



July 1, 2023

Ana Charamelo
University of the Republic, Uruguay

CC: Andrés Damián

Re: Continued Support for SG-21-815076-LatAm FINGERS – Uruguay

Dear Dr. Charamelo,

The Alzheimer's Association is pleased to inform you of our continued support of the project **SG-21-815076-LatAm FINGERS – Uruguay, “Multi-partner Consortium for Dementia Research in Latin America – Uruguay”**.

The project was originally awarded on October 27, 2020 with continuation for Payment 3 in a total amount of USD \$118,446.90 and to date, USD \$118,446.90 has been paid. The grant period extend through September 30, 2025 with the revised total amount of USD \$334,779.48 (See payment schedule below). The next payment will be released following the receipt and approval interim financial and scientific reports and return of this signed document.

***The grant was originally funded beginning November 1, 2020.
The granting period is through the completion of study milestones.
The total amount of the grant is \$334,779.48 USD*.***

***(a) Amount of funding includes indirect (Facilities & Administrative) costs, which cannot be more than 10% of direct costs.**

***(b) Only Year 2, Payment 2 is confirmed. Subsequent funding will be considered in collaboration with the investigators and progress to reaching the individual milestones outlined in Appendix B.**

***(c) The Association will provide Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay with payments as listed below provided the previously agreed upon terms in the Award documentation dated October 27, 2020 (Appendix A) are met. Appropriate milestones must be met prior to the release of the next payment. The Alzheimer's Association reserves the right to notify Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay if the decision is made to discontinue funding. In such an instance, any unused funds at the time of notification, minus any committed funds, must be returned to the Alzheimer's Association.**

Payment 1	Year 1, Payment 1	USD \$23,689.38	Prior Payment
Payment 2	Year 1, Payment 2	USD \$47,378.76	Prior Payment
Payment 3	Year 2, Payment 1	USD \$47,378.76	Prior Payment
Payment 4	Year 2, Payment 2	USD \$48,782.30 *	To be released following receipt and approval of interim reports and the Uruguay site reaching milestone 4 outlined in Appendix B. * Inclusive of additional requested funds (USD \$9,300.00)



Payment 5	Year 3, Payment 1	USD \$83,775.14	To be released following receipt and approval of interim reports and the Uruguay site reaching milestone 5 outlined in Appendix B.
Payment 6	Year 3, Payment 2	USD \$83,775.14	To be released following receipt and approval of interim reports and the Uruguay site reaching milestone 6 outlined in Appendix B.

***(d) Reporting Periods:**

1. Brief mid-year financial and scientific progress reports will be required at bi-annually.
2. Financial and Scientific Reports will be due annually. Final Reports will be due within 90 days of the end of the grant.

Note: Scientific progress reports may be developed in conjunction with all LatAm FINGERS Sites. However, financial progress reports must be specific to the Costa Rica site.

Thank you for your support of the Alzheimer's Association and commitment to research on Alzheimer's disease. If you have any questions, please contact Emily Meyers, PhD at eameyers@alz.org.

Sincerely,

A handwritten signature in black ink that reads "Heather M. Snyder".

Heather M. Snyder, PhD.
Vice President
Medical & Scientific Relations

Sincerely,

A handwritten signature in black ink that reads "Maria C. Carrillo".

Maria C. Carrillo, PhD.
Chief Science Officer
Medical & Scientific Relations



This FY24 Research Grant for continued support is accepted on behalf of Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay. The requirements as specified in the Award Letter documentation are accepted. While it is acceptable for a project to have multiple funding sources, no part of this specific application and budget has overlapping funding from another source.

The Alzheimer's Association depends on volunteers for its exemplary grant review process. Your grant could not have been funded without the hard work of those volunteers. The Association assumes you will want to repay those volunteers by remaining an active reviewer in our system by connecting to the Alzheimer's Association in your community (as applicable) and by responding to the Association's requests to engage in additional outreach.

It is imperative that you respond when called upon to contribute to this support of the Alzheimer's and dementia research community.

By signing this document you are agreeing to all of the terms and conditions.

Institutional Official: _____ Date _____
Signature

Print Name & Title (required)

Although not a party to this entire agreement, I have reviewed the Agreement and understand the provisions in the Agreement regarding the role of the Grantee for this Project.

Principal Investigator _____ Date _____
(Ana Charamelo)

October 27, 2020

Ana Charamelo
University of the Republic, Uruguay

CC: Gabriela Gonzalez

Re: **Strategic Grant: Multi-partner Consortium for Dementia Research in Latin America - Uruguay**

Dear Dr. Charamelo,
The Alzheimer's Association is pleased to inform you that the project **SG-21-815076-LatAm FINGERS – Uruguay** has been approved for funding. This award is specific to the Uruguay site under the umbrella of the LatAm FINGERS award. It is expected that you will work with the LatAm FINGERS Steering Committee and Alzheimer's Association in collaboration with the Worldwide FINGERS Network for the full implementation of this project. Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay will receive a total of **\$71,068.14 USD** for site specific expenses.

The grant will be funded beginning November 1, 2020.
The granting period is: November 1, 2020 to October 31, 2021.
The total amount of the grant is **\$71,068.14 USD***.

***(a) Amount of funding includes indirect (Facilities & Administrative) costs, which cannot be more than 10% of direct costs.**

***(b)** The Association will provide the Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay with payments as listed below provided that the Conditions of Award, as outlined, are met. Appropriate milestones must be met prior to the release of the first payment. Subsequent funding will be considered in collaboration with the investigators and progress to reaching the individual milestones outlined in Appendix A. The Alzheimer's Association reserves the right to notify the Fundación Manuel Perez, Facultad de Medicina, Universidad de la República, Uruguay if the decision is made to discontinue funding. In such an instance, any unused funds at the time of notification, minus any committed funds, must be returned to the Alzheimer's Association.

