

**BACKGROUND INFORMATION
AND
CONFIDENTIAL CONFLICT OF INTEREST DISCLOSURE**
For Ocean Alkalinity Enhancement Best Practices Guide

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CURRENT EMPLOYER(S): _____ Planetary Technologies _____

PREAMBLE

It is essential that the development of the Best Practices Guide for Ocean Alkalinity Enhancement Research is not compromised by any significant conflict of interest. For this purpose, **the term "conflict of interest" means any financial or other interest which conflicts with the service of the individual because it (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.** Except for those situations in which a conflict of interest is unavoidable and that conflict of interest promptly and publicly disclosed, no individual can serve as author of the guide if the individual has a conflict of interest that is relevant to the functions to be performed. The term "conflict of interest" means something more than individual bias. There must be an *interest*, ordinarily financial, that could be directly affected by the work on the document.

By filling in and signing this Conflict of Interest Disclosure document, we will ensure that all information provided in the Best Practices Guide is unbiased and follows best scientific practices.

INSTRUCTIONS

Please provide the information requested below regarding **relevant** organizational affiliations, government service, public statements and positions, research support, and additional information (if any). Information is "relevant" if it is related to -- and might reasonably be of interest to others concerning -- your knowledge, experience, and personal perspectives regarding Ocean Alkalinity Enhancement and your contribution to the Ocean Alkalinity Enhancement Research Best Practices Guide.

I. ORGANIZATIONAL AFFILIATIONS. Report your relevant business relationships (as an employee, owner, officer, director, consultant, etc.) and your relevant remunerated or volunteer non-business relationships (e.g., professional organizations, trade associations, public interest or civic groups, etc.).

CTO, Planetary Technologies, Inc. Conducting OAE RD&D.

Senior Scientist, Institute of Marine Sciences, Univ. California, Santa Cruz. Researching use of added carbonate alkalinity in aquaculture.

Co-Owner and Moderator, Carbon Dioxide Removal Google Group

Advisor, OceanNETs

Reviewer for multiple journals and funding agencies

II. GOVERNMENT SERVICE. Report your relevant service (full-time or part-time) with federal, state, or local government (including elected or appointed positions, employment, advisory board memberships, military service, etc.).

None at this time.

III. RESEARCH SUPPORT. Report relevant information regarding both public and private sources of research support (other than your present employer), including sources of funding, equipment, facilities, etc.

Subcontract on DOE EERE grant. Duke University Prime Contractor.

IV. PUBLIC STATEMENTS AND POSITIONS. Provide a brief description of relevant positions of any organizations or groups with which you are closely identified or associated.

Planetary, CDR Google group, OceanNETs, etc. take positions supporting CDR and mCDR.

V. ADDITIONAL INFORMATION. If there are relevant aspects of your background or present circumstances not addressed above that might reasonably be construed by others as affecting your judgment in matters within the assigned task of the committee or panel on which you have been invited to serve, and therefore might constitute an actual or potential source of bias, please describe them briefly.

I am a paid employee and shareholder in Planetary Technologies, an OAE company that is seeking [B Corp Certification](#)

VI. FINANCIAL INTERESTS. (a) Taking into account stocks, bonds, and other financial instruments and investments including partnerships (but excluding broadly diversified mutual funds and any investment or financial interests valued at less than \$10,000), do you or, to the best of your knowledge others with whom you have substantial common financial interests, have financial investments that could be affected, either directly or by a direct effect on the business enterprise or activities underlying the investments, by the best practices guide?

No, considering the best practices will not be legally binding. No one will be forced to comply with the practices so there will be no real or perceived advantage gained by

participating in formulating them. May I also suggest that whatever best practices are generated at this time, there is a good chance they will need to be modified in the future, considering OAE has never been practiced at scale. This will not be the final word on OAE best practices, but perhaps a working document from which true best practices will emerge over time as OAE is “practiced”(?)

(b) Taking into account real estate and other tangible property interests, as well as intellectual property (patents, copyrights, etc.) interests, do you or, to the best of your knowledge others with whom you have substantial common financial interests, have property interests that could be directly affected by the best practices guide?

No, see response above.

(c) Could your employment or self-employment (or the employment or self-employment of your spouse), or the financial interests of your employer or clients (or the financial interests of your spouse's employer or clients) be directly affected by the best practices guide?

No.

(d) Taking into account research funding and other research support (e.g., equipment, facilities, industry partnerships, research assistants and other research personnel, etc.), could your current research funding and support (or that of your close research colleagues and collaborators) be directly affected by the best practices guide?

No.

(e) Could your service on the author committee of the best practices guide create a specific financial or commercial competitive advantage for you or others with whom you have substantial common financial interests?

Not that I’m aware of.

If the answer to all of the above questions under FINANCIAL INTERESTS is either "no" or "not applicable," check here X (NO).

If the answer to any of the above questions under FINANCIAL INTERESTS is "yes," check here (YES), and briefly describe the circumstances below.

Date & signature

A handwritten signature in black ink, appearing to read "Aug AD", with a long horizontal stroke extending to the right.

Jan. 16, 2023