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NEWS RELEASE

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FOR RELEASE July 9, 2015

Auditor of State Mary Mosiman today released a report on a special investigation of the University of Iowa Health Care (UIHC), Department of Orthopaedics and Rehabilitation (Department), for the period July 1, 1999 through December 31, 2014. The special investigation was requested by University officials as a result of concerns Dr. Brian Adams was diverting collections from UIHC for providing services to UIHC patients and violating his contract by competing with UIHC. UIHC requires all physicians to sign a contract regarding their medical practice as an employee of UIHC. The contracts prohibit physicians from directly receiving personal payment for services performed within the scope of their employment at UIHC and from engaging in the practice of medicine outside of their employment with UIHC without prior approval of UIHC. Dr. Adams was employed by the Department from December 5, 1992 until his resignation on August 21, 2014.

Mosiman reported the special investigation identified \$1,884,168.89 of diverted collections which resulted from Dr. Adams improperly billing insurance companies and law firms for services he performed and royalties and consulting fees he received from companies for which he developed products.

The services Dr. Adams performed include services routinely provided by UIHC and the Department. Examples include seeing and evaluating patients for work related injuries, providing impairment ratings or other reports, and acting as an expert witness in legal matters involving UIHC patients. The diverted collections identified were deposited to Dr. Adams' personal bank accounts at MidWestOne Bank and to an account Dr. Adams established at Hills Bank using the

name "UIHC Orthopedics". The bank statements for the account established at Hills Bank showed the UIHC address.

The \$1,884,168.89 of diverted collections identified includes:

- \$404,875.00 for medical services provided by Dr. Adams to UIHC and non-UIHC patients which should have been deposited with UIHC in accordance with the terms of his contract and UIHC policies.
- \$426,446.98 for non-medical services, including depositions and expert witness fees related to UIHC and without disclosure and an appropriate management plan for non-UIHC patients.
- \$1,050,123.92 of consulting fees and royalties from companies he represented or for which he helped develop products.

Mosiman reported Dr. Adams declined to be interviewed as part of the investigation.

The report includes a recommendation to strengthen internal controls and overall operations by confirming with local banks any accounts which include the name of the University, UIHC, a Department name, or a variation of the University's name in the account name. The recommendations also include continuing to improve and communicate the disclosure requirements related to conflicts of interest and conflicts of commitment.

Copies of the report have been filed with the Board of Regents' Office of Internal Audit, the University's Department of Public Safety, the Division of Criminal Investigation, the Johnson County Attorney's Office, and the Attorney General's Office. A copy of the report is available for review in the Office of Auditor of State and on the Auditor of State's web site at <http://auditor.iowa.gov/specials/1361-8010-BE01.pdf>.

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**REPORT ON SPECIAL INVESTIGATION
OF THE
UNIVERSITY OF IOWA HEALTH CARE
DEPARTMENT OF ORTHOPAEDICS AND REHABILITATION

FOR THE PERIOD
JULY 1, 1999 THROUGH DECEMBER 31, 2014**

Table of Contents

	<u>Page</u>
Auditor of State's Report	3-4
Investigative Summary:	
Background Information	5-7
Detailed Findings	7-31
Recommended Control Procedures	32
Exhibits:	
	<u>Exhibit</u>
Collections for Medical Services – Confirmed by Outside Sources	A 34-45
Collections for Medical Services – Other Supporting Documentation	B 46-85
Collections for Non-Medical Services – Confirmed by Outside Sources	C 86-91
Collections for Non-Medical Services – Other Supporting Documentation	D 92-119
Certain Deposits to Account at Hills Bank	E 120-145
Certain Deposits to Account at MidWestOne Bank	F 146-151
Staff	152
Appendices:	
	<u>Appendix</u>
Workers' Compensation Flow Chart	1 155
Dr. Adams' Conflict of Interest/Commitment Disclosure	2 156-185
Dr. Adams' Contract with University of Iowa Health Care	3 186-192
Example Impairment Letters and Related Checks	4 193-198
Example Prepayment Letter and Related Check	5 199-201
Example Non-Medical Services Letter and Related Check	6 202-203
E-mail Defining Consulting Activities	7 204-205
E-mail and Copy of Agreement Deleting Reference to UIHC	8 206-224
E-mail Showing Changes to Agreement	9 225-238
Certain Checks Deposited to Hills Bank	10 239



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Auditor of State's Report

To the Members of the Board of Regents,
State of Iowa:

As a result of alleged improprieties regarding certain financial transactions and at the request of University of Iowa (University) officials, we conducted a special investigation of the University of Iowa Health Care (UIHC), Department of Orthopaedics and Rehabilitation (Department). We have applied certain tests and procedures to documents recovered from Dr. Brian Adams' home as the result of a search warrant carried out by officials of the University's Department of Public Safety. Based on a review of relevant information and discussions with University and Department personnel and officials, we performed the following procedures for the period July 1, 1999 through December 31, 2014, unless otherwise specified:

- (1) Reviewed procedures performed by staff of the Board of Regents' Office of Internal Audit to obtain an understanding of concerns identified regarding collections related to Dr. Adams.
- (2) Interviewed University and Department personnel, including physicians, legal counsel, and support staff, to obtain an understanding of how Dr. Adams, a physician for the Department, carried out his job duties.
- (3) Obtained an understanding of UIHC policies and procedures to determine under what circumstances physicians may practice outside the umbrella of UIHC and when physicians are allowed to directly receive compensation for medical and non-medical services provided and product development.
- (4) Obtained an understanding of the procedures used by UIHC to ensure billings are properly posted and collections are received and deposited timely and intact.
- (5) Obtained records from the University's Department of Public Safety, including e-mails, tax returns, correspondence, and other written documentation, which were seized from Dr. Adams' home to identify services for which he received personal payment.
- (6) Issued subpoenas to selected companies based on the information provided by the University's Department of Public Safety for the period July 1, 2005 through May 15, 2013 to identify payments the companies made to Dr. Adams.
- (7) Obtained computer images of the hard drives from Dr. Adams' personal and University computers recovered by the University's Department of Public Safety to identify any information related to billings Dr. Adams prepared or payments he received.
- (8) Reviewed e-mails recovered from Dr. Adams' UIHC e-mail account and personal gmail account to identify any information related to billings Dr. Adams prepared or payments he received.
- (9) Subpoenaed certain information from UIHC to determine if individuals for whom Dr. Adams prepared billings for services were patients of UIHC.
- (10) Obtained copies employment contracts, practice plans, conflict of interest statements, and other documents related to employment by UIHC to determine if Dr. Adams and other physicians were allowed to retain compensation received from various activities.


