



UNLOCKING THE SECRETS OF BRAIN DISEASE®

RESEARCH PROGRAM POLICIES AND PROCEDURES

- Venture Grants -

VISION

A World Free of PSP, CBD and Related Brain Diseases

MISSION

Awareness, education, care, and cure
for devastating Prime of Life neurodegenerative diseases

Published by

CurePSP
404 5th Avenue
3rd Floor
New York, NY 10018
USA

USA: +1-347-294-2873
Canada: +1-866-457-4777
Website: www.curepsp.org

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1. OVERVIEW OF THE CUREPSP RESEARCH PROGRAM

The Foundation for PSP, CBD, and Related Brain Diseases (hereinafter called CurePSP) research program supports and promotes research that can advance understanding, treatment and prevention of progressive supranuclear palsy (PSP), corticobasal degeneration (CBD), amyotrophic lateral sclerosis-parkinsonism-dementia complex (ALS/PDC) of Guam and/or Guadeloupean tauopathy and other atypical Parkinsonian disorders and tauopathies such as frontotemporal dementia, multiple system atrophy, or chronic traumatic encephalopathy.

CurePSP is particularly interested in research on PSP, CBD, and related tauopathies that will help us:

1. Understand the role of the tau gene and other genes.
2. Understand the role of tau protein processing.
3. Understand cellular energy metabolism and oxidative stress perturbations.
4. Understand environmental factors that influence the development or course of these disorders.
5. Understand the series of changes in brain cells pass as they progress from healthy neurons to dysfunctional neurons.
6. Characterize the natural history in order to develop outcome measures for clinical trials.
7. Develop animal models.
8. Develop tools for early diagnosis.
9. Develop treatments that improve the symptoms.
10. Develop interventions to arrest the progression and/or restore lost function.

CurePSP's research program has four components:

Venture Grants

CurePSP promotes research that helps generate an integrated picture of PSP and related disorders at the molecular, cellular, and clinical levels. Venture grants are investigator-initiated grants; CurePSP has currently three cycles per year accepting research proposal. The maximum allowed dollar amounts of CurePSP's grants vary. Applicants should consult the CurePSP website or contact the VP Scientific Affairs. See also section 2 below for more information.

Clinical Trials

In an effort to encourage investigators to plan and execute clinical trials for PSP and related disorders, CurePSP earmarks money for investigator-initiated clinical trials. Please contact the VP Scientific Affairs for more information.

CurePSP-Initiated Research

CurePSP may encourage independent investigators to submit applications for its internally initiated research funding mechanism (top-down) by issuing a request for application (RFA). Please contact the VP Scientific Affairs for more contact.

Student Summer Fellowships

The Urso Summer Student Program in PSP Research supports students conducting summer research projects focused on PSP. This program seeks to encourage students at all post-secondary

levels to pursue research in this field in the hope of making PSP a long-term area of research interest. Projects may be in basic, translational, clinical or epidemiological aspects of PSP. Deadline for applications is January 31 of each year. Full application details and forms are available online at www.curepsp.org.

2. VENTURE GRANT APPLICATION

Prior to submission, applicants must contact the Vice President of Scientific Affairs inquiring the current maximum grant amount available, the scientific scope of applications, and for general administrative advice. The most recent eligible budget was \$100,000 including all costs over a period of one, two, or three years. Indirect costs are not available. These instructions are also for download from www.curepsp.org.

One or more of the six prime of life disorders on which CurePSP focuses its research program must form the emphasis of the project, as defined by specimen source or subject diagnosis. However, the grant program focuses on PSP, CBD, and MSA; if other tauopathies or proteinopathies are used for investigation, a strong cross-disease link must be part of the project.

Application deadlines are March 15, July 15, and November 15 of each year. This schedule is subject to change depending on the availability of funds. Please check our web site for the latest information. All research applications must be submitted electronically as one PDF file to the VP Scientific Affairs, Dr. Alex Klein by e-mail (klein@curepsp.org).

Applications are peer-reviewed by the CurePSP Scientific Advisory Board, and funding decisions are made by the Board of Directors. Applicants will receive an email acknowledgement upon receipt indicating that the application is complete or whether additional information is required. Once a funding decision has been finalized, the applicant will be notified by e-mail only.

Eligibility: CurePSP accepts proposals for research projects from academic and non-academic institutions. All PIs must have an academic degree in science, social work, engineering, or medicine such as a ScD, PhD, MD, MD/PhD, DO, DSW, and DVM degree.