Period 1, Payment 1	\$23,689.38 USD	To be released following the receipt of the signed award letter and ethical approvals and the Uruguay site reaching Milestone 1 outlined in Appendix A.
Period 1, Payment 2	\$47,378.76 USD	To be released following receipt and approval of interim reports covering the first period and the Uruguay site reaching milestone 2 outlined in Appendix A.

***(c) Reporting Periods:**
1. Brief mid-year financial and scientific progress reports will be required at month 6.
2. Financial and Scientific Reports will be due annually. Final Reports will be due within 90 days of the end of the grant.
Note: Scientific progress reports may be developed in conjunction with all LatAm FINGERS Sites. However, financial progress reports must be specific to the Argentina site.

The Association requires documentation from the institution that the study is able to move forward under the current conditions regarding COVID-19. A COVID-19 Form will be provided separately from the award letter.

The requirements for this grant are detailed in this document, which includes the Award Letter, Conditions of Award and the Patent Policy, as one document. The document must be signed, initialed where required and returned to Emily Meyers (easmeyers@alz.org). The signed Award Letter is not considered final until after it has been reviewed, and once confirmed, a final copy will be returned to you for your records.

The Alzheimer's Association **requires** a 5" x 7" black and white or color photograph of you in your lab to be uploaded to your grant profile at <https://ProposalCentral.com/login.asp>.

All of the above are required and must be **submitted electronically** to activate the award. ***Hard copies of the required documents will not be accepted.***

The Alzheimer's Association depends upon private support to meet its goals and to fund research grants. Therefore, your help and support are very important in the efforts to educate the general public and the scientific community about the disease and the Association. In accepting this research grant award, you agree to credit the Alzheimer's Association for providing funds for this research whenever you present the research or publish articles about the project. In addition, your acceptance allows the Alzheimer's Association to use your likeness in presenting your findings through press releases, interviews, or other strategic activities. Please note the attached Conditions of Award for details of this commitment.

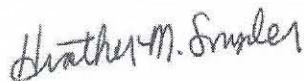
It is necessary for both you and a representative from the business office or Office of Sponsored Research from the applicant Institution, to sign the form below. The signatures verify that the award is accepted by the Institution with the attendant requirements and that no part of this research project has been funded from another source. Also, complete the included form requesting the information for the business official that has fiscal responsibility for this award. **Once you have reviewed and signed this Award Letter (consisting of Award details, Financial Information Form, Conditions of Award, and Intellectual Property Policy), please return it directly to Emily Meyers (easmeyers@alz.org). The signed Award Letter will not be considered final until reviewed by an Alzheimer's Association staff member. Once reviewed and confirmed, a finalized copy will be returned to you for your records and uploaded into proposalCENTRAL on your behalf.**

Thank you for your support of the Alzheimer's Association and commitment to research on Alzheimer's disease. If you have any questions, please contact Emily Meyers, Associate Director, Research Projects at (312) 273-4797 or easmeyers@alz.org or Heather Snyder, Vice President, Medical & Scientific Relations at (312) 335-5184 or hsnyder@alz.org.

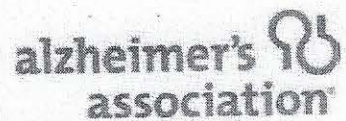
Sincerely,



Maria C. Carrillo, PhD.
Chief Science Officer, Medical & Scientific
Relations
Alzheimer's Association



Heather M. Snyder, PhD.
Vice President, Medical & Scientific Relations
Alzheimer's Association



This FY2021 Research Grant is accepted on behalf of the University of the Republic, Uruguay. The requirements as specified in the Award Letter documentation are accepted. While it is acceptable for a project to have multiple funding sources, no part of this specific application and budget has overlapping funding from another source.

The Alzheimer's Association depends on volunteers for its exemplary grant review process. Your grant could not have been funded without the hard work of those volunteers. The Association assumes you will want to repay those volunteers by remaining an active reviewer in our system by connecting to the Alzheimer's Association in your community (as applicable) and by responding to the Association's requests to engage in additional outreach.

It is imperative that you respond when called upon to contribute to this support of the Alzheimer's and dementia research community.

By signing this document you are agreeing to all of the terms and conditions.

Institutional Official:


Signature

Date

12/9/2020

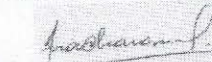
PATRICIA CASSINA CONSEJERA

CAROLINA KONZAK SECRETARIA EJECUTIVA

Print Name & Title (required)

Although not a party to this entire agreement, I have reviewed the Agreement and understand the provisions in the Agreement regarding the role of the Grantee for this Project.

Principal Investigator


(Ana Charamelo)

Date

12/9/2020

Financial Information

All fields are required, including EIN/TIN

PI Name: ANA CHARAMELO
Institution Name: FUNDACION MANUEL PEREZ, FACULTAD DE MEDICINA, UNIVERSIDAD
DE LA REPUBLICA
Grant ID: SG-21-815076-LatAm FINGERS
Institution EIN: 98-1168245

Financial Contact

Name: GABRIELA GONZALEZ
Title: SECRETARIA EJECUTIVA
Institution: FUNDACION MANUEL PEREZ, FACULTAD DE MEDICINA,
UNIVERSIDAD DE LA REPUBLICA
Address: AVE. GENERAL FLORES 2125
Address:
City, State, Zip: MONTEVIDEO, MONTEVIDEO, 11800
Phone: (598) 2924 0395
Fax:
E-mail: FUMPEREZ@GMAIL.COM

Bank Information

Bank Name: BANCO DE LA REPUBLICA ORIENTAL DE URUGUAY
Bank Address: AVE. GENERAL FLORES 2551
Bank ABA Routing: 026003324
Account Name: FUNDACION MANUEL PEREZ
Account Number: 001564453-00006
Swift Code: BROUUYMM
IBAN Number:
Special Instructions:

CONDITIONS OF AWARD

HUMAN RESEARCH SUBJECTS PROTECTIONS

The institution that receives a grant from the Alzheimer's Association is accountable and has the primary responsibility for protecting the rights and welfare of individual human subjects who consent to participate in investigations supported by these funds, including protected personal health information. Investigators may consult the Public Health Service Grants Policy Statement, or Section 474(a) of the Public Health Service Act, implemented by 45 CFR Part 46 or The Office of Protection from Research Risks, National Institutes of Health, Bethesda, Maryland 20892 for additional guidance on the necessary safeguards for human research subjects. Investigators may consult the Health Insurance Portability and Accountability Act of 1996 (HIPAA), implemented by 45 CFR 164.501 or the website of the U.S. Department of Health and Human Services (hhs.gov) for additional guidance on necessary safeguards for protected personal health information.

Certification of Institutional Review Board (IRB) review and approval is not required at the time of submission of an application. Documentation is required at the time of award of the grant and on the anniversary date of the award (in conjunction with scientific and financial reporting). No more than 10% of overall budget may be back-charged for costs incurred prior to obtaining IRB approvals. Payment to begin work will not be issued without IRB approval.

ALLOWABLE COSTS AND OWNERSHIP OF EQUIPMENT

Allowable costs are specified in the Program Announcement for each research mechanism. It is required that most of the funds awarded be used for the direct support of the research project in general, allowable costs include, but are not limited to:

- purchase and care of laboratory animals;
- small pieces of laboratory or clinical research equipment;
- special use computer hardware and software for neuropsychological or imaging studies;
- laboratory or clinical supplies;
- salary for the Principal Investigator;
- salary for scientific staff (including post-doctoral fellows and graduate students) and technical staff (including laboratory technicians and modest secretarial support);
- open access publication fees for journal articles related to the funded research project;
- membership to ISTAART, the professional society of the Alzheimer's Association; and
- support for travel -- a total of \$5,000 over a two-three year period not to exceed \$2,500 per year (if you request the full \$2,500 for 2 years and are requesting a 3 year award you will not be able to request travel funds for one of those years). Please note that the AARG/AARG-D awardees are required to participate at least once during the award period in the Alzheimer's Association International Conference (AAIC); travel funds may be allocated to support registration and travel.

Costs not allowed include:

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- computer hardware and software for general office/word processing use;
- tuition costs for students;
- construction costs or renovation costs;
- rent costs; and
- currency conversion costs for International Awards.

Title for any approved equipment purchased by the organization with Alzheimer's Association grant funds belongs to the grantee organization.

AACSF/D and AARF/D awards include stipends that **are not to be included** in the billable amount of the grant that is dedicated to research and associated costs.

IMPORTANT NOTE: The Alzheimer's Association reserves the right to disallow any expenditure(s) that are deemed unacceptable costs.

INDIRECT COSTS

Only 10% indirects are allowed to be included in this project budget; this is inclusive of any subcontracting indirects.

ALZHEIMER'S ASSOCIATION INTELLECTUAL PROPERTY POLICY (INCLUDING DISTRIBUTION OF INCOME)

The Alzheimer's Association details the required distribution of net income derived from intellectual property arising from research that was funded in part or in whole by an Alzheimer's Association grant in the attached Intellectual Property Policy.

AWARDEE VOLUNTEER ACTIVITIES

The Alzheimer's Association depends on volunteers to support the scientific enterprise, including the International Research Grant Program. The Association assumes you will want to repay those volunteers by: remaining an active reviewer in our system; connecting to the Alzheimer's Association in your community (as applicable); and by responding to the Association's requests to engage in additional outreach.

DIVERSE AND INCLUSIVE RECRUITMENT FOR CLINICAL STUDIES

Research projects funded by the Alzheimer's Association involving human subjects must address the appropriate inclusion or exclusion of individuals in the proposed research project. The Alzheimer's Association expects that recruitment efforts aim to represent the community in which the study is planned or being conducted in. Prior to distribution of funding (most likely having occurred during the application stage), the researcher must provide a description of their recruitment plan, including an outline describing how their recruitment efforts will ensure diversity in their participants. Recruitment efforts should focus on diversity within key target groups, including a diverse representation of (but not limited to): sex, gender identity, sexual orientation, socioeconomic status, race, and ethnicity. The recruitment plan must provide a rationale for selecting the specific population justified in the context of the scientific question being proposed. If individuals from these key groups will be excluded,

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the researcher must provide an acceptable justification for the exclusion. Recruitment efforts will be tracked throughout the course of the grant and failure to track and report these efforts or failure to meet recruitment goals may impact subsequent payments. The Alzheimer's Association must be immediately notified to any changes to an approved recruitment plan for review and approval.

PROGRESS UPDATES

For this strategic grant, the Alzheimer's Association requires a teleconference update with an accompanying written report at the 6 month mark. Alzheimer's Association staff will schedule the teleconference update. At the 12 month mark, the Alzheimer's Association requires that a scientific report and a financial report be completed using the template documents provided in ProposalCENTRAL. If the award is renewed in subsequent years, the same requirements are needed for progress updates and will occur bi-annually (18, 24, 30, 36, 42, 48 and 54 months).

FINAL SCIENTIFIC AND FINANCIAL REPORTS

Investigators are required to submit final scientific and financial reports on all research grants funded by the Alzheimer's Association. All final financial reports must be signed by the responsible business official for the institution. Final scientific and financial reports must be submitted **ELECTRONICALLY** within 90 days of the end of the award. Paper submissions will **NOT** be accepted. In some cases a hard copy of the financial report may be requested due to legibility. The Alzheimer's Association reserves the right to ask for additional information pertaining to details included in these reports.