- (11) Obtained and reviewed Dr. Adams' payroll information to identify additional compensation, such as bonuses, technology allowances, and other provisions to identify any unusual or unexpected payments.
- (12) Obtained and reviewed personal bank accounts held by Dr. Adams to determine the source of certain deposits and the disposition of funds from the account.

The procedures identified \$1,884,168.89 of diverted collections which resulted from Dr. Adams receiving personal payments for medical and non-medical services he provided to patients and for product development. The diverted collections were deposited to Dr. Adams' personal bank accounts. The detailed findings and recommendations are presented in the Investigative Summary and **Exhibits A** through **F** of this report.


The procedures described above do not constitute an audit of financial statements conducted in accordance with U.S. generally accepted auditing standards. Had we performed additional procedures or had we performed a review of the entire Department of Orthopaedics and Rehabilitation, other matters might have come to our attention which would have been reported to you.

Copies of this report have been filed with the Board of Regents' Office of Internal Audit, the University of Iowa Department of Public Safety, the Division of Criminal Investigation, the Johnson County Attorney's Office, and the Attorney General's Office.

We would like to acknowledge the assistance and many courtesies extended to us by the officials and personnel of the University's Department of Public Safety, the Board of Regents' Office of Internal Audit, the University of Iowa, University of Iowa Health Care, and the Department of Orthopaedics and Rehabilitation during the course of our investigation.


MARY MOSIMAN, CPA
Auditor of State

May 15, 2015


WARREN G. JENKINS, CPA
Chief Deputy Auditor of State

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation
Investigative Summary

Background Information

The University of Iowa Health Care (UIHC) is a comprehensive academic medical and regional referral center comprised of the University of Iowa Hospitals and Clinics, Carver College of Medicine, and University of Iowa Physicians (sometimes referred to as the “faculty practice plan” or “faculty private practice plan”). UIHC is part of the State University of Iowa (UI), which is owned and operated by the State of Iowa and under the supervision of the Board of Regents.

Strategic and fiscal leadership is provided by a senior management team which includes UI Hospitals and Clinics, Carver College of Medicine, and UI Physicians leaders and is led by the Vice President for Medical Affairs. Day-to-day operational decisions are made by the senior leaders for their areas of responsibility. In addition, some previously separate functions of the College and Hospital are now integrated and provide service and support for the entire organization. These include: information technology, finance, human resources, legal, marketing and communications, and strategic planning and business development.

UIHC provides the resources necessary for staff to carry out their job responsibilities. UI physicians are covered for purposes of professional liability insurance by Chapter 669, “State Tort Claims”, of the *Code of Iowa* and a 28E Agreement with the State of Iowa. Physicians are required to maintain their own separate professional liability insurance or other forms of necessary insurance for any pre-approved services a physician provides which are not a part of their responsibilities to UIHC.

During fiscal year 2014, UIHC employed 1,593 physicians, residents and fellows and 8,139 non-physician employees, including 1,896 professional nurses.

Department of Orthopaedics and Rehabilitation - The Department of Orthopaedics and Rehabilitation (Department) is one of many departments operated by UIHC. According to the UIHC website, the Department provides “the most complete bone and joint health services in Iowa.” The website also states physicians from across the Midwest refer patients to UIHC because of “our comprehensive array of services, our multidisciplinary approach and our state-of-the-art facilities.”

The Department has several locations, including the Ponseti Biochemistry and Cell Biology Laboratory (Med Labs), Bone Healing Research Laboratory (Oakdale), Orthopaedic Biomechanics Laboratory (Westlawn), U of I Sports Medicine Center, John Pappajohn Pavilion, and U of I Spine Center. According to a Department representative, the Department included 33 physicians, 4 fellows, 30 residents, 1 registered nurse, and approximately 122 support staff at July 1, 2014.

Referral Process - According to Department staff, appointments for treatment by the Department are established for patients in the following ways:

- A patient may contact the physician or Department directly and request an appointment. These appointments are arranged by the physician’s executive assistant or Department administrative personnel.
- A patient may be seen in another UIHC department and referred to the Department for further treatment. These appointments are arranged by Department administrative personnel.

- A patient may be referred from another hospital or physician. These appointments are arranged by Department administrative personnel.
- A patient may return for follow-up care. Follow-up appointments can be made with the treating physician's assistant or Department administrative personnel.
- Case managers may arrange for appointments for individuals who need treatment for work-related injuries. For these injuries, individuals will typically notify their employer of the incident and seek medical treatment. After the employer notifies its insurance company regarding the worker's compensation claim, a case manager may be assigned to the claim to assist the individual if further treatment is required. **Appendix 1** provides a flowchart showing how a patient is referred by a worker's compensation insurance company to UIHC for a work related injury.

In addition to scheduling appointments with the Department, physicians or the physician's executive assistant may be contacted directly by another medical facility, an employer seeking treatment for an employee, or the patient. These contacts may be a result of a prior working relationship with the contacting party, research done regarding a specific type of injury, or a referral from a friend or physician or other provider.

Work Injury Recovery Center – Because of the number of patients receiving treatment as a result of worker's compensation coverage, the Work Injury Recovery Center (WIRC) was established in January 2010 as part of the Department. The WIRC provides orthopaedic services related to work-related injuries and conditions. According to the WIRC website, the WIRC "brings together our strengths in orthopaedic treatment, research and rehabilitation to focus on each patient's unique needs. In complex cases, a multi-disciplinary panel of orthopaedics specialists reviews the case, makes treatment recommendations and generates a report, all in a timely and coordinate fashion."

Hospitals and clinics, businesses, insurance companies, and law firms make referrals for worker compensation claims to the Department, including the WIRC. Upon a patient being referred to the Department, including the WIRC, for an orthopaedic related injury, physicians or clinics within UIHC handle communications and billing regarding impairment ratings, record reviews, and second opinions regarding work-related injuries using the same process as used for any Department patient. **Appendix 1** provides a flowchart of how a patient is referred to the UIHC for a work related injury.

UIHC bills various hospitals and clinics, businesses, insurance companies, and law firms for services regarding workers' compensation claims.

Billings for Services – Once a patient is seen by a physician, the physician completes their notes, which include what the patient was seen for, the results of the examination, and the procedures/services performed. The information is then coded by their executive secretary or a "medical coder" who translates the services provided into a billing code. The billing code is recorded in the UIHC computer system which generates the bill(s).

