

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

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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.).

- Member: AGU Advisory Board, Ethical Framework for Climate Intervention Research
- Chapter Author: Aspen Institute Code of Conduct for Ocean-Based Carbon Dioxide Removal Projects
- Member: UN GESAMP Working Group 41 on Ocean Interventions for Climate Mitigation
- Researcher: German Federal Ministry of Education and Research-funded Research Mission ‘CDRmare’

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.).

- The SWP as a whole is funded by a grant approved by the German Bundestag under the budget of the Federal Chancellery (Kap. 0410 Tit. 685 11).

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.

- My research is supported by the German Federal Ministry of Education and Research (BMBF grant number 03F0898E)

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.

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.

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?

(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?

(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?

(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?

(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?

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

22.05.2023

A handwritten signature in black ink, consisting of a stylized, cursive 'S' or 'B' shape with a long, sweeping tail.