To download templates for the required reports, and to submit your annual reports; go to the same location that you used previously to submit your application:

<https://ProposalCentral.com/login.asp>

A tutorial for the submission of annual reports as well as other capabilities of the online system for grantees is available at the login page. Scroll down to the tutorial called "Grantee Instructions to access award information" or use the following link in your web browser to download the tutorial directly:

https://proposalcentral.com/docs/Instructions_Award_Info.pdf?version=2017.10.0.619

Follow the instructions in the tutorial to download the REQUIRED scientific progress report and financial report forms to be used for the submission of your annual reports and to attach the completed documents prior to the deadlines listed in your award.

IMPORTANT NOTE: Final Progress Reports must be submitted by the requested due date. Delinquent reports will prevent future submission of the Letter of Intent (LOI) for consideration of possible funding.

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ANNUAL MENTOR EVALUATION

Mentoring grants (AACSF, AACSF-D, AARF, AARF-D) requires the mentor to provide annual evaluations of the applicants progress towards benchmarks for the duration of the award.

REQUIRED benchmarks:

- Attendance at an Association-sponsored event for new investigators at the Alzheimer's Association's International Conference (AAIC)
- Acceptance of an abstract at AAIC
- Mandatory documentation of hours spent on face-to-face mentoring
- Citation of specific exercises of mentorship such as supervision of manuscript writing and submission or grant writing and submission
- Supervision of grant application reviews (not limited to the Alzheimer's Association review process but reviewing for other granting mechanisms are encouraged if possible; Alzheimer's Association staff will coordinate supervised reviews for the Association)
- Specific instances of the facilitation of networking, introductions to colleagues and/or inclusion in discussions at scientific meetings
- Submission of funding proposal(s) to other funding agencies, including Alzheimer's Association, National Institutes of Health or National Science Foundation, Medical Research Council (UK), Canadian Institutes of Health Research, etc.

SUGGESTED benchmark (not required)

- Submission of application the National Institute on Aging's Butler-Williams Scholars Program (formerly the Summer Institute on Aging Research) or submission to another training program.

DATA SHARING

The Alzheimer's Association is committed to data sharing for Alzheimer's Association International Research Grant Program grantees. Data sharing is a necessary means to advance Alzheimer research results into systemic knowledge, usable products, and research procedures, leading to the overall improvement of human health.

For this SG-21-815076-LatAm FINGERS – Uruguay grant, the Alzheimer's Association requires that the data be shared with the Global Alzheimer's Association Interactive Network (GAAIN). Data must be shared with GAAIN within 12 months of recruitment close. Failure to share data in a timely manner may result in termination of the Award and ineligibility for future Alzheimer's Association funding.

The Alzheimer's Association requires the timely release and the sharing of final research data and other research resources generated from Alzheimer's Association funded research studies be shared and administered in accordance with this policy. Examples included in the "final research data" are the data, samples, physical conditions and other supporting materials created or gathered during the course of the work.

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For clinical data, the rights and privacy of people who participate in Alzheimer's Association – sponsored research must be protected at all times. When applicable, data collected during these studies and shared for broader use should be free of identifiers and variables related to individual subjects.

The Alzheimer's Association provides the Global Alzheimer's Association Interactive Network (GAAIN) as a resource to link all data generated as a result of this funding (see below for exemption) to be available for sharing. GAAIN – located at gaain.org – is a cloud-based, grid network infrastructure spanning centralized computational facilities in North America and Europe. The Alzheimer's Association recognizes there may be difficulties, limitations or other potential complications regarding an individual's or an institution's ability to comply with the Alzheimer's Association's data sharing policy as a result of institutional policies; local, state and federal laws and regulations, including the Privacy Rule; or local IRB regulations. When data sharing may be limited, applicants must explain such limitations to the Alzheimer's Association at the time of application for grants.

For non-clinical (i.e. animal related studies testing/ evaluating potential therapeutics in these models), the Alzheimer's Association expects researchers to submit their data within 12 months of the conclusion of their project to the AlzPED database, hosted by the National Institute on Aging/NIH. To submit data through AlzPED, awardees are expected to establish an account at <https://alzped.nia.nih.gov/node/add/alzped-study> and provide documentation of their data being submitted to the appropriate tool. AlzPED provides transgenic model and cross-transgenic model information across relevant translational criteria data sets such as therapeutic agents, and targets. AlzPED is designed to feature published and unpublished reports and to help identify the critical data, design elements and methodology missing from studies in order to increase transparent reporting, reproducibility and translatability of animal model efficacy testing studies. Following submission of data to AlzPED, researchers will receive a citable d.o.i (digital object identifier); investigators are expected to include the AlzPED d.o.i. in their final progress report.

In addition, awardees must identify potential impediments to data sharing with their Association contact at the time they negotiate grant agreement to accept the Alzheimer's Association grant award.

IMPORTANT NOTE: Failure to comply with the Alzheimer's Association Data Sharing Policy will result in ineligibility of the investigator for future funding from the Alzheimer's Association.

PUBLIC ACCESS POLICY

The Alzheimer's Association funds biomedical research related to Alzheimer's and related dementias. The main output of this research is new knowledge. To ensure this knowledge can be accessed, read, applied, and built upon in fulfillment of our goals, the Alzheimer's Association expects its researchers to publish their findings in peer-reviewed journals.

In addition, it is a condition of funding from the Alzheimer's Association that all peer-reviewed articles supported in whole or in part by its grants must be made available in the PubMed Central online archive in accordance with the following conditions:

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- Authors are to deposit an electronic copy of their final peer-reviewed manuscripts in PubMed Central immediately upon acceptance for journal publication.
(<http://www.healthra.org/resources/publicaccess.html>)
- The manuscript is to be made publicly available in PubMed Central no later than 12 months after the official date of journal publication. This requirement applies to all Alzheimer's Association grants awarded.

