached hereto as Attachment 1 ("Terms") and any appendices attached thereto.

Sponsoring Institution:	[INSERT INSTITUTION AND ADDRESS]
Grantee:	[INSERT NAME]
Grant #:	[INSERT GRANT NUMBER]
Grant:	The grant will commence on October 1, 2018 and continue through September 30, 2023 (" <u>Grant Term</u> "). LLS will award \$5,000,000.00 in total to Sponsoring Institution during the Grant Term. The maximum amount that LLS will contribute to Sponsoring Institution during each calendar year of the Grant Term will be \$833,334.00 for Direct Costs and \$166,666.00 for Indirect Costs (as such terms are defined in the "Funding Restrictions" section below). The total grant for each calendar year during the Grant Term will reflect the Budget outlined in the Application (as such terms are defined in Section 1 of the Terms and Conditions).
Funding Restrictions:	"Direct Costs"; Personnel Expenses include salary, wage, or stipend with fringe benefits. Expenses for administrative staff (including secretarial) costs cannot exceed one full-time equivalent for the Center per year; Supplies & Materials requests should be itemized by category*; Equipment Purchase requests for any and all equipment cannot exceed a total of \$100,000 per year. Equipment over \$5,000 is permitted if at least fifty percent (50%) of the cost is covered from another source such as grants from other agencies or institutional support*; Travel Expense requests cannot exceed \$10,000 per year for all investigators and should include the costs for the SCOR Director or Project Leader to attend the SCOR Progress Meeting, and annual Site-Visit (airfare, one night's lodging and incidental expenses); Patient Care costs can be included in other direct costs; Other Direct Costs requests such as office supplies and telephone costs cannot exceed \$6,000 per year for the Center.
	*Supplies, materials, and equipment should be directly related to the proposed research and should be described in the budget justification section. The budget will be reviewed by both the review committee and LLS staff to be sure the purchases are well-justified. The budgets of the Projects and Cores, with consideration of Direct Costs requirements described above, must be well-justified and expenditures must clearly relate to the approach outlined in the Research Plan or described in LLS-approved changes to the Project(s)/Core(s). If they are not well-justified, funded grantees may be asked to modify the budget. In some cases, the budget may be reduced before funding commences.
	"Indirect Costs" means those costs incurred for common or joint objectives that cannot be readily identified with a particular project (general maintenance, utilities, library, etc.) as defined in Office of Management and Budget Circular A-21. Indirect Costs are limited to 20% of the total Direct Costs per calendar year during the Grant Term.

Reporting Requirements:	Invention, Patent & Commercialization Disclosure & Progress Reports			
	Report Number	Dates Covered	Due Date	
	1	10/1/2018-3/31/2019	May 1, 2019	
	2	4/1/2019-3/31/2020	May 1, 2020	
	3	4/1/2020-3/31/2021	May 1, 2021	
	4	4/1/2021-3/31/2022	May 1, 2022	
	Final	4/1/2022-9/30/2023	December 1, 2023	
		Financial Reports		
	Report Number	Dates Covered	Due Date	
	1	10/1/2018-9/30/2019	December 1, 2019	
	2	10/1/2018-9/30/2020	December 1, 2020	
	3	10/1/2018-9/30/2021	December 1, 2021	
	4	10/1/2018-9/30/2022	December 1, 2022	
	Final	10/1/2018-9/30/2023	December 1, 2023	
		Publications Reports		
	Report Number	Dates Covered	Due Date	
	1	10/1/2018-12/31/2018	January 1, 2019	
	2	1/1/2019-3/31/2019	April 1, 2019	
	3	4/1/2019-6/30/2019	July 1, 2019	
	4	7/1/2019-9/30/2019	October 1, 2019	
	5	10/1/2019-12/31/2019	January 1, 2020	
	6	1/1/2020-3/31/2020	April 1, 2020	
	7	4/1/2020-6/30/2020	July 1, 2020	
	8	7/1/2020-9/30/2020	October 1, 2020	
	9	10/1/2020-12/31/2020	January 1, 2021	

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	10	1/1/2021-3/31/2021	April 1, 2021
	11	4/1/2021-6/30/2021	July 1, 2021
	12	7/1/2021-9/30/2021	October 1, 2021
	13	10/1/2021-12/31/2021	January 1, 2022
	14	1/1/2022-3/31/2022	April 1, 2022
	15	4/1/2022-6/30/2022	July 1, 2022
	16	7/1/2022-9/30/2022	October 1, 2022
	17	10/1/2022-12/31/2022	January 1, 2023
	18	1/1/2023-3/31/2023	April 1, 2023
	19	4/1/2023-6/30/2023	July 1, 2023
	20	7/1/2023-9/30/2023	October 1, 2023
Payment Schedule:	Payment Number	Date of Payment	Payment Contingency
	1	December 31, 2018	None
	2	March 31, 2019	Publication Report #1
	3	June 30, 2019	Progress Report #1, Patent Report #1 & Publication Report #2
	4	September 30, 2019	Publication Report #3
	5	December 31, 2019	Financial Report #1 & Publication Report#4
	6	March 31, 2020	Publication Report #5
	7	June 30, 2020	Progress Report #2, Patent Report #2 & Publication Report #6
	8	September 30, 2020	Publication Report #7
	9	December 31, 2020	Financial Report #2 & Publication Report#8
	10	March 31, 2021	Publication Report #9
	11	June 30, 2021	Progress Report #3, Patent Report #3 & Publication Report #10
	12	September 30, 2021	Publication Report #11
		December 31, 2021	

	14	March 31, 2022	Publication Report #13
	15	June 30, 2022	Progress Report #4, Patent Report #4 & Publication Report #14
	16	September 30, 2022	Publication Report #15
	17	December 31, 2022	Financial Report #4 & Publication Report #16
	18	March 31, 2023	Publication Report #17
	19	June 30, 2023	Publication Report #18
	20	September 30, 2023	Final Progress, Patent & Financial Reports & Publication Reports #19 & #20
Special Terms:	N/A		
Contact Information:	LLS: For all matters: Research Administration The Leukemia & Lymphoma Society, Inc. 3 International Drive, Suite 200 Rye Brook, New York 10573 Email: <u>researchprograms@lls.org</u>		Sponsoring Institution: [INT – ADD]

SIGNATURE PAGE FOLLOWS

THE LEUKEMIA & LYMPHOMA SOCIETY, INC.	[SPONSORING INSTITUTION]
By:	By:
Name:	Name:
Title: Chief Financial Officer	Title:Institutional Signing Official
Date:	Date:
THE LEUKEMIA & LYMPHOMA SOCIETY, INC.	[SPONSORING INSTITUTION]
By:	By:
Name:	Name:
Title:Chief Scientific Officer	Title:Financial Officer
Date:	Date:

GRANTEE

I have read the Agreement and as an employee of Sponsoring Institution (but without incurring any personal liability) shall comply with the obligations of the Grantee stated therein.