The system usually generates a bill for the insurance company and a copy for the patient. The bills show what portion is covered by insurance and the patient's share of the bill (co-pay). If the co-pay is required at the time of service, the system will show the amount to be paid when the patient checks out of the hospital. Co-payments can be made by cash, check, debit card, or credit card. When the payment is received, a receipt is prepared and issued to the patient. Checks are immediately endorsed with a restrictive endorsement. Cash and checks are delivered to the Joint Office of Patient Financial Services and deposited consistent with the University's cash handling policies and procedures.

The bills sent to the insurance companies and patients direct them to send payments to a lock box in Des Moines where the payment is processed and deposited into the UIHC account. Payments collected at the hospital are to be restrictively endorsed and sent to the Joint Office of Patient Financial Services to be deposited consistent with the University's cash handling policies and procedures.

Notification of Department and Review by Office of Internal Audit – On February 6, 2013, a call was received on the UIHC compliance helpline. The caller alleged Dr. Adams was referring patients from record reviews to his own clinic.

As a result of the concerns identified by the caller, Department officials requested the Board of Regents' Office of Internal Audit (Internal Audit) perform a review. Internal Audit subsequently undertook an audit of Relative Value Units (RVU) in the Department. During the review, Internal Audit identified a decline in Dr. Adams' RVUs and found records indicating Dr. Adams had seen patients, issued reports, and received payment from insurance companies for the services he provided which were not billed through the UIHC billing process. When Internal Audit followed up on the instances identified, they identified documents which showed payments which should have been deposited with UIHC were received by Dr. Adams instead. The payments were not recorded in the UIHC System. Internal Audit identified a total of \$6,775.00 in undeposited collections.

As part of its procedures, Internal Audit staff interviewed Dr. Adams regarding the payments identified. The interview notes from Internal Audit document Dr. Adams stated, "he wrote each of the letters and that he had seen each of the patients in clinic". The notations also document Dr. Adams stated during the interview Paul Etre, former Department Administrator (Director, Clinical Functions), approved this practice. However, Dr. Adams told Internal Audit staff he had no written authorization. Dr. Adams also stated "I'll be happy to pay it all back".

As a result of the procedures performed by Internal Audit staff, the Director of Internal Audit requested the Office of Auditor of State review the concerns identified during the Internal Audit review. We performed the procedures detailed in the Auditor of State's report for the period July 1, 1999 through December 31, 2014.

Detailed Findings

The procedures identified \$1,884,168.89 of diverted collections which resulted from Dr. Adams receiving personal payments for medical and non-medical services he provided to patients and for product development. **Table 1** summarizes the diverted collections identified by category.

Table 1		
Description		Amount
Medical services	Table 2	\$ 404,875.00
Non-medical services	Table 5	426,446.98
Product development	Table 8	1,050,123.92
Interest	Page 30	2,722.99
Total diverted collections		<u>\$ 1,884,168.89</u>

We were able to determine a significant portion of the diverted collections identified were deposited to bank accounts held by Dr. Adams at Hills Bank and MidWestOne Bank.

The account Dr. Adams established at Hills Bank included "UIHC Orthopedics" in the account name. The UIHC Orthopedics account was established in February 2008 and the account balance was moved to a new account at the same bank in February 2009. The name and address of the account appeared as follows on the monthly statements:

Brian D. Adams
UIHC Orthopedics
200 Hawkins Dr.
Iowa City, IA 52242

The address shown on the bank statements is that of UIHC. However, according to information provided by the bank, the statements were sent to Dr. Adams' home address rather than the UIHC address shown on the bank statement.

Of the diverted collections identified, we determined \$537,531.88 was deposited to the Hills Bank account between February 9, 2008 and December 31, 2014. An additional \$73,640.01 was deposited to the Hills Bank account during this period; however, the bank was not able to provide supporting documentation for these deposits. Because we determined approximately 88% of the deposits made to the account between February 1, 2008 and December 31, 2014 were from diverted collections, it is likely most of the \$73,640.01 was also from diverted collections.

Using records obtained from MidWestOne Bank, we determined Dr. Adams had a number of personal accounts at the bank. By reviewing the deposits to the accounts he held, we determined some accounts included only deposits of small amounts or electronic deposits which appeared personal in nature, such as Dr. Adams' payroll checks. However, we identified a number of non-electronic deposits which individually exceeded \$1,000.00 in an account Dr. Adams held at MidWestOne Bank. Based on the amounts and frequency of the deposits, we requested supporting documentation for certain non-electronic deposits to the account. The non-electronic deposits to the account for the period September 1, 2009 through December 31, 2014 for which supporting documentation was obtained total \$1,125,283.74. Of this amount, we determined \$1,023,763.21, or 91%, were diverted collections.

While we were able to determine a significant portion of the deposits to personal bank accounts held by Dr. Adams at MidWestOne Bank and the account at Hills Bank were diverted collections, we also identified diverted collections which could not be traced to a specific deposit. Some of the diverted collections identified were from the period prior to when the banks were able to provide detailed supporting documentation. However, some of the diverted collections identified were from the period bank records were available. These diverted collections may not have been specifically identified in a deposit because:

- They were included in a deposit to Hills Bank for which the bank was unable to provide the deposit detail.
- They were included in a deposit to MidWestOne Bank for which we did not request the deposit detail.
- They were deposited to a bank account other than the accounts we identified at Hills Bank and MidWestOne Bank.
- They were payments received in the form of a check which was redeemed for cash.

The procedures performed identified Dr. Adams circumvented established UIHC policies and procedures, including opening an unauthorized bank account. Dr. Adams declined to be interviewed as part of the investigation.

A detailed explanation of the items listed in **Table 1** and the concerns related to University and UIHC policies follows.

ADMINISTRATIVE PROCESSES AND DEFINITIONS

In order to determine if collections were improperly diverted from UIHC, it was necessary to obtain an understanding of certain policies and procedures established by UIHC and how those policies were carried out by physicians employed by UIHC. It was also necessary to understand restrictions placed on any medical and non-medical services provided by UIHC physicians outside their employment by UIHC and what role, if any, they are allowed to take in product development. The following paragraphs provide a summary of this information.

The following paragraphs also provide definitions of terms commonly used by UIHC and University staff and officials.

Policies and Procedures – UIHC follows the policies and procedures established by the University for daily administrative operations. The following are several policies and definitions used throughout the report.