PubMed Central is a database of full-text biomedical journal articles available online without a fee. It is hosted by the National Library of Medicine in the National Institutes of Health. Once posted in PubMed Central, results of research become more accessible, prominent, and integrated within the context of other research findings, making it easier for scientists worldwide to pursue Alzheimer's and related dementia research. Equally important, families, clinicians, patients, educators, funders, and students reap the benefits of information arising from funding by accessing publications on PubMed Central at no charge.

An author must acknowledge the Alzheimer's Association's support in every article arising from such funding. The acknowledgement statement must include the applicable Alzheimer's Association grant number. This will enable the Association to link the published outputs of research to the support it has provided.

All scientific progress reports must include the PMC ID number to publications in PubMed Central supported by the Alzheimer's Association.

IMPORTANT NOTE: Failure to comply with the Alzheimer's Association Public Access Policy will result in ineligibility of the investigator for future funding from the Alzheimer's Association.

NOTIFICATION OF PUBLICATIONS

One electronic copy of manuscripts and meeting abstracts reporting research acknowledging funds from the Alzheimer's Association must be submitted **ELECTRONICALLY** at the time of publication. This copy will become part of the official file of the grant and will be provided to the Communications Division to assist in the efforts to further inform the public about the research program of the Association. These submissions must be made electronically using the same system outlined above for report submissions.

The Association will provide publicity assistance when the Principal Investigator notifies the staff prior to the release of findings in any scientific journal or major meeting presentations and will work with the Public Relations Officer of the institution to ensure coordination of efforts. Please contact the Communications Division, Media Relations Department at 312-335-5776 as early as possible in the process, for instance as soon as the manuscript is accepted for publication or presentation.

An acknowledgment of support provided by the Association must be included in any responses to or interviews with radio, television or print journalists when an Association funded grant is discussed.

ACKNOWLEDGEMENT OF FUNDING SOURCE

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An acknowledgment of support provided by the Alzheimer's Association must appear in publications of any material whether copyrighted or not, if the data is based on or developed under Association-supported grants. The following wording should be used: **This work was supported by an Alzheimer's Association Grant (SG-21-815076-LatAm FINGERS – Uruguay).**

In addition, an acknowledgement of support provided by the Alzheimer's Association must appear in presentations of any material, if the data is based on or developed under Association-supported grants. Whenever the Principal Investigator is informed of sponsorship through the generosity of a donor, the specific grant name should be used. For example, the Alzheimer's Association/Samuel A. Blank Research Grant.

RIGHT TO AUDIT

In accordance with generally accepted accounting principles, the grantee institution ("Grantee") shall maintain reasonably full and complete records of the cost and completion of services performed under this Grant Award and the Conditions of Award Agreement (together, "Agreements"). During the term of the funding agreement with the Alzheimer's Association, and for a period of two years after their termination or completion, the Alzheimer's Association reserves the right to inquire and/or audit the Grantee's records as they pertain to the performance of the Agreements at Grantee's office. Upon fifteen business days written notice from the Alzheimer's Association, Grantee agrees to make available all records for inspection or audit at its offices during normal business hours (Monday through Friday, 8 a.m. - 5 p.m. local time).

RESTRICTIONS ON FUTURE FUNDING ELIGIBILITY

As of the posting of this policy, the Alzheimer's Association will not accept new research grant applications from investigators who are delinquent in submitting interim/final scientific or interim/final financial reports on current and/or previous grants or are in conflict with the conditions put forth in this document.

This policy will be strictly adhered to, no exceptions.

REQUESTS FOR ADMINISTRATIVE ACTIONS

Submit requests for administrative actions electronically through the proposalCENTRAL online system used for Interim and Final report submissions (described above). When the request has been uploaded, please advise Emily Meyers, Associate Director, Research Projects that a request has been filed (easmeyers@alz.org).

IMPORTANT NOTE: ALL letters and reports must be submitted electronically (see instructions above in reporting requirements).

Requests for administrative actions (e.g. re-budgeting, carry-over of unexpended funds, replacement of Principal Investigator, transfer of institution, overlap, extension of award, administrative supplements) **must be submitted electronically via letter** which has been signed by the Principal Investigator of the application or grant and the responsible, bonded business

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official of the institution. Any request must be submitted 45 days prior to the desired date of action. Association staff will review draft letters for content and appropriateness prior to submission of the final signed request. The preliminary review does not indicate advance approval of the request, rather the preliminary review will ensure that all necessary information has been included.

Review and approval of requests for administrative actions is the responsibility of the staff of the Alzheimer's Association.

Re-budgeting

Requests for re-budgeting of more than 10% of the total awarded amount (direct + indirect costs) for that year **must be submitted electronically** for prior approval to the Alzheimer's Association. Requests to re-budget must be clearly explained and justified against the timely achievement of the specific aims of the grant. If possible, re-budgeting requests should be submitted with the interim/non-competing continuation report. If necessary, re-budgeting requests will be accepted mid-grant year.

Carry over of Unexpended Funds

Permission to carry forward unexpended balances into future funding periods must be approved by the Association. An unexpended balance of more than \$10,000 will be subtracted from the next payment resulting in a reduced payment. The withheld portion will be released upon receipt of an additional financial report demonstrating that the withheld portion has been spent.

Replacement of the Principal Investigator

For most programs (exceptions named below), the request to replace a Principal Investigator **must be submitted electronically (see instructions above in reporting requirements)** by the appropriate faculty member (usually the Department Chair or Dean) and countersigned by the responsible business official of the grantee institution. The letter requesting replacement of the Principal Investigator must contain a curriculum vita of the proposed replacement Principal Investigator. Approval of a replacement Principal Investigator is the responsibility of the Association and subject to review by staff; the Association reserves the right to terminate a grant if replacement Principal Investigator is not approved.