Signature:_____

Printed Name:_____

Date:

ATTACHMENT 1

TERMS AND CONDITIONS

Any capitalized terms used in these Terms but not otherwise defined will have the meanings ascribed to them in the Cover Sheet. If there is any conflict or inconsistency between the terms of the Cover Sheet and these Terms, then the Cover Sheet will control solely to the extent of the conflict or inconsistency. Subject to section 10 herein, if there is any conflict or inconsistency between these Terms and any appendix attached to these Terms, then these Terms will control solely to the extent of the conflict or inconsistency unless these Terms set these Terms set these Terms will control solely to the extent of the conflict or inconsistency unless these Terms expressly state otherwise.

1. <u>Certain Definitions</u>. As used in this Agreement, the following terms will have the following meanings:

1.1 "<u>Affiliate</u>" with respect to either party means any corporation or other legal entity other than that party in whatever country organized, controlling, controlled by or under common control with that party. The term "control" means the power, direct or indirect, to elect or appoint more than fifty percent (50%) of the directors or trustees, or to cause direction of management and policies, whether through the ownership of voting securities, by contract or otherwise.

1.2 "<u>Application</u>" means the application attached hereto as <u>Appendix A</u>.

1.3 "<u>Budget</u>" means the budget for the Sponsored Research provided in the Application.

1.4 "**IP Agreement**" means the Patent and Intellectual Property Agreement of LLS attached hereto as **Appendix B**.

1.5 "<u>Research Plan</u>" means the plan of research with several Projects and Cores, as described in Application as found at Appendix A.

1.6 "<u>Sponsored Research</u>" means research funded by LLS to be conducted by the Investigators in accordance with the Research Plan during the Term.

1.7 "<u>Core</u>" means a group identified in the Application and within the SCOR that has a supportive function and supports SCOR Projects. Cores are identified in the Application.

1.8 "<u>Core Leader</u>" means an Investigator identified as a "Core Leader" of a specified Core in the Application and who is responsible for the proper functioning and execution of the Core.

1.9 "<u>Investigator</u>" means the SCOR Director, each Project Leader, and each Core Leader as well as any other staff member, employee, or student of Sponsoring Institution or a Participating Institution who will participate in Sponsored Research under the direction of the SCOR Director, Project Leader or Core Leader.

1.10 "<u>Key Sponsoring Institution Investigator</u>" means the SCOR Director and any Project Leaders or Core Leaders who are affiliated with Sponsoring Institution.

1.11 "<u>Participating Institution</u>" means any not-for-profit institution included in the Application who will be participating in the Sponsored Research along with the Sponsoring Institution.

1.12 "<u>Participating Institution Investigator</u>" means an Investigator affiliated with the Participating Institution.

1.13 "<u>Personnel Expenses</u>" means salary, wage, or stipend (with fringe benefits) costs.

1.14 "<u>Project</u>" means a component of the Research Plan led by a Project Leader(s) in accordance with the specific aims outlined in the Appliction.

1.15 "<u>Project Leader</u>" means an Investigator identified as a "Project Leader" of a specified Project in the Application and who is responsible for the proper functioning and execution of the Project.

1.16 "<u>SCOR</u>" or "<u>Specialized Center of Research</u>" means a consortium of Investigators from one or multiple not-for-profit institutions who are interested in the development of innovative strategies for the treatment, diagnosis or prevention of hematological malignancies.

1.17 "<u>SCOR Director</u>" means [INSERT NAME], under whose direction the Sponsored Research will be conducted, or any substitute mutually agreed upon by Sponsoring Institution and LLS in accordance with Section 3.2.

1.18 "<u>Sponsoring Institution Investigator</u>" means an Investigator affiliated with the Sponsoring Institution.

2. <u>Term and Termination</u>.

2.1 <u>Term.</u> The term of this Agreement will commence on the Effective Date and expire upon delivery of all final reports required under Section 5 below ("<u>Term</u>"), unless earlier terminated by either party as set forth in this Section 2 or extended as set forth in Section 4.1 or in writing signed by authorized representatives of both parties.

2.2 <u>Termination for Breach</u>. If Sponsoring Institution fails to meet any of its material obligations under this Agreement and does not remedy such failure within sixty (60) days following receipt of written notice thereof from LLS, then LLS will have the right to terminate this Agreement effective upon provision of written notice thereof to Sponsoring Institution.

2.3 <u>Termination for Convenience</u>. Sponsoring Institution acknowledges that LLS's continued funding of the Sponsored Research is contingent on the availability of funds and the progress of the Sponsored Research. Accordingly, LLS will have the right to unilaterally terminate this Agreement at any time in its sole discretion by giving thirty (30) days' advance written notice thereof to Sponsoring Institution.

2.4 <u>Termination for Unavailability of SCOR Director</u>. If the SCOR Director resigns or otherwise becomes unavailable and Sponsoring Institution and LLS are unable to agree upon a successor within thirty (30) days after LLS is so notified, LLS may terminate this Agreement on fifteen (15) days written notice to Sponsoring Institution.

2.5 <u>Termination by Mutual Consent</u>. LLS and Sponsoring Institution may terminate this Agreement at any time by mutual written consent.

2.6 <u>Effect of Termination</u>. Upon expiration or termination of this Agreement, Sponsoring Institution must return to LLS a prorated amount of unexpended funds covering any post-termination period for which Sponsoring Institution received funding. Expiration or termination of this Agreement will not relieve the parties of any obligation accruing prior to such expiration or termination.

2.7 <u>Surviving Provisions</u>. The provisions of Sections 2.6, 2.7, 3.3, 5, 6.1, 7-13 and all defined terms used therein will survive the termination or expiration of this Agreement indefinitely. For the

avoidance of doubt, the Patent and Intellectual Property Agreement attached as Appendix B, including the royalty obligations therein, will remain in full force and effect regardless of any expiration or termination of this Agreement.

3. <u>Sponsored Research</u>.

SCOR Director/Investigator Obligations.