- **Bank Accounts** - The University Treasurer's Office has overall responsibility for administering and operating banking, debt service, and investments for the University, including the UIHC. The University of Iowa Operations Manual, section 1.1(b) states, "Only the Senior Vice President for Finance and Operations and Treasurer, the Director of Financial Management and University Secretary, and the Director of Treasury Operations are authorized to establish and maintain University bank accounts. Requests for bank accounts or other banking services must be submitted to the Treasurer's Office for prior review and approval." In addition, section 1.1 (c) prohibits the use of "The University of Iowa's name tax identification number by any person or organization in any bank account except as specifically authorized by the Senior Vice President for Finance and Operations and Treasurer or the Director of Treasury Operations."

The University has a procedure in place to inquire of local banks if the University's name is associated with any accounts at that bank. According to UIHC officials, they annually request area banks to provide them a list of accounts held by, or whose name includes, "University of Iowa Hospitals and Clinics" or include a reference to the University's tax identification number.

- **Use of University Name** - Chapter 33 of the University of Iowa Operations Manual states, "The use of the University name for any purpose in any non-University endeavor not previously sanctioned by the Office of the Vice President for Strategic Communication is prohibited." The policy also prohibits the use of University's letterhead in any non-University correspondence leading the average recipient to believe the employee is representing the University.
- **Use of Other Resources** – Chapter 16 of the Operations manual covering Ethics includes a statement within section 16.4 which states, "Staff will refrain from unauthorized use of work effort or resources for non-University business." The section also includes a further statement which states, "Staff shall safeguard University time and property from inappropriate use, appropriation or abuse."
- **Intellectual Property Rights** – Chapter 30 of the Operations manual governs the University's Intellectual Property Rights. In accordance with this section, if an invention is created by University employees or postdoctoral appointees in the course of their employment or appointment or in a field or discipline reasonably related to the inventor's field of employment or appointment, UIHC may have an interest in the device or research performed by the employee or appointee.

Employment - UIHC requires each physician to sign a contract regarding their medical practice as an employee of UIHC. The contracts prohibit physicians from directly receiving personal payment for services performed within the scope of their employment at UIHC and from engaging in the practice of medicine outside of their employment with UIHC without prior approval of UIHC. Specifically, the contract Dr. Adams signed includes the statement, “I will participate in the College of Medicine Medical Faculty Practice Plan and the implementation thereof, and will fully account for all fees received by me from private practice and deposit the same as part of said Plan to be administered and distributed according to the terms thereof, and that only such amount of money as is distributed to me under such Plan will be my own funds from private practice.”

The University of Iowa and UIHC require physicians to complete online conflict of interest and conflict of commitment statements. Physicians are required to update combined conflict of interest and conflict of commitment statements at least annually. If the physician becomes aware of, or performs a service which may be a conflict of interest or commitment during the year, they are required to submit an updated online disclosure form for review and approval.

Conflict of interest is defined by the University of Iowa’s Operations Manual as “a situation in which faculty, staff, or student employees have significant financial or other personal considerations that may compromise, or have the appearance of compromising, their professional judgment or integrity in teaching, conducting or reporting research, or performing other University obligations.” Conflict of commitment is defined by the University of Iowa’s Operations Manual as “a situation in which an employee engages in an outside activity that interferes, or appears to interfere, with fulfillment of the employee’s obligations to the University, even if the outside activity is valuable to the University or contributes to the employee’s professional development and competence.”

The combined conflict of interest and conflict of commitment statements signed by Dr. Adams include the following disclosures:

- July 1, 2009 – June 30, 2010
 - Received a \$1,500.00 honoraria as a Speaker at the University of Nebraska.
- July 1, 2010 – December 31, 2011
 - Disclosed he had not and did not anticipate receiving compensation from outside parties for acting as an expert witness.
 - Answered “no” to the question related to relationships or other outside activities that may create a real or perceived conflict of interest or commitment.
- January 1, 2012 – June 30, 2012
 - Disclosed he participated in research and used products from Tornier Inc. However, he did not disclose any dollar amounts.
 - Disclosed he had stock options with Tornier Inc. and he was reimbursed for travel in the previous year. He answered “no” to the question regarding compensation other than travel reimbursements.
 - He disclosed he had earned \$45,129.00 from the sale of stock and dividends in the previous year.

In instances where a physician discloses a conflict of interest or a conflict of commitment, UIHC, in conjunction with the physician, will review the conflict and develop a management plan. The management plan sets forth the guidelines under which the physician may participate in the

activity. The plan may also prohibit the physician from participating in the activity if UIHC does not approve. Dr. Adams' conflict of interest and conflict of commitment disclosures and related management plans are included in **Appendix 2**.

Physicians are also governed by the UI Practice Plan which sets forth general policies, procedures, and provides definitions related to conflicts of interest and commitment. The plan includes the following sections:

- I. Introduction,
- II. Statement of purpose,
- III. Operational policies and procedures, including definitions of clinical practice, clinical income, and how patient charges and collections are to be handled,
- IV. Governance, and
- V. Procedures to amend the plan.

The plan also includes samples of contracts regarding the medical practice for Clinical Faculty Members of the Carver College of Medicine, Associates of the College of Medicine, and Nonphysician Faculty Health Care Practitioners of the College of Medicine.

Definitions - The following definitions are from the "University of Iowa Carver College of Medicine University of Iowa Physicians Bylaws".

- Clinical Practice – means the act or acts by participants under University of Iowa Physicians (UIP) of providing all forms of health and medical care for patients, including consultation, for which a fee or other compensation is customarily charged and received.
- Clinical Income – means all earnings, fees, and other income received from the clinical practice of participants in the UIP, including salaries paid by the other institutions for clinical services by members of UIP (e.g., UIP physicians practicing at another nonprofit hospital or government agency such as the VA). Expert witness fees, royalties, honoraria, federal government consulting fees (within established University guidelines), and other non-clinical income received by participants under UIP are not considered to be clinical income of UIP.
- Patient Charges and Collections – fees assessed for services provided to patients by UIHC. All payments for services provided by UIP participants, including payments from or on behalf of patients, are to be made directly to the UIHC collection service/agency as approved by applicable University rules and regulations, or shall be delivered to the UIHC collection service/agency upon receipt if received by a UIP participant.

Checks made payable to an individual UIP member are to be promptly endorsed and delivered by the individual to his or her Department Service Fund or appropriate program account.