Application may not be made by any “Unacceptable Person.” “Unacceptable Person” includes any person or entity who is a (a) person or entity who is a “designated national,” “specially designated national,” “specially designated terrorist,” “specially designated global terrorist,” “foreign terrorist organization,” or “blocked person” within the definitions set forth in the Office of Foreign Assets Control (“OFAC”) Regulations of the United States Treasury Department; (b) person acting on behalf of, or an entity owned or controlled by, any government against whom the United States maintains economic sanctions or embargoes under the OFAC Regulations – including, but not limited to, the “Government of Sudan”, (c) person or entity who is within the scope of Executive Order 13224 – Blocking Property and Prohibiting Transactions with Persons who Commit, Threaten to Commit, or Support Terrorism, effective September 24, 2001; or (d) person or entity subject to additional restrictions imposed by the following statutes or Regulations and Executive Orders issued

thereunder: the Trading with the Enemy Act, the National Emergencies Act, the Antiterrorism and Effective Death Penalty Act of 1996, the International Emergency Economic Powers Act, the United Nations Participation Act, the International Security and Development Cooperation Act, the Nuclear Proliferation Prevention Act of 1994, the Foreign Narcotics Kingpin Designation Act and the Foreign Operations, Export Financing, and Related Programs.

Formatting the application: For ease of review, applicants must use application cover form and adhere to the instructions in completing the proposal sections that make up the application. Failure to observe the size specifications and/or page limits may result in the return of the application without review. Please remember to insert your name and grant acronym in the header for each section of the application. Be sure to include the fully completed CurePSP cover form as the introductory pages of the application.

Font Type/Size: Use 11 point Times New Roman, Calibri or Arial as the minimum font size for the text of the application. 9 point Times New Roman, Calibri or 9 point Arial may be used for figures, legends, and tables. Spacing: Single-spaced text is acceptable, and space between paragraphs is recommended. Margins: **The margins of your text should be at least 1 inch all around ("normal" setting in MS Word).**

Project Title: The title should not exceed 75 characters in length (including spaces).

Institutional Expenditures. CurePSP research grants are not designed to cover the total cost of the **research proposed nor the PI's entire compensation. The PI's institution is expected to provide the required physical facilities and administrative services normally available in an institution. CurePSP's research grants do not provide money for facilities and administration costs** (indirect costs), or funds for such items as: secretarial/administrative salaries, books and periodicals, membership dues, office and laboratory furniture, office equipment and supplies, rental of office or laboratory space, recruiting and relocation expenses, personal services, or construction, renovation, or maintenance of buildings or laboratories

Resubmission of an Application. Applications that are not funded may be resubmitted. The title of the project should be the same as that of the previous application. If applicable, a "Reply to Previous Review" should briefly address the points raised in the previous review. Applicants considering revising and resubmitting a rejected application are strongly encouraged to contact the VP-Scientific Affairs for advice.

Changes to the Application. Withdrawal of application: Please advise CurePSP promptly, in writing, should you decide to withdraw your application for any reason. Your letter (or email) to the VP Scientific Affairs should include your name, the application number, and the reason for withdrawal. Change of address: Notify CurePSP in writing of any changes of address, email, or phone number, following the submission of an application. Include your name and title of grant. Change of institution: If you are an applicant for a CurePSP grant and change your institution, contact the VP Scientific Affairs who will determine whether your application can be reviewed.

Application Page Summary

| | |
|--|---|
| 1. Cover Pages | Complete the grant application cover form |
| 2. Lay Abstract | 300 words |
| 3. Technical Abstract | Max. 1 page |
| 4. Budget | Max. 1 page |
| 5. Biosketch | Max. 5 pages per researcher |
| 6. Other Support | Max. 1 page |
| 7. Research Plan | Max. 4 pages |
| 8. Milestones/Deliverables/Figures/Gantt Chart | Max. 1 page |
| 9. References | No page limit |
| 10. Appendix (Assurances and Certification; Support Letters) | No page limit (no figures or references) |

For administrative and scientific questions, please contact the Vice President - Scientific Affairs at any time during the review cycle. Applicants considering revising and resubmitting a rejected application are strongly encouraged to contact the VP-Scientific Affairs for advice.

Alex Klein, PhD
Vice President – Scientific Affairs
New York, NY
klein@curepsp.org
+1-347-294-2872

Proposal Sections

1. Cover Pages

Please use the grant application cover form.

2. Lay Language Abstract

300 words (if funded, this abstract including the name of PI and his/her affiliation will be published on the CurePSP web site; by submitting a proposal the PI agrees to these terms). The abstract should be written for a general audience, at the level of popular news magazines (as a rough guide, assume that the audience knows what proteins and DNA are, but not what protoaggregates or transcription are). Technical terms should be minimized or explained and Greek characters and other symbols should be avoided or spelled out.

3. Technical Abstract

The structured technical abstract is a summary of the proposed research or scholarly project for general scientific audiences. It must not exceed 1 page in length. It should provide a clear, concise overview of the proposed work by addressing the following points:

Background: Provide a brief statement of the ideas and reasoning behind the proposed work.

Objective and Hypothesis: State the objectives and hypothesis to be tested. Cite evidence or provide a rationale that supports it.

Specific Aims: Concisely state the specific aims of the study.

Study Design: Briefly describe the study design, emphasizing those elements you consider most relevant to assignment of the proposal for peer review.

Scientific Relevance: Provide a brief statement explaining the potential relevance to tauopathies. If this application is funded, this description will become public information. Therefore, do not include proprietary or confidential information.

4. Research Project Budget

Max. 1 page; including a table and a short justification of costs. CurePSP agrees to pay all direct but no indirect costs for this project.