3.1 <u>Performance</u>. Subject to the terms of this Agreement, Sponsoring Institution through SCOR Director agrees to perform the Sponsored Research in accordance with the Research Plan and Budget. The Research Plan may be modified from time to time by mutual agreement of LLS and the SCOR Director, provided that any changes in the Sponsored Research will be set forth in writing, in accordance with Appendix D, and approved by both LLS and Sponsoring Institution. For the avoidance of doubt, the preceding sentence does not restrict any Sponsoring Institution Investigator from applying for or receiving any sponsored research funds or directly soliciting funds from sources currently not funding LLS.

3.2 <u>SCOR Director</u>. The Sponsored Research will be overseen by the SCOR Director and will be conducted at the facilities of Sponsoring Institution and, as applicable, Participating Institutions. Sponsoring Institution must promptly notify LLS if the SCOR Director ceases to serve in such role during the Term for any reason, with such notification detailing whether the SCOR Director is taking a leave of absence from Sponsoring Institution; relocating or transferring to a different research institution; or is otherwise incapacitated or departing.

3.3 <u>Project Leaders and Core Leaders</u>. If a Sponsoring Institution Investigator serving as a Project Leader or Core Leader ceases to serve in such role during the Term, Sponsoring Institution must promptly notify LLS, and must further inform LLS of any actions to be taken by SCOR Director to replace such Project Leader or Core Leader. LLS may suspend the provision of funding for the Sponsored Research until Sponsoring Institution replaces a Project Leader or Core Leader with a replacement acceptable to LLS. In addition, any such changes that affect the direction of the Project or Core must abide by Appendix B, LLS' policy regarding Project replacement.

3.4 <u>Investigator Obligations</u>. Sponsoring Institution will require the SCOR Director, all Key Sponsoring Institution Investigators, or all Sponsoring Institution Investigators (as applicable) to acknowledge the provisions of Sections 3.1, 7, 8 and 9 of this Agreement ("<u>Investigator Obligations</u>"). Sponsoring Institution will be responsible for all Sponsoring Institution Investigators' compliance with such provisions.

3.5 Participating Institutions. Sponsoring Institution must enter into an inter-institution agreement with each Participating Institution prior to such Participating Institution participating in the Research Plan ("Inter-Institution Agreement"). Each Inter-Institution Agreement must (i) require the Participating Institution to agree to the IP Policy, including the royalty obligations therein, and to directly pay royalties to LLS in accordance with the IP Policy; (ii) require each Participating Institution Investigator to acknowledge and agree to the Investigator Obligations and make Participating Institution expressly responsible for all Participating Institution Investigators' compliance with the Investigator Obligations, (iii) require each Participating Institution to agree to provisions materially identical to the provisions of Sections 3.1, 3.3, 3.4, 5, 6.3, 6.5, 7, 8 and 9; and (iv) expressly name LLS as a third-party beneficiary to such Inter-Institution Agreement with the right to enforce any and all obligations of the Participating Institution, the obligation to pay royalties). Sponsoring Institution will provide LLS a copy of each Inter-Institution Agreement within thirty (30) days of execution.

4. Transfers

4.1 If SCOR Director is taking a leave of absence of greater than 30 days, Sponsoring Institution may request suspension of the Research Plan or appointment of another Sponsoring Institution Investigator to serve as interim SCOR Director pending SCOR Director's return. LLS may accept or deny such suspension or appointment request in its sole discretion. If LLS consents to a suspension request, LLS will suspend funding of the Research Plan until the return of SCOR Director, and the Term will be extended for a period equal to the duration of the suspension.

4.2 If SCOR Director is incapacitated or retiring, Sponsoring Institution may name a substitute SCOR Director (who will thereafter be referred to as SCOR Director for purposes of this Agreement), within 30 days of the then current SCOR Director's withdrawal from the Sponsored Research subject to the approval of LLS, which approval may be withheld in LLS's sole discretion.

4.3 If the parties are unable to agree upon suspension of the Sponsored Research, assignment of this Agreement, or a substitute SCOR Director (as applicable), LLS may terminate this Agreement in accordance with Section 2.4.

4.4 If a SCOR Director transfers in the middle of a quarter, the appropriate partial payment will be made to the new and/or former Sponsoring Institution with the next quarterly payment. Subsequent payments will then be adjusted to match LLS's established quarterly payment schedule.

Assignments and Transfers by Sponsoring Institution: Upon receiving LLS's prior written 4.5 consent (such consent to be granted or withheld in LLS's sole discretion). Sponsoring Institution may assign this Agreement in whole to a research institution to which SCOR Director transfers or relocates ("Successor **Institution**"), provided that (i) Sponsoring Institution completes a transfer application form (requested from researchprograms@lls.org) at least thirty (30) days prior to the proposed date of assignment; (ii) the Successor Institution is affiliated with a tax-exempt, non-profit institution; and (iii) the Successor Institution agrees to the assignment of this Agreement in its entirety pursuant to a transfer document provided by LLS. If LLS consents to transfer and assignment to a Successor Institution and the assignment occurs after any payment(s) have been made to Sponsoring Institution, then Sponsoring Institution must return to LLS a pro rata amount of funds provided by LLS (where a pro rata amount is the proportion of the total payment that corresponds to the period after the effective date of transfer to the Successor Institution). If, for any reason, Sponsoring Institution expended funds in excess of the pro rata amount, then Sponsoring Institution must pay to LLS such excess amount. Subject to the foregoing, neither this Agreement nor any rights or obligations of either party under this Agreement may be assigned or otherwise transferred without the prior written consent of the other party.

4.6 <u>Assignment by LLS</u>. LLS may assign this Agreement without Sponsoring Institution's prior written consent to an Affiliate or to a third party that succeeds to all or substantially all of LLS's business or assets relating to this Agreement whether by sale, merger, operation of law or otherwise; provided that such assignee or transferee promptly agrees in writing to be bound by the terms and conditions of this Agreement

5. <u>Reporting Requirements and Site Visits</u>. As a condition of the receipt of LLS funding, and subject to LLS's rights to withhold funding and/or terminate this Agreement as described in this Agreement, Sponsoring Institution will ensure that SCOR Director, on behalf of himself/herself and the Project Leaders and Core Leaders, submits the reports described in this Section 5, generates mutually agreeable milestones and deliverables for each year of the grant, and participates in annual site visits in order for LLS to assess the quality of integration of the SCOR team and the progress made. **Please refer to the chart on Cover Sheet for detailed report submission dates and Appendix C for the Annual Assessment Policy.**

5.1 <u>Progress Reports</u>. SCOR Director will submit Progress Reports by May 1st of each year during the term of this Agreement, except for the final year, when the Final Report is due on the date set forth in the Schedule shown on the Cover Sheet (or, such other date as mutually agreed upon by Sponsoring Institution and LLS if, for example, the agreement is extended or terminated early). Each progress report must include an updated summary written for the lay public, which reflects the progress made since the original Application was submitted. Lay summaries are critical for LLS's efforts to educate the public about ongoing research. Progress Reports must use the most current template provided by LLS and must be submitted through the online portal at http://lls.fluxx.io.