Fellowship grants in the AACSF/D and AARF/D programs are awarded to support a particular Fellow and that grant is expected to transfer with the Fellow. These fellowship grants are awarded to a specific Fellow following a thorough review of their qualifications, their mentorship plan, and the research being proposed; therefore, requests to replace the Fellow are strongly discouraged. Only in extreme circumstances will a Fellowship grant be allowed to transfer to a new PI, including the Fellow's mentor. Please note that a Fellow that transfers to an industry or other non-academic position **does not qualify as an extreme circumstance.**

For Strategic Grants (SG) and Zenith, the grantee institution may request the replacement of a Principal Investigator. The request **must be submitted electronically (see instructions above in reporting requirements)**. If the Principal Investigator of a Zenith or Strategic Grant(SG) award leaves research work for some reason, the Alzheimer's Association reserves the right to terminate

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the grant and the remaining funds minus non-cancellable obligations/fees must be returned to the Alzheimer's Association.

Transfer of Institution

The Association will review requests to transfer a grant to another institution when the Principal Investigator moves during the award period. The key points in determining if a request to transfer will be approved are (1) if the resources and technical personnel at the new institution will adequately support the research through the remaining period of the award and (2) if both institutions and the Principle Investigator are in agreement about the appropriateness of the transfer. The Alzheimer's Association reserves the right to approve the transfer or to terminate the funded grant.

For transfers requested by AACSF/D and AARF/D grant awards, these programs are made, in part, as a result of the specific investigator and to support their training. The Alzheimer's Association expects these grants to follow the investigator to their new institution as applicable.

If approved, to transfer a grant to a new institution, the following documents are required:

- A release letter from the current institution;
- An Acceptance letter from the new institution stating their new position and the resources available to support the Alzheimer's Association funded research;
- A scientific and financial report detailing accomplishments to the date of transfer;
- Transfer all unexpended funds, minus non-cancellable obligations/fees; this must be paid back to the Alzheimer's Association, who will in turn, make a payment of unexpended funds to the new institution.

The request to transfer a grant should be submitted electronically at least 60 days in advance of the planned move to ensure Association staff have adequate time to review the request and ask for and receive additional information should it be necessary. You may request a six-month extension to complete work proposed in the grant for time loss during your move to the new institution.

Overlap with other Funded Applications

Investigators must inform the Association of any overlap, or concern about possible overlap, with other non-Alzheimer's Association grants. Overlap is defined as "two or more grants by the same Principal Investigator which shares at least one specific aim"; in addition, overlap means that the budget line items for each funding mechanism are also shared. It is not necessary to provide information about applications that share specific aims with an Association grant. The concern about overlap arises only when an investigator has been notified that he/she will be awarded a grant by another organization and that application, soon to be awarded, shares specific aim(s) with a grant from the Association, has overlap of proposed resources, and/or may result in Intellectual Property that was funded in whole or in part by the Alzheimer's Association and another party.

Extension of Award

An extension of the term of a grant without funds (no-cost extension) or with funds remaining at the end of the grant period (extension with cost) may be approved **when requested electronically 45 days prior to the grant expiration**. Typically, requests range from six to twelve months

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however you are allowed a 6 month extension for each year of the award (e.g. a two year award will be eligible for 2 no-cost extensions, up to 6 months each whereas a three year award will be eligible for 3 no-cost extensions, up to 6 months each). The Principal Investigator and responsible business official must countersign the letter requesting the extension, whether the extension is with funds unexpended at the end of the grant period or at no cost. Although requests may not be made for the sole purpose of spending remaining funds, you may expend remaining funds during the no-cost extension period. The duration of the extension and the expected products/accomplishments must be detailed in the letter. An extension of term may only be requested to complete work proposed in the grants.

Absence from work

Awardees must notify the Alzheimer's Association of any absence from the funded research project longer than 60 days, planned, unplanned or due to illness. In certain extreme cases when the Awardee is unable to communicate with the Association due to illness or accident, the department chairperson and/or authorized personnel from the institution may submit the request on their behalf. The Award is subject to early termination unless the absence has been requested and authorized in advance by the Alzheimer's Association

A written request should be submitted to Alzheimer's Association indicating the dates of the leave, the reasons for the request and the Principal Investigator's intention to resume their work on the funding project. The Alzheimer's Association will review the request and determine the most appropriate course of action.

Change of Names and Addresses

If an investigator moves while an application is under review by the Association, it is necessary to submit electronic notification of the new address and the date of the move by updating the PI profile in proposalCENTRAL. In some instances, great difficulty has been encountered trying to find an investigator to inform him/her of the award of a grant.

If the business official responsible for the grant or application at the institution is changed, the investigator and new business official should update information electronically in the proposalCENTRAL profile as soon as possible.

Prompt online notification through proposalCENTRAL, of changes in names, titles, addresses, phone and fax numbers, email addresses will help to avoid delays in processing any actions or requests.

Other Administrative Actions

For other administrative actions not covered in this document, the investigator should submit an electronic letter detailing the request and the rationale.

IMPORTANT NOTE: ALL letters and reports must be submitted electronically (see instructions above in reporting requirements).

Responsibility for Subcontractors

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Grantee and Institution must ensure any permitted subcontractors comply with these conditions of award and are responsible for all acts and omissions of subcontractors undertaken pursuant to these conditions of award. Neither Grantee nor Institution may seek to count an indirect subcontractor cost as a direct cost hereunder.

Termination of Grant Award

The Association may terminate the remainder of any Award granted, in whole or in part, pursuant to these conditions of award but not yet paid at any time by providing at least 120 day notice prior to January 1 of the year in which such termination will be effective.

RESEARCH INTEGRITY

Research misconduct by a Grantee receiving Alzheimer Association support is contrary to the interests of Alzheimer's Association 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. The Parties hereby agree to follow, and Sponsoring Institution shall cause Grantee and Sponsor to follow, the Sponsoring Institution's policies as they relate to Research Misconduct and confirm that they are at least as rigorous as those followed by the NIH (Public Health Service Policies on Research Misconduct 42 CFR 93).

