

The American Association of Immunologists

Conflict of Interest Policy

The leadership of The American Association of Immunologists, Inc. (“AAI”) understands the importance of serving AAI to the best of its ability and with the highest degree of undivided duty, loyalty, and care. Accordingly, the AAI Council (“Council”) adopts the following Conflict of Interest (“COI”) Policy (“Policy”) for all officers, members of Council¹, senior staff², chairs of the Awards Committee, Finance Committee, Nominating Committee, Program Committee, Committee on Public Affairs, and Publications Committee, and any other chair the Council so designates (hereinafter “AAI representatives”):

All AAI representatives shall avoid any COI between their own individual interests and the interests of AAI. For purposes of this Policy, COI includes actual, apparent, and potential COIs.

- *“Actual” COIs are those which present a situation in which the interests of AAI are unavoidably compromised.*
- *“Apparent” COIs arise in circumstances whereby a third party with knowledge of the relevant facts could reasonably believe that a COI may exist.*
- *“Potential” COIs are those that are foreseeable but which have not yet occurred.*

All AAI representatives have a duty to disclose any relationship which could reasonably be construed as a COI to the Council.³ The Council, excluding any affected Council member(s)⁴, shall be the final arbiter of all COIs and shall decide the course of action for each AAI representative so affected.⁵

¹ Members of the Council include *ex officio* members: the AAI Executive Director (“Executive Director”), the Editor-in-Chief of *The Journal of Immunology*, and the chairs of the Publications and Program Committees.

² “Senior staff” includes all Directors and any other staff so designated by the Executive Director.

³ AAI representatives must disclose to the Council within 30 days of receipt of this Policy, and report annually, using the attached form,

1. any actual, apparent, or potential COI, and
2. if they or a member of their immediate family
 - a. have a financial interest (by way of ownership, employment, consulting, or otherwise); or
 - b. serve as a director, partner, trustee, officer, volunteer or in any other capacity with any organization, professional association, foundation, business, government advisory committee, or other entity that
 - i. does business or might do business with AAI;
 - ii. has a mission similar to that of AAI, or
 - iii. advocates on issues of importance to AAI or in which AAI might reasonably be expected to have an interest.

AAI shall retain these disclosure statements as part of the records of the AAI for three (3) years after the conclusion of service of the representative.

⁴ Affected Council members shall not be included for purposes of determining a quorum.

⁵ Council may take reasonable action to address COIs and to remedy violations (i.e., non-disclosure) of this Policy, including but not limited to: (1) requiring recusal; (2) voiding any transaction in which a COI was present; (3) requiring the individual to make AAI whole for any damages; and/or (4) removing the individual from his or her position with AAI, or in the case of senior staff, recommending corrective action to the Executive Director.

All AAI representatives shall be advised of this COI Policy prior to election, appointment, or employment, and shall complete the AAI Acknowledgment and Disclosure Statement within 30 days of election, appointment, or employment.

To assist AAI representatives in complying with this Policy, the Council adopts the following practices:

1. Members of Council shall not
 - a. exercise authority as members of Council except when acting in Council meetings or as delegated by the Council;
 - b. serve simultaneously as an officer, director, Councilor, or senior official of any other national or international immunological or biomedical research association or other professional association where it may be reasonably foreseen that such service could prevent them from fulfilling their fiduciary obligations to AAI; or
 - c. serve simultaneously as an officer, director, Councilor, or senior official of any other association or organization identified by Council as having interests that are contrary to AAI's best interests or which is philosophically opposed to AAI's interests.
2. AAI representatives shall
 - a. conduct Council and/or committee matters in confidence; and
 - b. keep materials (including emails) produced by AAI representatives confidential.
3. AAI representatives shall not
 - a. impermissibly profit personally from their affiliation with AAI⁶;
 - b. favor the interests of themselves, members of their immediate family, their employer or employee; their direct supervisor, subordinate, trainee, or collaborator; or another organization(s) over the interests of, or bring their interests into conflict or competition with, the interests of AAI;
 - c. accept personal favors or gifts (other than those given in the ordinary course of business) from anyone who does business with, seeks to do business with, or seeks to influence, AAI;
 - d. appropriate information learned in the course of their relationship with AAI (unless publicly available) for personal gain; or
 - e. be the spouse, sibling, parent, child, direct supervisor, or direct subordinate of any other AAI representative.⁷

⁶ The compensation of the Executive Director and Editor-in-Chief shall not be considered an impermissible benefit so long as the amounts are determined by Council in a fair and reasonable manner, as provided by 26 USC §4958. The compensation of the senior staff shall not be considered an impermissible benefit so long as the amounts are set by the Executive Director and are fair and reasonable.

⁷ AAI representatives shall notify the Council immediately in the event that they become the spouse, direct supervisor, or direct subordinate of another AAI representative. In the event that such a relationship arises, the latter-elected or latter-appointed individual may be removed from office. The supervisor/subordinate prohibition does not apply to the ordinary working relationship between the Executive Director and senior staff (who may not be related to the Executive Director).

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ACKNOWLEDGMENT AND DISCLOSURE STATEMENT

This statement is made pursuant to the Conflict of Interest ("COI") Policy ("Policy") of The American Association of Immunologists, Inc. ("AAI") (attached):

I acknowledge that I have received and read the AAI COI Policy. By my signature below, I certify that:

- a. I agree to abide by the AAI COI Policy;
b. I understand that I must inform the AAI Executive Director annually in writing of any change of circumstances relating to this Policy*;
c. I have listed all my relationships as defined below**; and
d. I have listed all members of my immediate family and their relationships as defined below**.

Table with 3 columns: Organization, Relationship**, Type of Financial Interest. Multiple empty rows for data entry.

(USE SECOND SHEET AS NECESSARY)

* The AAI Executive Director shall report to the AAI President.

** Relationships shall include, but not limited to: 1) employment (full or part-time); 2) ownership or partnership; 3) consulting fees or other remuneration; 4) research grants; 5) stock options or bond holdings in a for-profit or self-directed pension plan; 6) receipt of royalties; and 7) service as a director, partner, trustee, officer, volunteer or in any other capacity with any organization, professional association, foundation, business, government advisory committee, or other entity that does business or might do business with AAI, has a mission similar to that of AAI, advocates on issues of importance to AAI or in which AAI might reasonably be expected to have an interest.

I CERTIFY THAT THE ABOVE IS TRUE AND COMPLETE:

Signature

Date

Name (Printed)

Title or Position with AAI