5.2 <u>Patent/Invention Disclosure Reports</u>. Sponsoring Institution will have its patent officer or other appropriate designated official submit at least one annual patent/invention disclosure report detailing any patent or intellectual property activity during the year at the Sponsoring Institution. This report must be submitted by May 1st of each year during the Term, except for the final year of the Term, when it is due within sixty (60) days of when the Agreement expires (or, such other date as mutually agreed upon by Sponsoring Institution and LLS if, for example, the agreement is extended or terminated early). Patent/Invention disclosure reports must use the most current template provided by LLS and must be submitted through the online portal at <u>http://lls.fluxx.io</u>. In the event that a patent application that claims a Funded Invention (as defined in the IP Policy) is filed at any time during Term or thereafter, the Sponsoring Institution will send LLS a copy of the patent application no later than thirty (30) days after the filing date. The Patent/Invention disclosure report will also refer to any applicable filings.

5.3 <u>Financial Reports.</u> Sponsoring Institution will have its financial officer submit annual financial reports each year of the Term detailing how the LLS funds provided under this Agreement were expended during the applicable year and the cumulative totals. This report will be submitted within sixty (60) days after each anniversary date of the Effective Date during the Term. Sponsoring Institution also agrees to submit a cumulative final financial report within sixty (60) days of when the Agreement expires (or, such other date as mutually agreed upon by Sponsoring Institution and LLS if, for example, the agreement is extended or terminated early). Financial reports must use the most current template provided by LLS and must be submitted through the online portal at <u>http://lls.fluxx.io</u>. Subject to any carryover rights set forth in the Cover Sheet, the Sponsoring Institution agrees to repay to LLS any unexpended grant from LLS that is not used for the Sponsored Research and to return to LLS any unexpended grant funds at the end of each year during the Term.

5.4 Publication Reports. SCOR Director will submit a publications report on or before the first day of each quarter of each year during the Term, but no earlier than seven (7) days prior to the first day of each quarter, or, such other date as mutually agreed upon by Sponsoring Institution and LLS if, for example, the agreement is extended or terminated early. Each publications report must include a list of publications relevant to the Sponsored Research in the quarter. Publications reports must be submitted through the online portal at http://lls.fluxx.io.

6. <u>Grant Funding</u>. In consideration for the performance by Sponsoring Institution of its obligations under this Agreement, and subject to LLS's rights to withhold funding and/or terminate this Agreement as described in this Agreement, LLS will provide Sponsoring Institution grant funding in accordance with the Cover Sheet. Sponsoring Institution acknowledges that it must limit indirect costs as set forth in the Cover Sheet. Sponsoring Institution will not be obligated to expend funds in excess of those provided under this Agreement to conduct the Sponsored Research.

6.1 <u>Timing</u>. Payments will be mailed on or about the last day of each calendar quarter (December, March, June and September) to the Sponsoring Institution. However, the final payment will be made only after receipt by LLS of satisfactory final reports mentioned above (Progress, Invention, Patent and Commercialization Disclosure, Financial, and Publications). If, for any reason, funds are expended in excess of any designated amount set forth in the Budget, it will be the responsibility of the Sponsoring

Institution to make restitution to LLS in the event of transfer or premature termination of the Agreement. **Please refer to the chart on cover sheet for a detailed payment schedule.**

6.2 <u>Disbursements</u>. The Sponsoring Institution will be responsible for disbursing funds to the SCOR Director or Participating Institution(s) in accordance with the Budget, as approved by LLS.

6.3 <u>Requirements</u>. The funds awarded will be used solely for the purposes specified in the Application and in strict compliance with the Budget. The funding restrictions set forth in the Cover Sheet will apply. Subject to such restrictions, Sponsoring Institution will be permitted to reallocate funds from Direct Costs to Indirect Costs or vice versa without the prior written approval of LLS. Reallocation of funds in excess of what is allowed requires prior written approval from LLS. To obtain approval, a request must be made in an email to researchprograms@lls.org.

6.4 <u>Carryforward</u>: Sponsoring Institution will be permitted to carry forward up to 15% of the funds from one grant year to the next during the Grant Term without prior written approval of LLS. Sponsoring Institution must obtain LLS's prior written approval for carryforward amounts greater than 15%. To obtain approval, a request must be made in an email to <u>researchprograms@lls.org</u>. Approval by LLS to carry forward funds does not extend for more than one year during the Grant Term.

6.5 <u>Duplicate Funding</u>. The use of the funds granted under this Agreement cannot be duplicated by funds received by the Sponsoring Institution, SCOR Director, Participating Institutions, Project Leaders and/or Core Leaders from any other sources, but the funds from other sources may be used to supplement support.

7. <u>Compliance</u>.

7.1 <u>Biohazards</u>. Sponsoring Institution acknowledges, and will ensure that all Key Sponsoring Institution Investigators acknowledge, that the statements in the Application concerning potential biohazards and the safeguards to be employed are accurate descriptions of the circumstances pertaining to this aspect of the Research Plan. Those research projects that do not involve the use of biohazards must so state in the Application. Failure to notify LLS of non-compliance with the stated safeguards on the use of biohazards will result in suspension or termination of this Agreement.

7.2 <u>Research Misconduct</u>. Sponsoring Institution acknowledges that research misconduct by any Investigator receiving LLS support is contrary to the interests of LLS and the patients and their families it seeks to serve, as well as to the integrity of research, and to the conservation of donor funds. Sponsoring Institution shall cause all Sponsoring Institution Investigators to follow the Sponsoring Institution's policies as they relate to Research Misconduct. Sponsoring Institution represents and warrants that such policies are at least as rigorous as those followed by the NIH (Public Health Service Policies on Research Misconduct 42 CFR 93).

7.3 <u>Translational Requirement</u>. Any letters of approval required by this Section 7 Compliance must be in English. If the original document is not in English, a translation must be provided by any Investigator within seven (7) days of providing the original to LLS. A certified translation must be provided within thirty (30) days of providing the original to LLS.

8. <u>Confidential Information</u>. It is anticipated that in the performance of the Sponsored Research each party is likely to disclose (as applicable, each a "<u>Discloser</u>") to the other party (as applicable, each a "<u>Recipient</u>") certain Confidential Information.