Needs: Research Grants are intended to fit a variety of needs in scientific investigations related to PSP, CBD, or related tauopathies. A grant is generally made to cover the cost of such items as salaries and benefits for professional and technical personnel, special equipment, supplies, and other miscellaneous items required to conduct the proposed research. Budgets submitted must be realistic estimates of the funds required for the proposed research. Because of its limited resources, CurePSP and its SAB Peer Review Process expect applicants to exercise considerable budget restraint.

Flexibility: It is the intent of CurePSP to be flexible in response to the changing needs of a research program. The PI may make minor alterations within the approved budget except where such expenditures conflict with the policies of CurePSP. Major changes (e.g. change of milestones and deliverables) require written approval from CurePSP's VP-Scientific Affairs.

Personnel: Names and positions of all personnel must be individually listed and the percentage of time to be devoted to the project by each person should be noted, even when salary is not requested. If the individual has not been selected, please list as "vacancy." The costs to the institution of employee fringe benefits should be indicated as a percent of the employee's salary. The amount of fringe benefits requested must be prorated to the salary requested. (For example, if 50% of an individual's annual salary is requested then no more than 50% of that individual's annual cost for fringe benefits can be requested.) The costs for overheads are not covered by funds from CurePSP.

Permanent Equipment: Defined as all items costing over \$500 with a useful life of 2 or more years. List separately and justify the need for each item of equipment. The maximum allowable for durable equipment is \$8,000.

Consumables: Group into major categories (e.g. glassware, chemicals, radioisotopes, survey materials, animals).

Miscellaneous Expenditures: List specific amounts for each item; examples of expenditures allowed include: publication costs, special fees (e.g., publication costs, pathology, computer time and scientific software, and equipment maintenance).

Subcontracts: If any portion of the proposed research is to be carried out at another institution, enter the total costs and provide a categorical breakdown on a continuation budget page.

Travel. PIs are expected to present their results at CurePSP's annual research symposium, held in fall following completion of the award. Travel and lodging expenses for this meeting can be requested here. A list of all planned travel should be provided here. Please note that CurePSP funds shall not be used for travel costs not approved in the budget as awarded.

Total Amount Requested: Budget totals should reflect a maximum duration of 3 years.

Justification of Budget: Justify all items of equipment costing over \$500, and the need for personnel, supplies, travel, and other miscellaneous items.

5. NIH-style Biosketches

Max. 5 pages per researcher (including your bibliography). Please find a template for download here:

- <http://grants.nih.gov/grants/forms/biosketch-blankformat-Forms-D.docx> or
- <https://grants.nih.gov/grants/forms/biosketch.htm>
- Instructions can be found here: <http://grants.nih.gov/grants/forms/biosketch-instructions-Forms-D.docx>

Submit biosketches for the PI, CoPI, and collaborators/consultants, even if no salary support is requested. Do not provide biosketches for individuals who provide only technical assistance. Collaborators are defined as individuals who will participate actively in the design and execution of the studies whereas consultants are defined as individuals who will provide any combination of advice, guidance, and reagents without "hands-on" involvement in the project). Include letters of intent to collaborate or consult in the Appendix. Details of contractual arrangements with collaborators or consultants should be provided in the Justification of Budget section of the application.

A. Personal Statement. Briefly describe why you are well-suited for your role in the project described in this application. The relevant factors may include aspects of your training; your previous experimental work on this specific topic or related topics; your technical expertise; your collaborators or scientific environment; and your past performance in this or related fields (you may mention specific contributions to science that are not included in Section C). Also, you may identify up to four peer reviewed publications that specifically highlight your experience and qualifications for this project. If you wish to explain impediments to your past productivity, you may include a description of factors such as family care responsibilities, illness, disability, and active duty military service.

B. Positions and Honors. List in chronological order previous positions, concluding with the present position. List any honors. Include present membership on any Federal Government public advisory committee.

C. Contribution to Science. Briefly describe up to five of your most significant contributions to science. For each contribution, indicate the historical background that frames the scientific problem; the central finding(s); the influence of the finding(s) on the progress of science or the application of those finding(s) to health or technology; and your specific role in the described work. For each of these contributions, reference your peer-reviewed publications or other non-publication research products (can include audio or video products; patents; data and research materials; databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware) that are relevant to the described contribution. The description of each contribution including figures and citations should be within the four-page limit. Also provide a URL to a full list of your published work as found in a publicly available digital database such as SciENcv or My Bibliography, which are maintained by the US National Library of Medicine.

D. Research Support. List both selected ongoing and completed research projects for the past three years (Federal or non-Federally-supported). *Begin with the projects that are most relevant to the research proposed in the application.* Briefly indicate the overall goals of the projects and responsibilities of the key person identified on the Biographical Sketch. Do not include number of person months or direct costs.

6. Other Support

Max. 1 page. CurePSP will not provide funding that is redundant with that from other sources, but recognizes that some projects will require funding from multiple sources to cover expenses. Indicate overlap with proposed project.