- Expert Witness Fees - fees received by UIP members for services as an expert witness with respect to matters unrelated to clinical practice under UIP or Carver College of Medicine (CCOM) sponsored programs. Expert witness fees are to be reported and managed in accordance with the UIHC Conflict of Interest and Conflict of Commitment Policy.
- Extramural Clinical Services - services provided by UIP members in CCOM-sponsored programs outside of the University. These activities shall be reported and managed in

accordance with the UIHC Conflict of Interest and Conflict of Commitment Policy. For example, a physician who sees a UIHC patient and bills and receives payment for their services separate from the normal UIHC billing process. Intellectual property rights pertain to patentable inventions and copyright-protected works created by its faculty members, staff members, postdoctoral appointees, and students. The University operations manual also contains 2 detailed patent and copyright policies to address the differences between the legal and academic treatment of copyright-protected and patentable inventions.

The following terms are used throughout the report. These terms are not defined in the Practice Plan, but defining the terms is necessary to understand the issues discussed in subsequent sections of the report. The definitions are based on the websites of the American Medical Association (AMA) and Merriam-Webster.

- Impairment Rating - a number expressed as a percentage that is intended to represent the degree of an individual's impairment, which is a deviation away from one's normal health status and functionality. Impairment is defined by the AMA as "a significant deviation, loss, or loss of use of any body structure or body function in an individual with a health condition, disorder, or disease." According to the AMA, impairments which are to be rated are permanent impairments.
- Maximum Medical Impairment - as defined by the AMA, an impairment which has reached maximum medical improvement, is well stabilized, and is unlikely to change substantially in the next year with or without medical treatment. This is a form of impairment rating.
- Deposition - as defined by Merriam-Webster, an "out-of-court testimony made under oath and recorded by an authorized office for later use in court."
- Royalties - as defined by Merriam-Webster, "an amount of money that is paid to the original creator(s) of a product, book, or piece of music based on how many copies have been sold."

The University's Operations Manual states outside activity "involves work either professional or non-professional, for a non-university entity or for oneself. Outside professional activities involve the use of employee's expertise, the practice of their profession, or any activity that contributes to employee's professional competence or development."

The University requires employees to disclose any potential conflicts. Once disclosed, the potential conflict is evaluated by University staff and a management plan is developed which specifies how the conflict is to be handled. There are 3 possible outcomes from the evaluation under the policy - "(1) No action is required beyond disclosure, (2) disclosure and management (including alteration or elimination of the conflict), or (3) prohibition of the activity." All activities require prior disclosure to, and authorization from, the Department Executive Officer prior to initiating the activity. However, the University policy also states, "few activities which represent, or appear to represent, a conflict are actually prohibited."

The policy also provides a list of prohibited activities. Specifically, the policy includes, "Undertaking a business or research opportunity ordinarily conducted by the University before the University has been offered the right of first refusal. A written waiver must be obtained by the employee before undertaking a business or research opportunity."

When an invention meets the criteria of a "qualifying invention" under the University Intellectual Property Policy (V-30), the University of Iowa Research Foundation (UIRF), on behalf of the University, will review the qualifying invention and determine if the University will assume

ownership of the intellectual property rights or waive its rights. If the University retains the intellectual property rights, it will negotiate a license and any royalties received will be received by the UIRF and distributed in accordance with University policy.

UIHC policies also require physicians to sign non-compete agreements. According to UIHC Officials we spoke with, the non-compete agreements were not required to be signed by staff who were employed prior to 1995 when the agreement was established.

Dr. Adams was employed by UIHC in the Department of Orthopaedics and Rehabilitation from December 5, 1992 until his resignation on August 21, 2014. According to Dr. Adams' profile on UIHC's website, Dr. Adams was a Professor in the Department of Orthopaedics and Rehabilitation and he worked in the following clinics:

- Ambulatory Surgery,
- Elbow Injuries,
- Hand and Wrist Care,
- Orthopedics,
- Shoulder Injuries,
- Shoulder Replacement, and
- Wrist Replacement

As part of his job duties, Dr. Adams provided care and treatment to UIHC patients, provided impairment ratings, and other requested reports. Billings for these services were generated by the UIHC billing process previously described. However, documents obtained as part of the investigation identified Dr. Adams also performed similar services which were not submitted to the UIHC billing process, including record reviews, providing second opinions to insurance companies regarding work-related injuries, acting as an expert witness, consulting on product development, and presenting at conferences and meetings.

According to UIHC officials, "when a Doctor is hired by UI Health Care, they are obligated to fulfill all of their faculty appointment responsibilities in furtherance of the mission of UI Health Care. Any activities which may conflict or alter their commitment to fulfill these obligations must be approved in advance in accordance with University policy."

Dr. Adams signed the "Contract in Regard to Private Medical Practice by Clinical Faculty Members of the College of Medicine of the University of Iowa" on April 20, 1993. A copy of Dr. Adams' contract and excerpts from the practice plan are included in **Appendix 3**. According to UIHC Officials, "the use of the term private in the 1993 version of the contract did not mean a physician could have a private practice and see patients outside of UIHC. Rather, it refers to the clinical part of a physician's practice, as opposed to other employment duties such as research or teaching."

Item 2 of the contract states, "That my clinical practice shall be limited to intramural and extramural College of Medicine-sponsored programs." Based on this section, Dr. Adams would only be permitted to practice and provide services approved by the College of Medicine. According to UIHC officials, the language requires "all clinical practice by physicians be for College of Medicine sponsored (approved) programs and activities, whether on or off campus."

Item 4 of the contract states, **"That I will participate in the College of Medicine Medical Faculty Practice Plan and the implementation thereof, and will fully account for all fees received by me from private practice and deposit the same as part of said Plan to be administered and distributed according to the terms thereof, and that only such amount of**

money as is distributed to me under such Plan will be my own funds from private practice.” (emphasis added) Based on this section, any money received by Dr. Adams related to working for UIHC, including seeing patients, preparing reports, reviewing case files, consulting, and other activities would be required to be deposited with UIHC in accordance with the terms of his contract. Physicians hired after 1995 by the College of Medicine are also required to sign a non-compete agreement.

Because Dr. Adams was hired prior to 1995, he was not required to sign the non-compete agreement. However, Dr. Adams and all other UIP participants were required to comply with policies and procedures established by UIHC and to disclose all potential conflicts in the conflict of interest statements periodically submitted by the physicians.