8.1 <u>Definition</u>. "<u>Confidential Information</u>" means any information, including data, techniques, protocols or results, or business, financial, commercial or technical information, disclosed by

Discloser to Recipient, that is reasonably necessary for performance under this Agreement and is identified as confidential at the time of disclosure. If such information is disclosed in non-tangible form (including orally or visually), then it must be identified as confidential at the time of disclosure and summarized with specificity in a writing marked "Confidential" and given to Recipient within thirty (30) days after such disclosure.

8.2 <u>Exceptions</u>. Notwithstanding the foregoing, "Confidential Information" under this Agreement will not include any information that (as shown by contemporaneously existing or created written records) (i) is or becomes publicly available through no wrongful act of Recipient; (ii) was known by Recipient prior to disclosure by Discloser; (iii) becomes known to Recipient after disclosure from a third party having an apparent bona fide right to disclose it; (iv) is independently developed or discovered by Recipient without use of Discloser's Confidential Information; or (v) is disclosed to another party by Discloser without restriction on further disclosure. The obligations of confidentiality and non-use set forth in this Section 8 will not apply with respect to any information that Recipient is required to disclose prior to such required disclosure, discloses such information only to the extent so required, and cooperates reasonably with Discloser's efforts to contest or limit the scope of such disclosure.

8.3 <u>Permitted Use of Confidential Information</u>. Recipient will have the right to, and agrees that it will, use Discloser's Confidential Information solely for the purposes of (i) fulfilling its obligations under this Agreement; and (ii) exercising its rights under this Agreement.

8.4 <u>Restrictions on Confidential Information</u>. For a period of three (3) years after receipt of Discloser's Confidential Information, Recipient agrees that: (i) it will not use such Confidential Information for any purpose other than as specified under Section 8.3, including for its own benefit or the benefit of any other person or entity; and (ii) it will use reasonable efforts (but not less than the efforts used to protect its own confidential and/or proprietary information of a similar nature) to protect Discloser's Confidential Information. Further, Recipient will not disclose Discloser's Confidential Information to any other person or entity except only on a need-to-know basis to its and its Affiliates' employees, staff members and agents ("**Receiving Individuals**") who are directly involved in the performance of the Sponsored Research and who are informed of the confidential nature of such information, provided Recipient will be responsible for compliance by Receiving Individuals with the terms of this Agreement and any breach thereof.

8.5 <u>Ownership and Disposition</u>. All Confidential Information disclosed pursuant to this Agreement will be and remain the property of the Discloser. Upon expiration or termination of this Agreement, if requested by Discloser and subject to any rights expressly granted under this Agreement, Recipient will return or destroy at Discloser's sole discretion all of Discloser's Confidential Information received in tangible form, provided that Recipient will be entitled to keep one copy of such Confidential Information in a secure location solely for the purpose of determining Recipient's legal obligations hereunder.

8.6 <u>Right to Disclose</u>. Discloser represents that to the best of its knowledge it has the right to disclose to Recipient all of Discloser's Confidential Information that will be disclosed hereunder. Each party reserves the right to disclose its own Confidential Information to any party at any time.

9. <u>Acknowledgement and Publicity.</u>

9.1 <u>Press Releases.</u> Sponsoring Institution will, and will ensure that all Sponsoring Institution and Participating Institution Investigators will acknowledge the support of LLS in any releases to the media regarding accomplishments made through support by LLS grant funds. The Sponsoring Institution and the SCOR Director will notify LLS at researchprograms@lls.org at least seven (7) days prior to any advertising, promotion, publication, presentation or exhibition relating to the results of work supported by grant funds

from LLS. Notification will include a copy of the materials intended for release, as well as the time, place and manner of disclosure.

9.2 <u>Publicity Materials</u>. Sponsoring Institution will, and will ensure that all Sponsoring Institution and Participating Institution Investigators will, cooperate with LLS in connection with any written photographic, filmed, broadcast or any other forms of materials LLS elects to produce to publicize the Sponsored Research.

9.3 <u>Acknowledgments</u>. Sponsoring Institution will, and will ensure that all Sponsoring Institution Participating Institution Investigators will, include the following credit in any advertising, promotion, publication, presentation and/or exhibition produced by Sponsoring or Participating Institution or any Sponsoring or Participating Institution Investigator related to the Sponsored Research: "Supported by a SCOR Award from The Leukemia & Lymphoma Society." Presentations or posters at major meetings at which LLS-funded research is included must include the LLS logo in addition to this statement. The LLS logo is available upon request from researchprograms@lls.org.

9.4 <u>Donor Outreach</u>. LLS's ability to award grants is dependent upon continued support from voluntary donations and LLS-sponsored events. Sponsoring and Participating Institution will ensure that all Key Sponsoring and Participating Institution Investigators will make all reasonable efforts to attend and participate in events when requested by LLS. In addition, when support for the Sponsored Research is, in part or whole, provided by a donor to LLS, Sponsoring Institution agrees, and will ensure that SCOR Director and all Project Leaders and Core Leaders agree, as a condition of receiving funds under this Agreement, to participate in promotional/publicity activities (including but not limited to meeting the board of trustees of the donor's affiliated organization, being interviewed for their newsletter, etc.) as requested.

9.5 <u>Outcome Reporting</u>. Sponsoring and Participating Institution shall cause all Key Sponsoring and Participating Institution Investigators to cooperate with LLS after termination of this Agreement to determine how LLS funding influenced his/her career and how it may have contributed to new treatments, prevention or diagnosis for patients with hematologic malignancies and/or related pre-malignant conditions.

10. <u>Patent and Intellectual Property Agreement</u>. The Patent and Intellectual Property Agreement attached hereto as Appendix B is incorporated herein by reference. If there is any conflict or inconsistency between these Terms and the Patent and Intellectual Property Agreement, then the latter will control to the extent of the conflict or inconsistency.

11. <u>Indemnification</u>. The parties acknowledge and agree that in entering into this Agreement and providing funds to Sponsoring Institution, LLS assumes no responsibility for any of the activities of the Sponsored Research, including any acts or omissions of the SCOR Director or any other Investigators, Sponsoring Institution or any Participating Institutions. Sponsoring Institution will indemnify, defend and hold LLS harmless from any and all claims, damages, costs and expenses that may arise as a result of the Sponsored Research and the activities of the SCOR Director or any other Investigators, Sponsoring Institution or any Participating Institutions in connection with this Agreement unless caused by the willful misconduct or gross negligence of LLS and to the fullest extent authorized under the Constitution and laws of Sponsoring Institution's state, if applicable.

