ICMJE Form for Disclosure of Potential Conflicts of Interest

Instructions

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Section 1. Identifying Information

1. Given Name (First Name)  
Shay  
2. Surname (Last Name)  
Bess  
3. Date  
23-March-2017  
4. Are you the corresponding author?  
☐ Yes  ☑ No  
Corresponding Author’s Name  
Peter G. Passias  
5. Manuscript Title  
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6. Manuscript Identifying Number (if you know it)  

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Section 4. Intellectual Property -- Patents & Copyrights

Do you have any patents, whether planned, pending or issued, broadly relevant to the work?  Yes ☐  No ☑

If yes, please fill out the appropriate information below. If you have more than one entity press the “ADD” button to add a row. Excess rows can be removed by pressing the “X” button.

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Section 5. Relationships not covered above

Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

☐ Yes, the following relationships/conditions/circumstances are present (explain below):

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Section 6. Disclosure Statement

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Dr. Bess reports personal fees from Allosource, grants and personal fees from K2 Medical, grants from Medtronic, grants from Stryker Spine, grants from Biomet, grants from NuVasive, grants from Innovasis, outside the submitted work; In addition, Dr. Bess has a patent K2 Medical with royalties paid, and a patent Pioneer with royalties paid.
Evaluation and Feedback

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Section 1. Identifying Information

1. Given Name (First Name)  
   Thomas

2. Surname (Last Name)  
   Errico

3. Date  
   09-March-2017

4. Are you the corresponding author?  
   Yes ☐  No ☑

   Corresponding Author’s Name  
   Peter Passias

5. Manuscript Title  
   Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

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Are there any relevant conflicts of interest?  
   Yes ☐  No ☑

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Dr. Errico reports other from null, grants and personal fees from Omega, grants from AOSpine NA, non-financial support from Harms Study Group, grants from ISSGF, grants from Pfizer, grants from Medtronic, outside the submitted work.

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1. Given Name (First Name) Peter
2. Surname (Last Name) Passias
3. Date 09-March-2017
4. Are you the corresponding author? ✔ Yes  ❑ No
5. Manuscript Title Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment
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Dr. Passias reports personal fees from Zimmer Biomet, personal fees from Medicrea, personal fees from Spinewave, grants from Cervical Spine Research Society, outside the submitted work.

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   Virginie
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   Lafage
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### Section 4. Intellectual Property -- Patents & Copyrights

Do you have any patents, whether planned, pending or issued, broadly relevant to the work?  
☐ Yes  ✔️ No

### Section 5. Relationships not covered above

Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

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### Section 6. Disclosure Statement

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Dr. Lafage reports grants and personal fees from DePuy, grants and personal fees from Nuvasive, grants and personal fees from K2M, grants from SRS, grants from Stryker, personal fees from MSD, personal fees from NeMaris, outside the submitted work.

### Evaluation and Feedback

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*Royalties:* Funds are coming in to you or your institution due to your patent
ICMJE Form for Disclosure of Potential Conflicts of Interest

Section 1. Identifying Information

1. Given Name (First Name)  Jon
2. Surname (Last Name)  Lurie
3. Date  07-March-2017
4. Are you the corresponding author?  Yes  No  ✔
5. Manuscript Title
Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment
6. Manuscript Identifying Number (if you know it)

Section 2. The Work Under Consideration for Publication

Did you or your institution at any time receive payment or services from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)?
Are there any relevant conflicts of interest?  Yes  No  ✔

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Are there any relevant conflicts of interest?  Yes  No  ✔
If yes, please fill out the appropriate information below.

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<th>Name of Entity</th>
<th>Grant?</th>
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Dr. Lurie reports other from New Vert, personal fees from FzioMed, outside the submitted work.

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ICMJE Form for Disclosure of Potential Conflicts of Interest

**Section 1. Identifying Information**

1. Given Name (First Name)  
   Tamara

2. Surname (Last Name)  
   Morgan

3. Date  
   07-March-2017

4. Are you the corresponding author?  
   [ ] Yes  ✔ No

   Corresponding Author’s Name  
   Peter Passias

5. Manuscript Title  
   Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

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**Section 4. Intellectual Property -- Patents & Copyrights**

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Dr. Morgan has nothing to disclose.

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# ICMJE Form for Disclosure of Potential Conflicts of Interest

## Section 1. Identifying Information

1. Given Name (First Name)  
   Wenyan

2. Surname (Last Name)  
   Zhao

3. Date  
   07-March-2017

4. Are you the corresponding author?  
   [ ] Yes  
   [x] No

   Corresponding Author’s Name  
   Peter Passias

5. Manuscript Title  
   Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

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## Section 2. The Work Under Consideration for Publication

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Are there any relevant conflicts of interest?  
   [x] Yes  
   [ ] No

If yes, please fill out the appropriate information below. If you have more than one entity press the “ADD” button to add a row. Excess rows can be removed by pressing the “X” button.

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ICMJE Form for Disclosure of Potential Conflicts of Interest

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Dr. Zhao reports grants from NIH, during the conduct of the study; .

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ICMJE Form for Disclosure of Potential Conflicts of Interest

**Section 1. Identifying Information**

1. Given Name (First Name)  
Michael

2. Surname (Last Name)  
Gerling

3. Date  
09-March-2017

4. Are you the corresponding author?  
[ ] Yes  [ ] No

Corresponding Author’s Name  
Peter Passias

5. Manuscript Title  
Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

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Dr. Gerling has nothing to disclose.