Current Support: List all current awards; give the source of funds, grant number, title of project, period of time covered by the grant, the amount of direct cost support for current year and total grant period, and percent effort. Outline the goals of the project in a brief two or three sentence paragraph. If necessary, an explanatory letter should be included in the appendix to clarify the differences between the present application to the CurePSP and currently funded projects.

Pending Support: List all pending applications to other funding sources for research support; identify those applications to be considered on an either/or basis with the CurePSP application. For pending support that is either/or with the CurePSP application, only one award can be accepted if both are approved for funding.

7. Research Plan

Limit research plan to max. 4 pages. There is no need to discuss PSP or related diseases fundamentals. Proposals should be realistic in terms of work to be accomplished in the period of time for which support is requested. Although it is permissible to submit applications on an "either/or" basis with other agencies, proposals should be adjusted to fit CurePSP's term and budget constraints.

- **Specific Aims:** List the objectives and goal of the research proposed and describe the specific aims briefly in order of priority.
- **Background and Significance:** Concisely summarize and critically evaluate related work done by others and specifically state how the successful completion of the work proposed the in specific aims of the application will advance scientific knowledge or aspects of clinical practice.
- **Research Design and Methods:** Describe your proposed methods and procedures in sufficient detail to permit evaluation by other scientists. Discuss potential difficulties and imitations of the methods and procedures, and provide alternative approaches. Order your priorities, and estimate the length of time that you believe will be required to complete each specific aim. Although the time estimated should not exceed the term for which support is requested, it is helpful to state how this project fits in with your long term research goals.

8. Milestones/Deliverables/Figures/Gantt Chart

Max. 1 page. Create a comprehensive list of milestones and deliverables including a timeline when those are due. It is recommended to visualize the timeline using e.g. a Gantt chart. You can insert figures here.

9. References

Each literature citation should include the author names, title, book or journal, volume number, page numbers, and year of publication. There is no page limitation for the list of references.

10. Appendix

Use only for support letters and assurances and certificates - no page limit; no figures or references should be included in the Appendix.

Assurances and Certification. All activities involving human subjects or vertebrate animals must be approved by an appropriate institutional committee before the application will be funded by the CurePSP. Furthermore, compliance with current US Department of Health and Human Services guidelines for financial conflict of interest, recombinant DNA, research misconduct, and vertebrate animals is required. The assurances and certifications are made and verified by the signature of the institutional official signing the application. Assurances and certificates may be included into the Appendix.

Vertebrate Animals. Every proposed research project involving vertebrate animals must be approved, by an appropriate Institutional Animal Care and Use Committee (IACUC), in accordance with Public Health Policy on Humane Care and Use of Laboratory Animals, before the application will be funded by the CurePSP. IACUC approvals are valid for a maximum of three years.

All research supported by the CurePSP (including subcontracted activities) involving vertebrate animals must be conducted at performance sites which are covered under an approved Animal Welfare Assurance.

Human Subjects. All proposed research projects involving human subjects must be approved by the appropriate Institutional Review Board (IRB). The review date should be recent; certification is invalid if the review date precedes the submission date by more than one year.

3. SCIENTIFIC ADVISORY BOARD (SAB) AND PEER-REVIEW OF APPLICATIONS

All proposals are subjected to peer-review. CurePSP's VP Scientific Affairs collects and distributes the applications to the Chair of Scientific Advisory Board (SAB). The SAB functions as the Peer-Review Committee. Each application is assigned to at least three SAB members for peer-review by the Chair of SAB.

The SAB evaluates applications based on some or all of the following criteria: (a) the scientific merit, originality, relevance to the disease in question, and the appropriateness and feasibility of the proposed methodology; (b) the qualifications, experience and productivity of the applicant and other members of the investigative team; (c) the facilities and resources available (d) the appropriateness of the budget request.

Each SAB member's review of a grant application will assign a rating of either "high-priority," "fundable but lower priority," or "reject." The review also includes extensive freeform comments that will be forwarded to all applicants after the funding decision has been made.

SAB members send their written evaluations to the VP-Scientific Affairs, who will tabulate them in advance of the SAB meeting. At its meeting, the SAB will consider these ratings and other objective and subjective factors in formulating grant funding recommendations. Examples of such factors are creating an optimal mix of topics in the Foundation's portfolio or giving priority to projects that are less expensive or high-risk, high-reward.

The SAB discusses each application and formulates a recommendation to either reject it outright, to fund it immediately, or to reconsider it at the next quarterly meeting without revision. Applications that are not funded after two consecutive SAB meetings will be automatically rejected.

The SAB communicates its funding recommendations to the Research Committee designated by the Board of Directors. The Research Committee then considers the relative merit, significance, and feasibility of the applications **within the context of the amount of available funds and CurePSP's research objectives**. After considering the recommendations of the SAB and Research Committee, the Board of Directors determines and approves grants for funding. The President-CEO is then authorized to distribute funds. All CurePSP research grants and awards are made by the President-CEO under the authority and on behalf of CurePSP's Board of Directors.

CurePSP considers grant applications from all countries. CurePSP does not discriminate on the basis of the investigators' country of origin, age, race, gender, creed, religious belief, or sexual orientation. Researchers who receive funding from CurePSP may be required to provide certification that the institutions in which they are employed do not engage in any discriminatory activities.