12. <u>Limitation of Liability</u>. NOTWITHSTANDING ANYTHING TO THE CONTRARY IN THIS AGREEMENT, IN NO EVENT WILL LLS, OR ANY OF ITS AFFILIATES, OR ANY OF THEIR RESPECTIVE TRUSTEES, DIRECTORS, OFFICERS, MEDICAL OR PROFESSIONAL STAFF, EMPLOYEES OR AGENTS BE LIABLE TO SPONSORING INSTITUTION, OR ANY OF ITS AFFILIATES, OR ANY OF THEIR RESPECTIVE TRUSTEES, DIRECTORS, OFFICERS, MEDICAL OR PROFESSIONAL STAFF, EMPLOYEES OR AGENTS, FOR INDIRECT, SPECIAL, INCIDENTAL OR CONSEQUENTIAL DAMAGES OF ANY KIND ARISING IN ANY WAY OUT OF THIS AGREEMENT OR THE RIGHTS GRANTED HEREUNDER, HOWEVER CAUSED AND ON ANY THEORY OF LIABILITY, REGARDLESS OF WHETHER SUCH PARTY WILL BE OR HAVE BEEN ADVISED, WILL HAVE REASON TO KNOW OR IN FACT WILL KNOW OF THE POSSIBILITY OF THE FOREGOING.

13. <u>Miscellaneous</u>.

13.1 <u>Relationship of the Parties</u>. Nothing contained in this Agreement will be deemed to create a partnership or joint venture between the parties, and each of the parties will in all matters connected herewith be an independent contractor. Neither of the parties will hold itself out as the agent of the other, nor will either of the parties incur any indebtedness or obligation in the name of, or that will be binding upon, the other without prior written consent of such other party. No employees, agents or representatives of either party will be deemed employees, agents or representatives of the other. Sponsoring Institution and Investigators will have the sole right, in accordance with the Research Plan and this Agreement, to conduct, direct and control the Sponsored Research.

13.2 <u>Notices</u>. All notices, reports, waivers, consents, correspondence or other communications hereunder will be in writing and will be effective upon delivery to the recipient; provided, however, that delivery will be deemed to have occurred (i) when delivered by hand; (ii) three (3) business days after being mailed by certified or registered U.S. mail, return receipt requested or ten (10) business days for a non U.S. based Sponsoring Institution; (iii) one (1) business day after being sent overnight express delivery by a recognized overnight courier service; or (iv) when transmitted by facsimile, email or other electronic means, provided that the sender receives confirmation of transmission, and sends a confirmation copy in one of the foregoing manners, to the address and point of contract set forth in the Cover Sheet. Either party may change its address by giving notice to the other party in the manner set forth in this Section 13.2.

13.3 <u>Entire Agreement</u>. This Agreement, together with the Cover Sheet and attached appendices, constitutes the entire Agreement between the parties with respect to the subject matter hereof and supersedes any prior or contemporaneous understanding or written or oral agreements with respect thereto, whether express or implied.

13.4 <u>Amendment; Waivers</u>. This Agreement may be amended and any of its terms or conditions may be waived only by a written instrument executed by an authorized signatory of the parties. The failure of either party at any time or times to require performance of any provision hereof will in no manner affect its rights at a later time to enforce the same. No waiver by either party of any condition or term will be deemed as a further or continuing waiver of such condition or term or of any other condition or term. All rights, remedies, undertakings, obligations and agreements contained in this Agreement will be cumulative and none of them will be a limitation of any other remedy, right, undertaking, obligation or agreement of either party.

13.5 <u>Severability</u>. If any provision of this Agreement is or becomes invalid, is ruled illegal by any court of competent jurisdiction or is deemed unenforceable under then-current applicable law from time-to-time in effect during the term hereof, it is the intention of the parties that the remainder of this Agreement will not be affected thereby. It is further the intention of the parties that in lieu of each such provision which is invalid, illegal or unenforceable, there be substituted or added by a court of competent jurisdiction as part of this Agreement a provision which will be as similar as possible in economic and business objectives as intended by the parties to such invalid, illegal or unenforceable provision, but will be valid, legal and enforceable.

13.6 <u>Binding Effect</u>. This Agreement will be binding upon and inure to the benefit of and be enforceable by the parties hereto and their respective permitted successors and assigns.

13.7 <u>Force Majeure</u>. Neither party will be liable for any unforeseeable event beyond its reasonable control not caused by the fault or negligence of such party, which causes such party to be unable to perform its obligations under this Agreement, and which it has been unable to overcome by the exercise of reasonable efforts, provided that the party unable to perform its obligations will promptly notify the other party, will use reasonable efforts to avoid or remove such causes of nonperformance, will suspend performance only for such period of time as is necessary as a result of such force majeure event and will resume performance as quickly as possible.

13.8 <u>Governing Law; Venue</u>. This Agreement will be governed by and construed and interpreted in accordance with the laws of the State of New York, without regard to provisions concerning conflict of laws. Each party hereby irrevocably consents that any legal action or proceeding under, arising out of or in any manner relating to this Agreement will be brought in any state or federal court of competent jurisdiction located in the State of New York.

13.9 <u>Interpretation</u>. The parties hereto are sophisticated, have had the opportunity to consult legal counsel with respect to this transaction and hereby waive any presumptions of any statutory or common law rule relating to the interpretation of contracts against the drafter.

13.10 <u>Confidential Terms</u>. Except as expressly provided herein, each party agrees not to disclose any terms of this Agreement to any third party without the consent of the other party, except as required by securities or other applicable laws, to prospective and other investors and such party's accountants, attorneys and other professional advisors.

13.11 <u>Counterparts; Facsimile</u>. This Agreement may be executed in counterparts and delivered by facsimile with the same effect as an original.

13.12 <u>Headings; "Include" and "Including"</u>. All headings are for convenience only and will not affect the meaning of any provision of this Agreement. Wherever the word "including" or "include" will appear in this Agreement, such term will be construed to mean "including" or "include, without limitation," as the case may be.

APPENDIX A

APPLICATION

See attached

CONFIDENTIAL

Appendix B

The Leukemia & Lymphoma Society's Patent and Intellectual Property Agreement

The mission of The Leukemia & Lymphoma Society (LLS) is: Cure leukemia, lymphoma, Hodgkin's disease and myeloma, and improve the quality of life of patients and their families. In this regard, LLS recognizes that certain Inventions (defined below), potentially having public health, scientific, business, or commercial application or value, may be discovered or made in the course of research or development supported with funds furnished by the LLS. LLS desires that such Inventions be effectuated and brought into public use at the earliest possible time, and it recognizes that often this may be best accomplished through patenting and/or licensing of such Inventions.