For the avoidance of doubt, the NIH defines "Research Misconduct" to mean fabrication, falsification, or plagiarism (further defined below) in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences of opinion.

- a) Fabrication: Making up data or results and recording or reporting them.
- b) Falsification: Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- c) Plagiarism: The appropriation of another person's ideas, processes, results or words without giving appropriate credit.

IMPORTANT NOTE: Upon completion of projects, the Association encourages grantees to consider submitting an article describing results to Alzheimer's & Dementia: The Journal of the Alzheimer's Association or its two companion open access journals: *Translational Research & Clinical Interventions (TRCI)* or *Diagnosis, Assessment & Disease Monitoring (DADM)*. Note, payments of open access publication fees are eligible grant expenses and not limited to these two OA journals. For submission information, visit <https://authorservices.wiley.com/author-resources/index.html>.

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INTELLECTUAL PROPERTY POLICY OF THE ALZHEIMER'S ASSOCIATION®

The primary purpose of the Alzheimer's Association (the "Association") funding scientifically meritorious research is to advance its mission to eliminate Alzheimer's disease through the advancement of research; to provide and enhance care and support for all affected; and to reduce the risk of dementia through the promotion of brain health. The Association recognizes that Intellectual Property (defined below) having public health, scientific, business, and/or commercial application or value may be made in the course of research supported by the Association. It is the desire of the Association that such Intellectual Property will be administered in such a manner that it is brought into public use at the earliest possible time. The Association recognizes that this may be best accomplished through obtaining Intellectual Property Rights (defined below) and the commercial licensing of such Intellectual Property Rights to third parties. The Association's Intellectual Property Policy as set forth herein applies to all Governed Intellectual Property Rights (defined below).

1. "Intellectual Property" means, individually and collectively, software, invention, technology, discovery, application, method, process, practice, procedure, conception, know-how, show-how, creation, idea, work, item, documentation, correspondence, manual, image, prototype, test version, sample, work flow, report, development, data, specification, design, product plan, research and development, customer list, and information of any kind, whether existing or perceived in paper, electronic, digital, pictorial, ephemeral, visual, audible, tangible or intangible form or format.
2. "Intellectual Property Rights" means each and all of the following, anywhere in the world and under any law: (i) patents (including utility, design, and other patents and utility models), patent applications (including provisionals, continuations, continuations-in-part, divisionals, reissues, re-examinations, substitutions, and extensions), invention disclosures, and foreign and international equivalents thereof, and any right of priority related thereto; (ii) copyrights, and any application for registration and any registration of any copyright; (iii) mask work rights, and any application for registration and any registration of any mask work right; (iv) personality rights, and attribution, integrity, and other moral rights; (v) rights in or arising from trade secrets, data, databases, or confidential or proprietary Intellectual Property; (vi) trademarks; (vii) all other intellectual property rights of any kind; (viii) all applications and registrations for the foregoing; and (ix) all rights, claims, and remedies related to any past, present, and/or future infringement, misappropriation, and other violation of any of the foregoing rights.
3. "Governed Intellectual Property Rights" means any Intellectual Property Rights arising from research that was funded in whole or in part by the Association, including any research performed, supervised, or subcontracted for by the grantee institution during the term of the grant using any Association funds.

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4. The grantee institution shall provide timely reports to the Medical & Scientific Relations Division of the Association providing a list of all Governed Intellectual Property Rights disclosed during that period. In no event shall the report be provided more than 60 days after the disclosure of an invention or the filing of an application for Governed Intellectual Property Rights. The list shall include sufficient information for the general nature of the Governed Intellectual Property Rights to be understood including, but not limited to, the inventors' names, a brief description of the invention/technology/work, and any application filing information. Upon the Association's request, all documentation relating to the Governed Intellectual Property Rights shall be provided to the Association. The Association shall agree to maintain the confidentiality of such documentation by executing a confidentiality agreement mutually agreed to by the grantee institution /inventor and the Association.
5. The grantee institution shall be solely responsible for the pursuit and maintenance of the Governed Intellectual Property. All expenses associated with the pursuit and maintenance of Governed Intellectual Property Rights shall be borne by the grantee institution or individual awardee including but not limited to filing fees, attorney fees, issue fees, maintenance fees, and annuities. Other than with respect to permitted indirect costs (subject to the cap on indirect costs in the conditions of award), no Association funds may be used for the pursuit or maintenance of Governed Intellectual Property Rights without prior express written permission from the Association.
6. Subject to any specific written agreements otherwise, all right, title, and interest in and to the Governed Intellectual Property Rights shall belong to the grantee institution.
7. In the event that the grantee institution decides not to pursue an application, to abandon an application, or to cease to maintain a granted right relevant to Governed Intellectual Property Rights, the grantee institution shall notify the Association of this intent in a timely manner and the Association shall have the right to assume responsibility for the pursuit or maintenance of such rights at its sole expense. In such an event the grantee institution will transfer all right, title, and interest in and to the subject Governed Intellectual Property Rights to the Association.
8. Unless expressly waived in writing Association shall be entitled to an agreed share of any revenue derived from the commercialization, monetization (direct or indirect), licensing, and sale of the Governed Intellectual Property Rights including, but not limited to any profits, upfront or periodic payments, milestone payments, and royalty payments ("Revenue Share"). For clarity, funds received exclusively to provide support for on-going or future research are not subject to Revenue Share.
9. Except for those provisions outlined in clause 10, the agreed Revenue Share shall not exceed seven (7) times the Association Award. The Association shall have a superior right to Revenue Share payments over any other party that may be entitled to similar payments (i.e., the Association will receive the Revenue Share before any other party) except any

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parties whose contractual terms with the grantee institution pre-date the Association's. In the event that the grantee institution is offered a financial support arrangement that meets or exceeds the Association's Award and the preferential Revenue Share provisions of this policy threaten the likelihood that such an award will be granted, the Association agrees to negotiate in good faith with the grantee institution to identify a mutually agreeable position.