DIVERTED COLLECTIONS

As previously stated, all physicians are required to complete notes on each patient they see. The notes include the procedures performed. The physician’s notes are translated by “medical coders” into billing codes used by the UIHC billing system to prepare and send out bills. UIHC bills for all services it provides. This includes impairment ratings and other reports required by insurance companies for workers’ compensation cases. UIHC also bills for other services, such as depositions.

To contribute to its mission as a teaching and research facility, UIHC physicians are encouraged to perform research. Such research may result in consulting on and developing new products and procedures related to their field of expertise. In accordance with UIHC policies, UIHC retains all intellectual property rights to any products developed in the course of a physician’s employment. Royalties from any such product development are handled in accordance with University policies on royalties from intellectual property. If UIHC chooses not to exercise its intellectual property rights, UI issues a letter informing the physician UIHC is not exercising its intellectual property rights. In these cases, the physician is entitled to all intellectual property rights associated with the developed product or procedure and any associated royalties.

In order to identify diverted collections and the related services provided by Dr. Adams, we reviewed bank statements, checks deposited to the bank accounts created by Dr. Adams, e-mails, copies of contracts, letters and other correspondence, and information received from various companies and UIHC. The types of collections identified by reviewing these documents were categorized as fees for medical services, fees for non-medical services, and proceeds from product development. Each of these categories are discussed in detail in the following paragraphs.

During the course of the investigation, we relied on the following records:

- Records seized from Dr. Adams’ home under a search warrant served by the University’s Department of Public Safety. The records included paper documents and electronic files.
- Using information obtained from the records seized from Dr. Adams’ home, we subpoenaed the companies which provided the largest payments to Dr. Adams for services. Not all companies provided the same information. The data not provided included social security numbers, date of birth, date of service, and other information protected under the Health Insurance Portability and Accountability Act (HIPAA). Because all requested information was not always provided, we were unable to verify all data to other source records, such as records at UIHC and records seized from Dr. Adams’ home.
- Information obtained under subpoena from various banks for the period July 1, 2009 through December 31, 2014. Bank records for earlier time periods were not available. In addition, deposit detail was not always available from the banks.

Because of the amount of data provided and the limitations of the data available, we are unable to determine if all diverted collections for services performed by Dr. Adams for the period July 1, 1999 through December 31, 2014 have been identified. Additional diverted collections may have been identified if additional information, such as date of birth, date of service, or social security number, had been available.

Fees for Medical and Non-Medical Services

As previously stated, physicians are required to sign statements regarding Conflicts of Interest and Conflicts of Commitment. These disclosure statements are designed to disclose instances in which an employee engages in an outside activity that interferes, or appears to interfere, with fulfillment of the employee's obligations to the University, or where it appears they compromise, or have the appearance of compromising, their professional judgment or integrity in teaching, conducting or reporting research, or performing other University obligations. A conflict of commitment or conflict of interest may be present under University policy even if the outside activity is potentially valuable to the University or might contribute to the employee's professional development and competence.

These disclosure statements are also designed to disclose instances in which employees are prevented from fulfilling their commitment to the University and UIHC or where it appears they compromise, or have the appearance of compromising, their professional judgment or integrity in teaching, conducting or reporting research, or performing other University obligations. The University requires faculty to disclose any potential conflicts to the Department Executive Officer prior to initiating the activity. Once disclosed, the potential conflict is evaluated by University staff and a management plan is developed which specifies how the conflict is to be handled.

The policy provides a list of prohibited activities. "Undertaking a business or research opportunity ordinarily conducted by the University before the University has been offered the right of first refusal" is specifically listed in the policy. The policy also states, "A written waiver must be obtained by the employee before undertaking a business or research opportunity."

As a physician for UIHC, Dr. Adams performed various medical procedures for UIHC. In addition to seeing patients, he developed treatment plans and prepared reports, including impairment ratings for patients. According to staff we spoke with, a physician would, absent extenuating circumstances, typically need to see the patient in order to determine mobility and other factors to determine an impairment rating. Once a determination was made, the physician would use information prepared by the AMA to prepare the impairment rating.

Based on the documentation identified during our investigation, including e-mails, letters, copies of checks deposited by Dr. Adams, bank statements, and information received from subpoenaed companies, we determined Dr. Adams performed certain medical services, requested payment for the services provided, and deposited the amounts collected to a bank account he established. As previously stated, the account was established in a manner so it appeared to be an authorized UIHC bank account. The account name included "UIHC Orthopedics" and the address listed was the UIHC address, even though the statements were mailed to Dr. Adams' home. Many of the documents obtained illustrate the services Dr. Adams provided included preparing documents for companies which reported an impairment level related to a workers' compensation injury.

The Conflict of Interest statements completed by Dr. Adams in 2009, 2010, 2011, and 2012 did not include disclosures he was providing services to UIHC patients for which he was receiving direct payment. As a result, management plans were not prepared for the services he provided to these patients. Dr. Adams did not complete Conflict of Interest statements for any other years. By not disclosing the services he was providing, Dr. Adams violated his contract and the UIHC's policies on conflicts of interest and commitment. As a result, the payments Dr. Adams received for the medical services he provided to UIHC patients for which he received direct payment are considered diverted funds which should have been collected by UIHC.

The following sections provide more detailed information on the medical and non-medical services provided by Dr. Adams based on information subpoenaed and made available to us during the investigation.

Medical Services – Based on our review of the information available, the services performed by Dr. Adams were in violation of UIHC’s Conflict of Interest and Conflict of Commitment policies. The information available for our review included documents obtained through subpoenas we issued to insurance companies, law firms, and employers who provided payments to Dr. Adams for medical services. The information also included copies of checks, e-mails, and other correspondence obtained from Dr. Adams’ home by the University’s Department of Public Safety.

Based on our review of the information, we determined Dr. Adams provided medical services, including preparing impairment ratings, requesting prepayments for seeing a patient, reviewing medical records, preparing reports, and examining patients. These services are provided by UIHC and Dr. Adams as part of his duties as an employee of UIHC. **Table 2** summarizes the diverted collections for medical services we identified with the information available.