The Parties receiving funding from LLS agree to the following provisions regarding patent and intellectual property rights and licenses resulting from research conducted by Investigator (as defined below) and funded in whole or in part by LLS.

This Patent and Intellectual Property Agreement ("**IP Agreement**") forms part of the accompanying Grant Agreement between LLS and the Sponsoring Institution, executed concurrently herewith. Although intended to be consistent with the Grant Agreement, the terms of this IP Agreement supersede any conflicting terms of the Grant Agreement, to the extent any conflicting terms exist. Capitalized terms used but not defined in this IP Agreement will have the meaning given to such terms in the Agreement.

1. The following terms have the following meanings set forth below:

a. "Administrative Fee" shall mean the lesser of 15% of Gross Revenue or \$25,000.00.

b. **"Funded Invention**" shall mean any Invention conceived or reduced to practice, constructively or actually, by any Investigator in the course of performance of the research funded by this Grant.

c. "**Gross Revenue**" shall mean any and all revenues or other consideration (including equity) received by Sponsoring Institution resulting from the commercialization of any Funded Invention, including, but not limited to, the licensing, assignment, or optioning of rights to a Funded Invention or the enforcement of any Funded Invention, less (i) the Administrative Fee; (ii) all un-reimbursed, reasonable out-of-pocket patent costs that Sponsoring Institution incurs in obtaining patent rights covering and/or embodied by a Funded Invention; and (iii) payments received from third parties for reimbursement of reasonable patent prosecution costs incurred in obtaining patent rights covering and/or embodied by a Funded Invention that have not previously been reimbursed by third parties.

d. "**Invention**" shall mean any discovery, idea, formula, material, composition, machine, product, apparatus, program, software, work of authorship, use, method, process, or improvement thereof, which is potentially protectable by intellectual property rights, and all intellectual property rights covering and/or embodied therein including but not limited to associated patents, copyrights, trade secrets, and know-how.

e. "**Investigator**" means the SCOR Director, any Investigator, any other staff member, employee, or student of Sponsoring Institution or Participating Institution who participates in the research contemplated by the Application.

2. Title to, and responsibilities for, any Funded Invention shall reside in the Sponsoring Institution. All patent and other expenses for obtaining and maintaining rights to Funded Inventions shall be borne by Sponsoring Institution. Should Sponsoring Institution not pursue intellectual property protection for the Funded Invention, it must promptly notify LLS and provide LLS with the opportunity to pursue intellectual property protection on such invention, at least thirty (30) days (or such other mutually-agreedupon timeframe) before the deadline for filing for such protection. Within ten (10) days of the Effective Date of this Agreement, the Sponsoring Institution must provide LLS with its intellectual property policy in the English language. In the event Sponsoring Institution lacks a policy or procedure that requires assignment of ownership by Investigator to Sponsoring Institution of any Funded Invention, then title to any Funded Invention shall automatically reside in LLS. In the event this is the case, Sponsoring Institution shall confirm this to LLS in writing within ten (10) days of this Agreement.

3. Sponsoring Institution agrees to notify LLS in writing of the filing of all patent applications and all issuances to it of any and all patent rights covering and/or embodied by a Funded Invention within thirty (30) days following such filing(s). Copies of any filing and its disposition shall be sent to LLS within the same timeframe. This obligation shall continue throughout the term of this IP Agreement. Sponsoring Institution also agrees to provide to LLS a copy of any agreement to which it is a party related to the license, lease, sale, assignment or other disposition of a Funded Invention no later than thirty (30) days following the execution of such license agreement. LLS agrees that each such agreement provided by Sponsoring Institution is the Confidential Information of Sponsoring Institution and is subject to protection pursuant to the confidentiality provisions of the Grant Agreement. Sponsoring Institution shall be made available to other researchers and LLS as non-exclusive royalty-free technology transfer should a request be made to use the Funded Invention for research purposes only. Any non-exclusive royalty-free rights will be governed by a separate agreement between the Sponsoring Institution and other researchers, if appropriate and required by the Sponsoring Institution.

4. No pending patent application, issued patent, or other intellectual property covering and/or embodied in the Funded Invention shall be abandoned without first notifying LLS at least thirty (30) days in advance of such decision. At such time, Sponsoring Institution shall provide LLS with the reasonable opportunity to pursue IP protection. This opportunity shall be subject to the Sponsoring Institution's obligations to all other sponsors of research, including, but not limited to, the Federal Government.

5. Sponsoring Institution agrees to pay LLS a share of all Gross Revenues derived from Sponsoring Institution's commercialization of any Funded Invention as follows:

a. LLS's share of the Gross Revenues shall be 10%. If Sponsoring Institution receives equity in lieu of (or in addition to) revenues, Sponsoring Institution will ensure that LLS receives 10% of such equity interest by including in its agreement with the grantor of such equity a direct grant of equity to LLS. All equity issued pursuant to such direct grant to LLS will be on the same basis and same terms and conditions as the equity granted to Sponsoring Institution.

b. LLS shall have the right at its own expense to have a 3rd party Certified Public Accountant audit the books and records of the Sponsoring Institution, no more than once per year during the term of this IP Agreement, in order to verify the Gross Revenues derived annually from any Funded Invention. Sponsoring Institution shall make the books and records available within thirty (30) days of such request from LLS. Sponsoring Institution agrees that if there is an underpayment of greater than 5% between what has been reported to LLS and what has actually been derived from any Funded Invention, the cost of the entire audit for that year shall be borne by the Sponsoring Institution.

6. Sponsoring Institution agrees to exert its best efforts to commercialize or license or cause to be commercialized the Funded Invention(s), consistent with its standard practices for its own Inventions.

7. In the event the Sponsoring Institution licenses, leases, sells, or assigns the Funded Invention to a third party for commercialization, Sponsoring Institution shall include provisions in the license obligating the licensee to commercialize the technology in a diligent manner and include appropriate diligence

requirements and milestones and appropriate consequences and cures for failure to achieve such diligence.