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Section 1. Identifying Information

1. Given Name (First Name)          2. Surname (Last Name)          3. Date
Samantha                  Horn                   09-March-2017

4. Are you the corresponding author?  ☑ No
Corresponding Author’s Name
Peter Passias

5. Manuscript Title
Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

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Ms. Horn has nothing to disclose.

Evaluation and Feedback

Please visit http://www.icmje.org/cgi-bin/feedback to provide feedback on your experience with completing this form.
ICMJE Form for Disclosure of Potential Conflicts of Interest

Instructions

The purpose of this form is to provide readers of your manuscript with information about your other interests that could influence how they receive and understand your work. The form is designed to be completed electronically and stored electronically. It contains programming that allows appropriate data display. Each author should submit a separate form and is responsible for the accuracy and completeness of the submitted information. The form is in six parts.

1. **Identifying information.**

2. **The work under consideration for publication.**

   This section asks for information about the work that you have submitted for publication. The time frame for this reporting is that of the work itself, from the initial conception and planning to the present. The requested information is about resources that you received, either directly or indirectly (via your institution), to enable you to complete the work. Checking “No” means that you did the work without receiving any financial support from any third party -- that is, the work was supported by funds from the same institution that pays your salary and that institution did not receive third-party funds with which to pay you. If you or your institution received funds from a third party to support the work, such as a government granting agency, charitable foundation or commercial sponsor, check “Yes”.

3. **Relevant financial activities outside the submitted work.**

   This section asks about your financial relationships with entities in the bio-medical arena that could be perceived to influence, or that give the appearance of potentially influencing, what you wrote in the submitted work. You should disclose interactions with ANY entity that could be considered broadly relevant to the work. For example, if your article is about testing an epidermal growth factor receptor (EGFR) antagonist in lung cancer, you should report all associations with entities pursuing diagnostic or therapeutic strategies in cancer in general, not just in the area of EGFR or lung cancer.

   Report all sources of revenue paid (or promised to be paid) directly to you or your institution on your behalf over the 36 months prior to submission of the work. This should include all monies from sources with relevance to the submitted work, not just monies from the entity that sponsored the research. Please note that your interactions with the work's sponsor that are outside the submitted work should also be listed here. If there is any question, it is usually better to disclose a relationship than not to do so.

   For grants you have received for work outside the submitted work, you should disclose support ONLY from entities that could be perceived to be affected financially by the published work, such as drug companies, or foundations supported by entities that could be perceived to have a financial stake in the outcome. Public funding sources, such as government agencies, charitable foundations or academic institutions, need not be disclosed. For example, if a government agency sponsored a study in which you have been involved and drugs were provided by a pharmaceutical company, you need only list the pharmaceutical company.

4. **Intellectual Property.**

   This section asks about patents and copyrights, whether pending, issued, licensed and/or receiving royalties.

5. **Relationships not covered above.**

   Use this section to report other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work.

Definitions.

**Entity:** government agency, foundation, commercial sponsor, academic institution, etc.

**Grant:** A grant from an entity, generally (but not always) paid to your organization

**Personal Fees:** Monies paid to you for services rendered, generally honoraria, royalties, or fees for consulting, lectures, speakers bureaus, expert testimony, employment, or other affiliations

**Non-Financial Support:** Examples include drugs/equipment supplied by the entity, travel paid by the entity, writing assistance, administrative support, etc.

**Other:** Anything not covered under the previous three boxes

**Pending:** The patent has been filed but not issued

**Issued:** The patent has been issued by the agency

**Licensed:** The patent has been licensed to an entity, whether earning royalties or not

**Royalties:** Funds are coming in to you or your institution due to your patent
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Section 1. Identifying Information

1. Given Name (First Name)  Gregory
2. Surname (Last Name)  Poorman
3. Date  09-March-2017
4. Are you the corresponding author?  No

Corresponding Author's Name  Peter Passias

5. Manuscript Title
Patient Profiling Can Identify Spondylolisthesis Patients at Risk for Conversion from Nonoperative to Surgical Treatment

6. Manuscript Identifying Number (if you know it)

Section 2. The Work Under Consideration for Publication

Did you or your institution at any time receive payment or services from a third party (government, commercial, private foundation, etc.) for any aspect of the submitted work (including but not limited to grants, data monitoring board, study design, manuscript preparation, statistical analysis, etc.)?

Are there any relevant conflicts of interest?  No

Section 3. Relevant financial activities outside the submitted work.

Place a check in the appropriate boxes in the table to indicate whether you have financial relationships (regardless of amount of compensation) with entities as described in the instructions. Use one line for each entity; add as many lines as you need by clicking the “Add +” box. You should report relationships that were present during the 36 months prior to publication.

Are there any relevant conflicts of interest?  No

Section 4. Intellectual Property -- Patents & Copyrights

Do you have any patents, whether planned, pending or issued, broadly relevant to the work?  No
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Section 5. Relationships not covered above

Are there other relationships or activities that readers could perceive to have influenced, or that give the appearance of potentially influencing, what you wrote in the submitted work?

☐ Yes, the following relationships/conditions/circumstances are present (explain below):

☑ No other relationships/conditions/circumstances that present a potential conflict of interest

At the time of manuscript acceptance, journals will ask authors to confirm and, if necessary, update their disclosure statements. On occasion, journals may ask authors to disclose further information about reported relationships.

Section 6. Disclosure Statement

Based on the above disclosures, this form will automatically generate a disclosure statement, which will appear in the box below.

Mr. Poorman has nothing to disclose.

Evaluation and Feedback

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