Table 2

Description	Exhibit	Deposited to Bank	Deposit Detail Not Available		Total
			Prior to 02/01/09	After 02/01/09	
Confirmed by outside sources	A	\$ 51,282.00	18,885.00	19,920.00	90,087.00
Other supporting documentation	B	175,078.00	72,078.36	67,631.64	314,788.00
Total		\$ 226,360.00	90,963.36	87,551.64	404,875.00

As illustrated by the **Table**, we matched some of the copies of checks related to payments for medical services seized from Dr. Adams’ home and the information received from the subpoenas to detailed deposit information received from Hills Bank. The **Table** illustrates we matched \$226,360.00 of diverted collections to specific deposits in the accounts held by Dr. Adams at Hills Bank and MidWestOne Bank. Of the \$226,360.00, \$225,710.00 was deposited to Hills Bank and \$650.00 was deposited to MidWestOne Bank.

The **Table** also illustrates we were not able to match diverted collections of \$90,963.36 prior to February 1, 2009 and \$87,551.64 after February 1, 2009 to detailed deposit records from the bank. As previously stated, Hills Bank was unable to provide copies of supporting documents for certain deposits made after February 1, 2009 and for all deposits made prior to February 1, 2009. However, based on the confirmations received from outside sources and the records obtained from Dr. Adams’ home, it is apparent he provided additional services for which he received payment.

Exhibit A lists individual payments to Dr. Adams which were confirmed by outside sources. Of the \$90,087.00 confirmed by outside sources, \$51,282.00 was traced to a specific deposit in the “UIHC Orthopedics” account established by Dr. Adams at Hills Bank. Of the remaining \$38,805.00, \$18,885.00 was for payments prior to February 1, 2009 for which the banks could not provide statements and \$19,920.00 was for payments from February 1, 2009 through December 31, 2014 for which the banks could not provide detailed deposit information. The period confirmed by each outside source depended on the information they had available. Some were able to provide payment information for a longer period of time than others. As a result, there may be additional payments which could have been confirmed if additional information had been available.

Exhibit B lists the copies of checks, e-mails, and other correspondence seized from Dr. Adams’ home related to providing medical services which were not confirmed by outside sources. Of the \$314,788.00 not confirmed by outside sources, \$174,428.00 was matched to a specific deposit in

the “UIHC Orthopedics” account established by Dr. Adams at Hills Bank. In addition, \$650.00 was deposited to Dr. Adams’ personal bank accounts at MidWestOne Bank. Of the remaining \$139,710.00, \$72,078.36 was for payments prior to February 1, 2009 for which the bank could not provide statements and \$67,631.64 was for payments from February 1, 2009 through December 31, 2014 for which the bank could not provide detailed deposit information. Had additional information been available from the banks, copies of checks and other information seized from Dr. Adams’ home may have been matched to deposits to Dr. Adams’ accounts at Hills Bank or MidWestOne Bank.

Using the information obtained from records seized from Dr. Adams’ home and other sources, we subpoenaed UIHC to determine if the individuals Dr. Adams provided medical services to outside UIHC were, or previously had been, UIHC patients. **Table 3** summarizes the medical fees Dr. Adams collected for individuals who were confirmed as UIHC patients and those we were unable to confirm as a result of insufficient identifying information. The **Table** illustrates Dr. Adams improperly collected \$158,754.20 for services provided to UIHC patients.

Table 3

Calendar Year	Fees Collected		Total
	Confirmed as UIHC Patient	Not Confirmed as UIHC Patient	
1999 - 2005	\$ 1,670.00	4,455.00	6,125.00
2006	9,219.20	12,529.16	21,748.36
2007	12,970.00	18,860.00	31,830.00
2008	10,720.00	21,190.00	31,910.00
2009	13,218.00	37,282.00	50,500.00
2010	25,977.00	37,770.00	63,747.00
2011	37,695.00	56,944.00	94,639.00
2012	39,630.00	42,323.64	81,953.64
2013	6,160.00	12,682.00	18,842.00
2014	1,495.00	2,085.00	3,580.00
Total	\$ 158,754.20	246,120.80	404,875.00

Because some of the records available did not have sufficient identifying information, such as date of birth, date of service, or social security numbers, UIHC officials were unable to determine if the services were for a UIHC patient. If additional information had been available, UIHC may have been able to confirm a portion of the \$246,120.80 shown as not confirmed was related to UIHC patients.

As illustrated by the **Table**, there was an increase in the amounts collected during calendar year 2006 and again in 2010 and 2011. We could not identify a reason for the increase in 2006. However, as previously stated, the WIRC began operations in January 2010. The total amount collected continued to increase through 2012. However, the total from 2012 to 2013 decreased by over \$63,000.00. The decrease corresponds to the time questions were raised regarding Dr. Adams and Internal Audit started its review of Relative Value Units during the spring of 2013.

If the information did not include a description of the service, we compared the amount to similar amounts collected which included a description within the same time period. For example, we identified an e-mail which included an amount of \$500.00 but no description. By comparing e-mails and letters around the same time period which included a description, we found several e-mails which included a request for payment of \$500.00 for preparing a report. The e-mails did not reference any other service. Because Dr. Adams consistently used the same amount for

reports, we classified the \$500.00 without a description as a report. **Table 4** summarizes the collection categories based on the description and amounts used by Dr. Adams.

Table 4

Calendar Year	Report	Prepayment	Opinion	Record Review	Exam	Other	Total
1999-2005	\$ 4,230.00	420.00	125.00	1,350.00	-	-	6,125.00
2006	16,327.20	1,175.00	395.94	2,575.00	22.00	1,253.22	21,748.36
2007	21,205.00	1,250.00	7,000.00	500.00	950.00	925.00	31,830.00
2008	10,170.00	9,170.00	7,680.00	1,685.00	500.00	2,705.00	31,910.00
2009	14,258.00	20,565.00	9,795.00	3,067.00	865.00	1,950.00	50,500.00
2010	20,867.00	25,770.00	12,912.00	563.00	1,890.00	1,745.00	63,747.00
2011	29,922.00	46,660.00	7,005.00	7,745.00	1,425.00	1,882.00	94,639.00
2012	32,913.00	28,440.00	9,500.00	2,047.00	1,497.64	7,556.00	81,953.64
2013	10,150.00	3,850.00	-	197.00	-	4,645.00	18,842.00
2014	1,505.00	1,250.00	500.00	325.00	-	-	3,580.00
Total	\$ 161,547.20	138,550.00	54,912.94	20,054.00	7,149.64	22,661.22	404,875.00

As illustrated by the **Table**, Dr. Adams collected \$161,547.20 for reports. These reports included references to impairment ratings, maximum medical improvement, and other similar ratings. The report classification also includes medical record reviews which resulted in a report being prepared. Example copies of documents classified as a report (impairment ratings) are included in **Appendix 4**.

