

### 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.

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### 4. Intellectual Property.

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

## 5. Relationships not covered above.

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patent

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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



| Section 1.  | Identifying Inform  | ation                            |   |                          |  |  |
|---|---|----------------------------------|---|--------------------------|--|--|
| 1. Given Name (Fir<br>Anna  | rst Name)   | 2. Surname (<br>Gergen           | Last Name)                                  |                          | 3. Date<br>18-March-2020   |  |
| 4. Are you the corr   | responding author?  | ✓ Yes                            | No  |                          |  |  |
| 5. Manuscript Title<br>Surgical Options   | e<br>for Limited Stage Smal                                   | ll Cell Lung Ca                  | incer                                       |                          |  |  |
| 6. Manuscript Ider<br>JTD-2019-SCLC-(   | ntifying Number (if you kn<br>)4(JTD-20-914)                  | ow it)                           |   |                          |  |  |
| Section 2.  | The Work Under Co   | onsideration                     | n for Publicatio                            |                          |  |  |
| any aspect of the s<br>statistical analysis,  | titution <b>at any time</b> recei<br>ubmitted work (including | ve payment or<br>but not limited | services from a thi<br>d to grants, data mo | rd party (government, co | ommercial, private foundation, etc.) for<br>esign, manuscript preparation, |  |
| Section 3.  | Relevant financial  | activities ou                    | ıtside the subr                             | nitted 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 <b>present during the 36 months prior to publication</b> .<br>Are there any relevant conflicts of interest? Yes Yes No |   |                                  |   |                          |  |  |
| Section 4.  | Intellectual Proper   | ty Patent                        | s & Copyrights                              |                          |  |  |
| Do you have any   | patents, whether plan   | ned, pending                     | or issued, broadl                           | y 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?

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

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Dr. Gergen has nothing to disclose.

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| Section 1.  | Identifying Inform                           | ation                         |  |  |  |
|---|--|-------------------------------|--|--|--|
| 1. Given Name (Fir<br>Christopher   |  | 2. Surname (Last Nai<br>Scott | ne) 3. Date<br>19-March-2020   |  |  |
| 4. Are you the corresponding author?  |  | Yes 🖌 No                      | Corresponding Author's Name<br>Anna Houk   |  |  |
| 5. Manuscript Title<br>Surgical Options   | e<br>for Limited Stage Smal                  | ll Cell Lung Cancer           |  |  |  |
| 6. Manuscript Ider<br>JTD-2019-SCLC-0   | ntifying Number (if you kn<br>)4(JTD-20-914) | now it)                       |  |  |  |
|   |  |                               |  |  |  |
| Section 2.  | The Work Under Co                            | onsideration for P            | ublication   |  |  |
| any aspect of the s<br>statistical analysis,  | ubmitted work (including                     | but not limited to gram       | from a third party (government, commercial, private foundation, etc.) for<br>nts, data monitoring board, study design, manuscript preparation,<br>No |  |  |
| Section 3.  | Polovant financial                           | activitios outsido            | the cubmitted work   |  |  |
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| Section 4.  | Intellectual Proper                          | tv Patents & Co               | nyrights   |  |  |
|   | meneettaarrioper                             | ty-ratems a co                |  |  |  |

Do you have any patents, whether planned, pending or issued, broadly relevant to the work? 🗌 Yes 🛛 🗸 No



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| Section 1.                              | Identifying Infor                         | mation                             |                                       |                          |
|---|---|------------------------------------|---------------------------------------|--------------------------|
| 1. Given Name (Fi<br>John               | rst Name)                                 | 2. Surname (Last Name)<br>Mitchell |                                       | 3. Date<br>22-March-2020 |
| 4. Are you the cor                      | responding author?                        | Yes 🖌 No                           | Corresponding Author's N<br>Anna Houk | ame                      |
| 5. Manuscript Title<br>Surgical Options | e<br>for Limited Stage Sm                 | nall Cell Lung Cancer              |                                       |                          |
|   | ntifying Number (if you<br>04(JTD-20-914) | 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.)? 🔽 No a: .... +4

| Are there any relevant conflicts of interest? | Yes | $\checkmark$ |
|---|-----|--------------|
|   |     |              |

#### Section 3. Relevant financial activities outside the submitted work.

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| Are there any relevant connicts of interest: $ \mathbf{y} $ re | there any relevant conflicts of interest?  Yes | No |
|--|--|----|
|--|--|----|

If yes, please fill out the appropriate information below.

| Name of Entity | Grant? | Personal<br>Fees? | Non-Financial<br>Support? | Other? | Comments             |  |
|----------------|--------|-------------------|---------------------------|--------|----------------------|--|
| Medtronic      |        | $\checkmark$      |                           |        | Teaching, Consultant |  |
| Intuitive      |        | $\checkmark$      |                           |        | Teaching, Consultant |  |

| ~  |    |   |   |   |
|----|----|---|---|---|
| Se | ct | 0 | n | 4 |
| _  |    |   |   |   |

### **Intellectual Property -- Patents & Copyrights**

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



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Dr. Mitchell reports personal fees from Medtronic, personal fees from Intuitive, outside the submitted work; .

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