4. AWARD TERMS AND CONDITIONS

4.1. Sources of Funds

This Award is made with the understanding that your Project currently has no additional sources of funding and does not overlap with any existing grants. You agree that you will neither solicit nor accept additional funding for this Project without prior written notice to CurePSP. If there is overlap between this Award and another grant made to you by another third party, CurePSP will renegotiate the budget of this Award with you and reserves the right to provide less funding than identified in this Award or obtain a refund from you, so that funding from this Award does not overlap with another grant. If you receive additional funding for your Project **without CurePSP's advance written consent**, CurePSP reserves the rights to withhold funding and require repayment of this Award if it is not satisfied, in its reasonable discretion, that the additional funding is for incremental research activity which does not overlap with this Award or conflict with your ability to perform the Project.

4.2. Use of Funds

- 4.2.1 Funds awarded by CurePSP are to be used solely for the Project and are conditioned on your meeting certain milestones and deliverables, timely delivery of expense and progress reports, and participation in CurePSP sponsored meetings at which your progress will be assessed. CurePSP assessments are based on review of your progress at regular intervals, determination of the quality of the scientific research performed, and its continued high relevance to PSP, CBD, MSA and related tauopathies. In exchange, CurePSP agrees to pay all direct costs for this Project, but no indirect costs. Any unused funds at the end of the Award period, as detailed in a final expense report, must be returned to CurePSP within one month from the submission of the expense report. You shall maintain complete and accurate books, records and accounts that, in reasonable detail, fairly reflect the use of the Award. CurePSP shall have the right to review and audit such books, records and accounts at a mutually convenient time upon prior written notice to you.
- 4.2.2 CurePSP research grants are not designed to cover the total cost of the research proposed nor **the PI's entire compensation**. The PI's institution is expected to provide the required physical facilities and administrative services normally available in an institution.
- CurePSP's research grants do not provide money for facilities and administration costs (indirect costs), or funds for such items as: secretarial/administrative salaries, books and periodicals, membership dues, office and laboratory furniture, office equipment and supplies, rental of office or laboratory space, recruiting and relocation expenses, personal services, construction, renovation, or maintenance of buildings or laboratories.
- 4.2.3 The Award is to be used as budgeted and reflected in the milestones. Any alterations, amendments, or changes in the specific goals or budget of the Project will require the review and pre-approval of CurePSP. Examples of such alterations or amendments include (but are not limited to): (i) transfer of a Principal Investigator ("PI") from one institution to another, (ii) adding or deleting a specific Project goal, (iii) budget reallocation, or (iv) modification of

proposed workload and milestones. Please note that CurePSP funds shall not be used for travel or equipment costs not approved in the budget as awarded.

4.2.4 Change of Institution

PIs may transfer the unspent balance of a grant to a new institution with written permission from the VP-Scientific Affairs. Grant recipients must request a transfer as soon as they are **notified that they will be changing institutions. Contact CurePSP's VP-Scientific Affairs** to alert him of a transfer. Prior to a transfer, CurePSP must receive the following:

- The request for transfer in writing, indicating the anticipated transfer date;
- Acceptance letter of the new institution;
- Statement from an administrative official at the original institution relinquishing the grant;
- The report of expenditures from the original institution together with a check for any unexpended funds.
- Short scientific progress report clearly stating which experiments were already completed and which will be transferred to the new host institution.
- Update of timeline/milestones and how the relocation will affect them.
- Confirmation that all experiments can be carried out as originally planned. i.e. that the new facilities will allow you to conduct the proposed research and no extra costs will occur.

Payments to the new institution will not be initiated until a final accounting and a check for any unexpended funds have been received from the original institution and the transfer has been approved by CurePSP. This final financial report must be submitted within 60 days of the date the transfer was requested. This document has to updated and signed by the new institution as well.

4.2.5 Ownership of Equipment

Equipment purchased under CurePSP research grants or extensions thereof is for the use of the PI and collaborators. Title of such equipment shall be vested in the PI institution. In the event that CurePSP authorizes the transfer of a grant to another institution, equipment necessary for continuation of the research project purchased with the grant funds may be transferred to the new institution. Title to such equipment shall be vested in the new institution.

4.2.6 Termination and/or Cancellation of Grant

Intent to cancel a grant must be communicated to the VP-Scientific Affairs. In the event a grant is canceled, the institution is entitled to the prorated amount of the award. CurePSP cannot assume responsibility for expenditures in excess of payments already made to the PI institution prior to the effective date of cancellation, and all unexpended funds must be returned to CurePSP.

The Foundation may, with notification, terminate the grant with no further payments when the following conditions apply:

- The PI does not submit a request for a no-cost extension;

- The PI has been granted an extension and does not submit a final report after the extension expires;
- If a progress or final report is not submitted by the deadline as specified in the original award.

The PI and his/her institution will be notified of the termination, and no further payments will be made. The unexpended monies will be returned to the status of funds restricted for research and be available for new research grants.