10. The grantee institution and the Association shall determine the Revenue Share by mutual agreement within 120 days after the filing of an application for Governed Intellectual Property Rights. In the event that the grantee institution fails to notify the Association of an application for Governed Intellectual Property Rights within the terms of this Policy, the grantee institution and the Association shall mutually agree to a Revenue Share within 60 days after such notice is given and the Association may be entitled to up to six (6) times the Association's Award.
11. The grantee institution shall notify the Association within 10 business days of beginning any negotiation with a third party for the license, sale, or other transfer of right, title, or interest of the Governed Intellectual Property Rights, including any joint venture arrangements in which the grantee institution is a party. Any such agreements must bind the parties to those same Revenue Share provisions agreed by the Parties under clauses 9 and 10 herein.
12. In the event that the grantee institution has not taken effective steps to bring a Governed Intellectual Property Right to practical application, either directly or through a license, within a reasonable time frame after such practical application is feasible, the grantee institution shall agree to allow the Association to assist in forwarding progress either through direct action or the identification of potential licensees.
13. If any Governed Intellectual Property is made with the joint support of the Association and any agency or department of the United States Government, the Association may defer to the patent policy of that agency or department upon written statement by the appropriate agency of government notifying the Association of its position with respect to the applicable Governed Intellectual Property.
14. If any Governed Intellectual Property is made with the joint support of the Association and some other organization, not an agency or department of the U.S. Government, that organization, the grantee institution, the inventor(s), and the Association will confer to arrive at a mutually satisfactory disposition of the Governed Intellectual Property rights.

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Address all correspondence regarding this policy to:

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Associate Director, Research Projects
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Appendix A

LatAm FINGERS Milestones

1. Payment 1 (Year 1, Period 1)
Payment to be released when the following conditions are met:
 - Receipt of signed award documentation and ethical approvals from the individual sites.
 - Availability of all the centers to start with virtual personnel training via Zoom.
2. Payment 2 (Year 1, Period 2)
Payment will be released when the following conditions are met:
 - Country quarantine policy should be regulated to allow the following:
 - Gatherings of a minimum of 10 people allowed in every center.
 - Clinical trial authorization
 - Public transportation availability
 - Conditions each site should reach:
 - Adherence to the post-COVID19 LatAm FINGERS protocol (that will be designed during startup).
 - Agreements with gyms should be settled with a post-COVID19 modality.
 - Meeting of the following criteria for the overall LatAm FINGERS study:
 - 30-50% of Recruitment Objectives have been met .
 - 20-30% of Randomization Objectives have been met.
 - >10% of participants have started intervention (Intervention Objective)
 - 20-30% of Baseline outcomes assessments have been met.
3. Payment 3 (Year 2, Period 1)
Payment will be released when the following criteria are met in the overall LatAm FINGERS study:
 - >90% of Recruitment Objectives have been met.
 - >90% of Randomization Objectives have been met.
 - >90% of Intervention Objectives have been met.
 - >90% of Baseline Outcomes Assessments have been met.
 - 20-30% of 6 Month Outcome Assessments have been met.
4. Payment 4 (Year 2, Period 2)
Payment will be released when the following criteria have been met in the overall LatAm FINGERS study:
 - >90% of 6 Month Outcome Assessments have been met.
 - 20-30% of 12 Month Outcome Assessments have been met.

Appendix B

LatAm FINGERS Milestones

1. Payment 1 (Year 1, Period 1)

Payment to be released when the following conditions are met:

- Receipt of signed award documentation and ethical approvals from the individual sites.
- Availability of all the centers to start with virtual personnel training via Zoom.

2. Payment 2 (Year 1, Period 2)

Payment will be released when the following conditions are met:

- Country quarantine policy should be regulated to allow the following:
 - Gatherings of a minimum of 10 people allowed in every center.
 - Clinical trial authorization
 - Public transportation availability
- Conditions each site should reach:
 - Adherence to the post-COVID19 LatAm FINGERS protocol (that will be designed during startup).
 - Agreements with gyms should be settled with a post-COVID19 modality.
- Meeting of the following criteria for the overall LatAm FINGERS study:
 - 30-50% of Recruitment Objectives have been met .
 - 20-30% of Randomization Objectives have been met.
 - >10% of participants have started intervention (Intervention Objective)
 - 20-30% of Baseline outcomes assessments have been met.

3. Payment 3 (Year 2, Period 1)

Payment will be released when the following criteria are met at the LatAm FINGERS site:

- >90% of Recruitment Objectives have been met.
- >90% of Randomization Objectives have been met.
- >90% of Intervention Objectives have been met.
- >90% of Baseline Outcomes Assessments have been met.
- 20-30% of 6 Month Outcome Assessments have been met.

4. Payment 4 (Year 2, Period 2)

Payment will be released when the following criteria are met at the LatAm FINGERS site:

- >90% of 6 Month Outcome Assessments have been met.
- 20-30% of 12 Month Outcome Assessments have been met.

5. Payment 5 (Year 3, Period 1)

Payment will be released when the following criteria are met at the LatAm FINGERS site:

- 25% of the 12 months' outcomes have been met.
- 25% of the participants ready to start the second-year intervention.
- 80% of data entered into RedCap database.

6. Payment 6 (Year 3, Period 2)

Payment will be released when the following criteria are met at the LatAm FINGERS site:

- 40% of the 12 months' outcomes have been met.
- 20% of the 18 months' outcomes have been met.
- 50% of the participants ready to start the second-year intervention.
- 80% of data entered into RedCap database.