

PHI OPTICS, INC. SFI DISCLOSURE FORM

Investigator Name (Last, first, middle):	Work Phone:	Date of Disclosure:	Date FCOI Training Received:
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PHI OPTICS Employees continue to Parts 1, 2 and 3 of this form

Only non-PHI OPTICS Investigators complete this section

Employer's Name: _____

Choose one of the following two options and follow the instructions indicated for that option

I am employed by an institution with a Financial Conflict of Interest Policy that complies with PHS regulations. Choose one of the following two options.

I have disclosed my significant financial interests and the work scope for this project to the FCOI Designated Official at my institution and they have determined that I have no financial conflict with working on this project

STOP AND SUBMIT THIS FORM TO legal-compliance@phioptics.com

I have disclosed my significant financial interests and the work scope for this project to the FCOI Designated Official at my institution and they have determined that I may have a financial conflict with working on this project. The FCOI management plan prepared by this Official will be submitted separately.

STOP AND SUBMIT THIS FORM TO legal-compliance@phioptics.com

I am not employed by an institution with a compliant FCOI Policy and therefore agree to comply with PHI OPTICS' Financial Conflict of Interest Policy, including completing the FCOI training identified by PHI OPTICS and disclosing my significant financial interests to PHI OPTICS.

CONTINUE TO COMPLETE PARTS 1, 2 AND 3 OF THIS FORM.

Part 1. ASSETS

For you, your spouse and your dependent children, identify assets with a fair market value of \$5,000 or more as of the date of disclosure. Assets include stocks, bonds, tax shelters, pensions, annuities, real estate, commodity futures, trades and business and partnership interests. Refer to the definitions below Part 3 for additional information

I do not have any assets requiring disclosure. **CONTINUE TO PART 2 OF THIS FORM.**

I disclose the following assets. **After completing this section, CONTINUE TO PART 2 OF THIS FORM.**

Name of asset	Asset belongs to (Employee, Spouse, Dependent Child, or combination)	(X) if no longer held	Asset Type (pension, stock, dividends, interest, real estate, capital gains)	Approximate value of the financial interest		
				\$5,000 - \$19,999 increments of \$5,000 (e.g. \$5,000 to \$10,000)	\$20,000 - \$100,000 Increments of \$20,000	\$100,000 and above by increments of \$50,000

Part 2. SOURCES OF EARNED INCOME AND TRAVEL

For you, your spouse and your dependent children, identify sources of earned income which generated over \$5,000 in income as of the date of the disclosure. Sources of Earned Income include salaries received from other than your current employer, fees, honoraria and travel. Refer to the definitions below Part 3 for additional information.

I do not have any sources of earned income or travel requiring disclosure. **CONTINUE TO PART 3 OF THIS FORM.**

I disclose the following sources of earned income or travel. **After completing this section, CONTINUE TO PART 3 OF THIS FORM.**

Name of Earned Income Source(s)	Income Recipient (Employee, Spouse, Dependent Child, or combination)	Income Type (salary, consulting fees, honoraria, etc.)	Approximate value of the financial interest		
			\$5,000 - \$19,999 increments of \$5,000 (e.g. \$5,000 to \$10,000)	\$20,000 - \$100,000 Increments of \$20,000	\$100,000 and above by increments of \$50,000
For travel disclosures, please provide the following additional detail					
Travel Sponsor	Destination	Duration	Purpose		

Part 3

UPON COMPLETION OF THIS DISCLOSURE FORM, PLEASE EMAIL IT AS AN ATTACHMENT TO legal-compliance@phioptics.com. Submission of this form confirms your belief that all information provided is true, complete and accurate to the best of your knowledge.

DEFINITIONS: see applicable definitions at Phi Optics Policies website
<https://phioptics.com/policies-and-compliance/>