- 4.2.7 If you request a change to the Award, you must submit a written request for approval detailing the requested change and associated rationale in advance to the VP of Scientific Affairs, Dr. Alex Klein, at klein@curepsp.org. Failure to obtain prior approval for any changes in work timeline, milestones or budget may result in revocation of funding in whole or part. You agree that funds expended by you either not in accordance with the approved Project or prior to pre-approval of any material change to are both (i) recoverable by, and subject to restitution by you to, CurePSP and (ii) may be cause for immediate termination of funding by CurePSP.

4.3. Grant Timeline and Reporting Requirements

- 4.3.1 CurePSP expects that your Project will be completed according to the agreed timeline. Continued funding also is contingent on demonstrated progress and satisfactory assessment by CurePSP. To this end, you are required to do the following:

(a) All proposed research projects involving animal experiments need to provide written proof of Institutional Animal Care and Use Committee (“IACUC”) approval one month from date of award notification. Payment to begin work will not be issued without IACUC approval. All research supported by the CurePSP (including subcontracted activities) involving animals must be conducted at performance sites which are covered under the IACUC approval.

All proposed research projects involving human subjects must be approved by the appropriate Institutional Review Board (IRB). The review date should be recent; certification is invalid if the review date precedes the submission date by more than one year. Payment to begin work will not be issued without IRB approval.

(b) Confirm in writing that all personnel (including technicians and post-doctoral fellows) have been hired by the third month of the project, or that any delay in hiring has not postponed progress on the work described. CurePSP will contact awardees at the three-month mark of the Award for such confirmation. Failure to meet this requirement may result in withholding of further payment.

(c) Participate in regularly scheduled assessment meetings and/or teleconferences. Failure to participate in these assessments and to demonstrate satisfactory progress may result in withholding of future payments. Participate openly in discussions regarding your Project with CurePSP’s scientific and research staff, and advisors.

(d) The first assessment will be held at the six-month mark of your Award by teleconference to review initial progress.

(e) Complete progress and expense reports detailing your progress against milestones and your associated expenditures. These reports will be due for the midpoint assessment (progress report) and at the completion of your award (final report). When appropriate, additional reports may be requested before other assessment meetings and teleconferences. Templates will be provided to you to facilitate this reporting. These reports will be reviewed by CurePSP; CurePSP may thereafter provide you with suggestions, critique, and feedback.

Progress, financial, and final reports are to be submitted per the schedule for 1-year, 2-year, and 3-year grants.

- 1-Year Grants: 6-month *progress/financial report* and *final/financial report* after project completion. Total 2 reports.
- 2-Year Grants: 12-month *progress/financial report* and *final/financial report* after project completion. Total 2 reports.
- 3-Year Grants: 12-month *progress/financial report*, 24-month *progress/financial report*, and *final/financial report* after project completion. Total 3 reports.

The final report should cover the entire grant period and focus on the impact of the research. In the event a grant has been extended without additional funds, the final report is not due until the official termination date of the grant. If the grant is terminated early, a final report must still be completed within six weeks of the termination date. The final report must include a lay summary that will be published on the CurePSP web site.

A report of expenditures (financial report) must be submitted within 90 days of the expiration date of the grant as indicated in the award letter. Any change in terms such as a no-cost extension will alter the date that the report is due. Annual financial reports may be requested at the discretion of CurePSP. Signatures of the PI and the institution's financial officer are required. Any unexpended funds must be returned to CurePSP. Reports are to be submitted in a timely manner. If this is not possible, a written request to extend the reporting deadline must be made. Institutions must maintain separate accounts for each grant, with substantiating invoices available for audit by representatives of CurePSP. CurePSP is not responsible for expenditures made prior to the start date of the grant, for commitments against a grant not paid within 60 days following the expiration date, or any expenditure that exceeds the total amount of the award.

No reminders will be sent regarding the aforementioned reports unless the PI is being funded through a designated donation for which CurePSP must report to the respective donor.

Failure to submit progress, financial, and final reports by the aforementioned deadlines without an explanation or approved request for a no-cost extension may result in termination of the grant with forfeiture of further payments.

Progress, financial, and final reports that in the opinion of CurePSP indicate insufficient progress in the funded work are unsatisfactory and will be treated in the same way as non-submitted reports.

- 4.3.2 Failure to meet milestones, furnish scheduled deliverables, including any reports, or comply with this Agreement may serve as one or more bases for termination of funding by CurePSP.
- 4.3.3 If at any time circumstances arise that prohibit completion of the Project on schedule, you are required to notify CurePSP immediately. CurePSP will consider granting two six-month no-cost extensions per project on a case by case basis. The PI can apply three months before the end of his/her grant for an extension. The application has to be submitted to Dr. Alex Klein, VP-Scientific Affairs, at klein@curepsp.org at least 30 days prior to terminating the grant. The PI must explain in writing the justification for such an extension. The justification letter should comprise the following:
- Why was the project delayed?
 - Does the delay have any negative impact on the experiments?
 - Will there be enough staff to complete the experiments?
 - An updated list of milestones and deliverables

If CurePSP decides not to grant any extensions, the grant is considered expired by the original deadline, and the PI must provide the final and financial report as scheduled. If the reports are not considered satisfactory, the final payment will not be made.

