

Appendix A: Questionnaire for BOD/C-Suite Request

Questions about the Company:

1. What is the full legal name of the company?
2. What type of entity is it (corporation, LLC, partnership, etc.)?
3. In which jurisdiction is the company registered / formed?
4. Where is the company geographically located? Identify the location of its offices, labs, etc.
5. Describe the business aim(s) of the company (its products and services, markets served, etc.)
6. Is the company publicly traded on any securities exchange? If not, is there any intention to register the company for public trading in the next 12 months?
7. Who is the legal signator for the company?
8. Who are its current officers – names and titles?
9. Who are its current directors?
10. Are any of the officers or directors related parties to you? (related parties = spouse, domestic partner, children)
11. Please identify all investors with 5%+ interest in the company.
12. What was the valuation of the company as of its last round of financing? When was that financing? If no financing has occurred, what is the current estimate of the company's valuation?
13. Is your founder's equity based on your personal investment in the company or awarded to you for services to the company?
14. Describe any IP licensed to the company. Have you been involved in the development of this IP?
15. Does the company seek to license any additional IP from Mount Sinai? Please describe.
16. Does Mount Sinai have any ownership interest in the company?
17. Is Mount Sinai an actual or potential customer / user of the company's products or services? Is Mount Sinai an actual or potential source of referrals to the company?
18. Is there any existing or potential research relationship between Mount Sinai and the company – e.g., sponsored research or sub-award under a small business grant?

Questions about the Position:

1. What is your current position with the company?
2. What is your proposed position at the company?
3. For how long do you seek to serve in this position?
4. If officer position, please provide a description of the principal functions and duties you will be expected to perform.
5. Will you be receiving any compensation for the position?
6. What is your current equity in the company? Will you receive additional equity, including options, for serving in the position?
7. How many hours a week do you expect to spend on activities in this position?
8. To your knowledge, does any other Mount Sinai faculty member or member of Mount Sinai management hold any position at the company?