8. Sponsoring Institution agrees to complete all Reports required by LLS as set forth in the underlying Grant Agreement.

9. Disputes between or among the Parties shall be resolved as follows:

a. One of the Parties shall request ("the Resolution Request") that each of the Parties appoint a designated executive management representative to meet for the purpose of attempting to resolve such dispute. The Parties' designated executive management representatives shall meet and negotiate in good faith in an effort to resolve the dispute.

b. If the Parties' designated executive management representatives are unable to resolve the dispute within sixty (60) days after the Resolution Request is made, the Parties shall mediate with a mutually acceptable mediator to resolve such dispute.

c. If the mediation does not resolve the dispute within sixty (60) days (unless this time is extended by written agreement of the Parties) after the Resolution Request is made, the dispute shall be settled by arbitration by the American Arbitration Association in accordance with its procedures under its Commercial Arbitration Rules. Each party shall bear its own costs, expenses, and attorney's fees and an equal share of the arbitration fees. The award of the arbitrator(s) shall be binding, and judgment upon the award may be entered in any court having jurisdiction thereof.

10. The Term of this IP Agreement begins as of the Effective Date and continues until the last of the patents directed to a Funded Invention expires, or for so long as the Sponsoring Institution receives revenues including equity or any consideration from the licensing, lease, sale or assignment of any Funded Invention, whichever is later.

SIGNATURE PAGE FOLLOWS

IN WITNESS WHEREOF, Sponsoring Institution and LLS have caused this IP Agreement to be executed as of the Effective Date.

The Leukemia and Lymphoma Society, Inc.	SPONSORING INSTITUTION
By:	By:
Name:	Name:
Title: Chief Financial Officer	Title: _Technology Transfer Official
Date:	Date:
The Leukemia and Lymphoma Society, Inc.	

By: _____

Name: _____

Title:	Chief Scientific Officer	
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Date:_____

APPENDIX C

THE LEUKEMIA & LYMPHOMA SOCIETY'S SPECIALIZED CENTER OF RESEARCH (SCOR) ANNUAL ASSESSMENT POLICY

Each SCOR Director will be asked to work with LLS staff and advisors to generate mutually agreeable milestones and deliverables for each year of the grant. Ultimately, LLS envisions a partnership with the SCOR Director where LLS can work with the research team to outline a path for overall SCOR success as well as the timely completion of all proposed specific aims.

There will be a formal annual assessment process involving LLS Research staff and an independent expert or experts (SCOR Progress Review Committee). The SCOR Progress Review Committee will work with the SCOR Director on establishing milestones on a yearly basis that will be used as the foundation for the annual review. The annual assessment will monitor the progress being made from year to year and the future directions of the program and will include a Site Visit (described below). The annual review process will include a progress report, a presentation to this Committee and a Site Visit.

The annual assessment will be utilized to make funding recommendations for the remainder of the award with a focus on the amount of the award for the coming year. The SCOR Progress Review Committee reserves the right to withhold or reduce funds for underperforming SCORs. Underperforming SCORs will initially be provided a warning that funding may be withheld or reduced if performance does not improve.

Milestones and deliverables

LLS staff will work with the SCOR Director on projected milestones and deliverables to be achieved on a quarterly basis. The first year, this will happen prior to the grant start date, whereas in subsequent years, this will happen after the Site Visit (see below).

Site visit

An annual Site Visit will occur around the anniversary of the grant start date (October 1). The SCOR Progress Review Committee will visit the SCOR Director and his/her team. The SCOR Director, Project Leaders and Core Leaders must be present. Though it is expected that each Project/Core Leader be present, in some circumstances, a key member of the Project/Core Leader's team may take his/her place at the discretion of LLS. Members of each Project and Core will give presentations that give a detailed overview of the progress made in the prior year as they relate to the original aims as well as the agreed upon milestones/deliverables. Any problems encountered should be discussed and any deviations from the original aims must be justified and must abide by Appendix D, LLS's policy on Project replacement.

Annual Assessment

After the annual Site Visit, the SCOR Progress Review Committee will meet to assess the quality of integration of the SCOR team and the progress made. The Committee will make a recommendation as to the level of continued funding. In the case of well-integrated and productive teams, the funding will remain the same. In the unlikely event that progress is not sufficient, a warning will be provided, which may result in future funding being reduced if progress does not improve. After this assessment, the Committee will work with the SCOR Director to establish milestones for the coming year. These milestones will form the foundation of the coming year's review. The outcome from the annual assessment will be sent to the SCOR Director by email within sixty (60) days of the review.

APPENDIX D

THE LEUKEMIA & LYMPHOMA SOCIETY'S SPECIALIZED CENTER OF RESEARCH (SCOR) POLICY ON REPLACEMENT OF PROJECTS

All of the projects within a SCOR grant program are meant to contribute substantially to the overall program goals and synergize with the other projects. If a project is terminated, LLS may continue supporting only the other projects within a SCOR program or may invite the SCOR Director and Project Leader to propose a new project to replace the unsuccessful one. Such a replacement project must meet the original review criteria and be approved by LLS via the following procedure:

- 1. In the event that one of the projects within a SCOR grant program becomes unviable or unproductive, the SCOR Director must notify LLS staff within two weeks of this determination. Alternatively, LLS scientific staff may determine that a project is no longer viable. If such determination is made, LLS will notify the SCOR Director.
- 2. LLS scientific staff will determine whether LLS Mission Goals will be served best by substituting a replacement project for the terminated one or by continuing support of the SCOR grant program with fewer component projects. In the latter case, the program award, going forward, may be reduced by the amount previously committed to the terminated project. LLS will continue to fund a terminated project for up to three months following the decision to terminate to enable the orderly wind down of the project.
- 3. LLS may invite the SCOR Director to submit a proposal for a replacement project. The SCOR Director and Project Leader should discuss with LLS staff, prior to submission, the appropriateness and feasibility of potential projects. The new proposal must be submitted to LLS within four weeks of the invitation.
- 4. The proposal for the replacement project should include the following sections:
 - i. Rationale and Specific Aims
 - ii. Background with scientific and clinical significance
 - iii. Previous studies/preliminary data
 - iv. Methods
 - v. Interaction with other Projects and Cores
 - vi. Statistical approaches
 - vii. Description of patient populations/samples (if relevant)
 - viii. References

Biographical sketches and information about resources and environments are only required for new Investigators or new environments which were not included in the original application.

The proposal cannot exceed 6 pages.

The proposal should be submitted as a single PDF document.

- 5. The proposal will be reviewed by LLS scientific staff and by two outside scientists who have expertise in the subject area of the proposed research.
- 6. The proposal will be evaluated for significance, feasibility, translatability, and synergy with the other projects.

- 7. LLS will determine whether the proposal is acceptable, requires modification or is unacceptable. LLS will communicate this decision to the Program Director within 6 weeks of receiving the proposal.
- 8. LLS shall have the final decision with respect to all project terminations and substitutions.