4.4. Payment Schedule

- 4.4.1 Subject to the foregoing conditions, CurePSP intends to pay your Award on the following installment schedule:
- 1-Year Grants: 50% payable at start of project, 25% payable after satisfactory 6-month progress report, and 25% payable after satisfactory final report.
 - 2-Year Grants: 50% payable at start of project, 25% payable after satisfactory 12-month progress report, and 25% payable after satisfactory final report.
 - 3-Year Grants: 40% payable at start of project, 20% payable after satisfactory 12-month progress report, 20% payable after satisfactory 24-month progress report, and 20% payable after satisfactory final report.

Grant payments will be made to the sponsoring institution and are mailed to the address indicated on the grant application form. Acknowledgment of payment by the sponsoring institution is not required. Personnel compensated in whole or in part with funds from CurePSP are not considered employees of CurePSP. Institutions are responsible for issuing the appropriate IRS tax filings for all individuals receiving compensation from CurePSP grants and are responsible for withholding and paying all required federal, state, and local payroll taxes with regard to such compensation. Thus, these and any other tax consequences are the responsibility of the individual recipient and the sponsoring institution. CurePSP advises all grant and award recipients to consult a tax advisor regarding the status of their awards. Payment to begin work will not be issued without the receipt of the completed W8

form (Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting) or W9 form (Request for Taxpayer Identification Number and Certification).

- 4.4.2 CurePSP reserves the right to change this schedule if necessary and will notify you and/or your administrator in writing in that event.

4.5. Confidentiality

- 4.5.1 CurePSP treats all proposals, applications, research projects, associated research **information and underlying data** (collectively, the “**Confidential Information**”) as confidential, using no less than reasonable care in protecting the Confidential Information from disclosure to third parties who do not participate in the application review and assessment processes. All Confidential Information will be used by CurePSP for the purposes of reviews and assessments, and will be shared only in accordance with its Sharing Policy (see Section 7 below). Such obligations cover any information retained in the unaided memories of persons participating in reviews and assessments and may not be used without the permission of the disclosing party. Notwithstanding the foregoing, the obligations governing the disclosure and use of Confidential Information do not apply with respect to Confidential Information that:

- (a) was generally known to the public at the time of disclosure;
- (b) becomes generally known to the public through no unlawful or unauthorized act or omission, or violation of this Agreement, by any recipient of Confidential Information;
- (c) was independently developed by any recipient prior to disclosure; or
- (d) was disclosed to a recipient by a third party who has the right to make such disclosure.

- 4.5.2 Provided that subsections (a)-(d) above do not become applicable, if any recipient of Confidential Information is asked to produce any Confidential Information pursuant to a legal or governmental proceeding, such recipient shall give the applicant or other owner of **such Confidential Information (the “Discloser”)** as much prior notice of such request as is reasonably practicable under the circumstances and shall use its reasonable efforts to assist **the Discloser of such Confidential Information in defending Discloser’s rights (at Discloser’s cost)**, including objecting to such request, obtaining confidential treatment for Confidential Information, disclosing only that portion of the Confidential Information responsive to a judicial or governmental order, and providing Discloser with any copies of Confidential Information so disclosed.

- 4.5.3 CurePSP might exchange applications, that were recommended-for-funding, with other research organizations in order to discuss joint co-sponsoring of the respective studies. No information shall be shared outside these negotiations between CurePSP and the other funding organization. CurePSP will insist on keeping the shared applications as strictly confidential.

4.6. Data Underlying Research Information to be Included with Progress Reports

With each progress report, you agree to provide CurePSP, in a format prescribed by it, the data underlying your research information for each milestone (the “Data”). CurePSP and its grant assessors will use the Data to assess your progress toward achieving the milestones.

4.7. Sharing Policy

- 4.7.1 As CurePSP is a public charity, **research conducted with funds from CurePSP (“Research”)** must be conducted in the public interest. CurePSP acknowledges that discoveries and related regulatory approvals made by researchers under its sponsorship are the property of those conducting and responsible for the Research and that unless otherwise agreed to by the parties, such researchers shall have the first opportunity to exploit the Research commercially or otherwise.
- 4.7.2 Notwithstanding the foregoing, you agree that during the term of your Award and upon request by CurePSP, you will participate in certain research discussions or the annual research symposium conducted by CurePSP involving other researchers, and you will share **research information and tools discussed with other participants (“Participants”)**. Any information or tools you provide or receive as a result of your participation in discussions shall be used only for the purpose of permitting Participants to advance PSP, CBD, and related diseases scientific research or assess your Project. No such information or tools may be used in publications, presentations outside the discussions initiated by CurePSP, for commercial purposes, or in any efforts to secure intellectual property rights, unless separately agreed to by you or the owner of such tools or information in writing.
- 4.7.3 Notwithstanding the foregoing, you also agree that CurePSP:
- (a) may retain the Data and that CurePSP may, 90 or more days after expiration of the Award, make the Data available to CurePSP employees, consultants, grant recipients and others affiliated with CurePSP through a secure medium to advance scientific discovery. This subsection shall not prohibit CurePSP from making the Data available before expiration of the grant to persons executing **CurePSP’s Mutual Nondisclosure Agreement** (e.g. the CurePSP Scientific Advisory Board) for the purpose of assessing your progress toward achieving the milestones. If the Data ceases to be Confidential Information as described in subsections (a)-(d) of **CurePSP’s Confidentiality policy**, then these restrictions on dissemination shall not apply;
 - (b) may, after reasonable consultation which will not be unreasonably denied, conditioned or delayed by you, publicly release a summary of findings of the research 90 or more days after expiration of the Award; and,
 - (c) may make all tools or reagents (i) funded by and (ii) that result from awarded projects (collectively, the “Results”) readily available to the community including CurePSP for research purposes 90 or more days after expiration of the Award. You agree that you will

cooperate and collaborate with CurePSP and other researchers and share access to Results on fair and reasonable terms and conditions. By signing this Agreement, you and your institution are confirming that you are not aware of any requirements that would prohibit, delay, or restrict your ability to share your Results from this initiative, including requirements of third-party collaborators or companies with which you are affiliated.

Notwithstanding the 90-day periods set forth in subsections (a)-(c) above, CurePSP will consider a request by you to delay the availability of Data, a summary and/or the Results in order to complete any necessary intellectual property filings.

4.8. Liability

You acknowledge that in making an award to support your application CurePSP is solely a passive grantor to this Project. To the maximum extent permitted by law, you hereby agree to fully assume the risk of any liability directly or indirectly arising out of the Project and release CurePSP and its directors, trustees, officers, employees, agents and consultants from all such liability. If permitted by law, such assumption of the risk shall include, at CurePSP's election, assumption of its defense, and such release from liability shall include payment of any third party damages. Nothing herein shall be deemed as a waiver of the sovereign immunity of the State of XXXX.

4.9. Responsibility of the Principal Investigator's Institution

The PI is responsible and accountable for the overall conduct of the project. CurePSP does not assume responsibility for the conduct of the activities that the grant supports or the acts of the grantee as both are under the direction and control of the PI institution and subject to the institution's medical and scientific policies. The PI institution must safeguard the rights and welfare of individuals who participate as subjects in research activities by reviewing proposed activities through an Institutional Review Board (IRB), as specified by the National Institutes of Health Office for Human Research Protections, US Department of Health and Human Services (DHHS). Furthermore, the PI institution must adhere to DHHS guidelines regarding financial conflicts of interest, recombinant DNA, research misconduct, and vertebrate animals. These policies apply to the grantee and his/her institution. If an application is recommended for funding, the official authorized to sign for the respective institution and the department head are required to sign a letter of support. Additional signatures are at the discretion of the institution.

4.10. Use of CurePSP Brand

You agree to abide by the following policy regarding use of CurePSP's name, logo, marks, and images (collectively, the "Brand"). CurePSP prohibits any use of the CurePSP Brand in any publicity efforts, notices, releases, statements or publications without its prior written approval. All use of the Brand including, without limitation, the name and image shall be submitted in advance to CurePSP for approval. Failure of CurePSP to approve any proposed use of the Brand within five (5) business days of its receipt of any request for approval of a proposed use shall be deemed non-approval of the proposed use. You acknowledge that these terms are reasonable precautions to protect the CurePSP Brand and its goodwill, both of which are extremely valuable assets of CurePSP. Any goodwill

resulting from an approved use of the CurePSP Brand by you shall inure solely and exclusively to CurePSP.

4.11. Publication

CurePSP expects that information about the Results will be published as rapidly as possible in the open scientific literature, consistent with high standards of scientific excellence and rigor.

4.12. Recognition of Funder

Any publications resulting from research or training activities supported by CurePSP shall include the acknowledgment of the funding by *CurePSP – Foundation for PSP, CBD and Related Brain Diseases*. CurePSP's support should also be acknowledged by the grantee and by the institution in all public communication of work resulting from this grant, including scientific abstracts (where permitted), posters at scientific meetings, press releases, or other media communications, and Internet-based communications. When publications result from work funded under this Award, you are required to update CurePSP, even if such publications occur after the end of the Award.

4.13. Animal or Human Subjects and Compliance with Law

4.13.1 If your project involves the use of animals or human subjects, you must provide a letter of approval for such use from your institution's regulatory assurance body prior to the initiation of funding. See 3.2 (a) for more details.

4.13.2 You are solely responsible for complying with any and all applicable laws relating to the Project.

4.14. Miscellaneous

4.14.1 This Agreement including appendices constitutes the entire agreement of the parties related to its subject matter and supersedes all prior agreements, oral, or written. This Agreement may not be modified, amended or waived except by written agreement of the parties.

4.14.2 All notices to CurePSP required or permitted by this Agreement shall be sent by email to Dr. Alex Klein, VP of Scientific Affairs at klein@curepsp.org, unless CurePSP specifies a different person to you in writing.

4.14.3 This Agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.