The **Table** also illustrates \$138,550.00 was classified as prepayments. This classification includes prepayments for appointments, evaluations, reviewing and preparing reports, second opinions, and other services. We identified letters and e-mails which document Dr. Adams requested a prepayment for services and which included a statement there would be an additional bill from UIHC. Example copies of these e-mails are included in **Appendix 5**. These examples illustrate Dr. Adams was aware the patient was an existing UIHC patient or was going to be referred to UIHC for services for which UIHC would also bill the patient.

The \$54,912.94 of collections classified in the **Table** as opinions includes instances in which the documentation available referred to an opinion, second medical opinion, or a similar circumstance.

Physicians we spoke with stated they are allowed to perform independent medical reviews outside of their UIHC employment if it is properly disclosed and approved by UIHC. In most cases, these reviews are in conjunction with a request to review a case for compliance with standards and not to make a medical determination. Physicians also stated if they believed the patient would need to be seen for medical treatment, they routed the information to Orthopaedics for scheduling and then billed for services performed through the normal UIHC billing practice.

According to UIHC officials and physicians we spoke with, physicians are required to hold themselves out as practicing individually and not as an employee of UIHC when they perform independent medical reviews. All communications are to be done on their personal letterhead and they are not allowed to use UIHC resources or time. The physicians also stated they were required to carry their own insurance when not practicing as a UIHC employee or representing UIHC.

As previously defined, impairment ratings and maximum medical improvement ratings are medical terms related to “a significant deviation, loss, or loss of use of any body structure or body

function in an individual with a health condition, disorder, or disease.” According to the AMA, impairments which are to be rated are permanent impairments. Maximum medical improvement means the individual is well stabilized and unlikely to change substantially in the next year with or without medical treatment. According to physicians we spoke with, it would be difficult to arrive at these ratings without seeing and evaluating the individual. A physician would need to be able to observe an individual’s range of motion and other factors in order to properly evaluate the impairment.

During our review of the available documentation, we identified letters Dr. Adams provided to various parties for impairment ratings, prepayments, record reviews, and other similar reports. We also determined the letters were prepared on UIHC letterhead. According to UIHC officials, by using UIHC letterhead, Dr. Adams held himself out as a representative of UIHC and he was not acting on his own behalf. Using UIHC letterhead also would lead the recipient of the letter to believe he was acting on behalf of UIHC and not as an independent physician.

As previously stated, because of the amount of data provided and the limitations of the data available, we are unable to determine if we have identified all the diverted collections related to medical services Dr. Adams performed during the period July 1, 1999 through December 31, 2014.

Had additional information been available from the records seized from Dr. Adams’ home, bank deposit detail, and detailed information from the subpoenaed information, such as date of birth, date of service, or social security number, we may have identified additional diverted collections related to medical services provided to UIHC patients.

Based on the information available, the \$404,875.00 for medical services summarized in **Table 2** are included in **Table 1** as diverted collections.

Non-Medical Services – Dr. Adams performed non-medical services, including acting as an expert witness, depositions unrelated to UIHC or its patients, and case reviews unrelated to UIHC and its patients. As previously stated, expert witness fees are defined under the UIHC Practice Plan as “fees received by participants for services as an expert witness with respect to matters unrelated to clinical practice under UIP or CCOM sponsored programs. Expert witness fees are to be reported and managed in accordance with the UIHC Conflict of Interest and Conflict of Commitment Policy.” According to UIHC officials, physicians cannot charge a fee when acting as an expert witness or being deposed in cases related to the University, UIHC, or its patients.

In order to provide expert witness services, depositions, or other services related to on-going litigation, physicians are required to obtain department executive officer approval, disclose the activity to UIHC, and participate in a management plan for the services to be provided. Physicians may charge a fee for the service but are not allowed to use University or UIHC resources when preparing for a deposition or trial in which they are acting as an expert witness. Physicians are allowed to reference the University and UIHC as their place of employment when acting as an expert witness. UIHC also requires the physician to carry their own insurance when acting as an expert witness, or when performing activities not related to their employment with UIHC.

Based on our review of the information available, we determined Dr. Adams provided non-medical services, including depositions and expert witness fees. The services performed by Dr. Adams were in violation of UIHC’s Conflict of Interest and Conflict of Commitment policies. The information available for our review included documents obtained through subpoenas we issued to insurance companies, law firms, and employers who provided payments to Dr. Adams for non-medical services. The information also included copies of checks, e-mails, and other correspondence obtained from Dr. Adams’ home by the University’s Department of Public Safety. **Table 5** summarizes the diverted collections for non-medical services we identified with the information available.

Table 5

Description	Exhibit	Deposited to Bank	Deposit Detail Not Available		Total
			Prior to 02/01/09	After 02/01/09	
Confirmed by outside sources	C	\$ 20,104.20	14,752.84	28,604.48	63,461.52
Other supporting documentation	D	93,449.30	131,216.18	138,319.98	362,985.46
Total		\$ 113,553.50	145,969.02	166,924.46	426,446.98

As illustrated by the **Table**, we matched some of the copies of checks related to payments for non-medical services seized from Dr. Adams' home and the information received from outside sources to detailed deposit information. The **Table** illustrates we matched \$113,553.50 of diverted collections to specific deposits in the accounts held by Dr. Adams at Hills Bank and MidWestOne Bank. Of the \$113,553.50 deposited to the banks, \$113,453.50 was deposited to Hills Bank and \$100.00 was deposited to MidWestOne Bank.

The **Table** also illustrates we were not able to match diverted collections of \$145,969.02 prior to February 1, 2009 and \$166,924.46 after February 1, 2009 to detailed deposit records from the banks. As previously stated Hills Bank was unable to provide copies of supporting documents for certain deposits made after February 1, 2009 and for all deposits made prior to February 1, 2009. However, based on the confirmations received from outside sources and the records obtained from Dr. Adams' home, it is apparent he provided additional services for which he received payment.

Exhibit C lists individual payments to Dr. Adams which were confirmed by outside sources. Of the \$63,461.52 confirmed by outside sources, \$20,104.20 was traced to a specific deposit in the "UIHC Orthopedics" account established by Dr. Adams at Hills Bank. Of the remaining \$43,357.32 confirmed by outside sources, \$14,752.84 was for payments prior to February 1, 2009 for which the banks could not provide statements and \$28,604.48 was for payments from February 1, 2009 through December 31, 2014 for which the banks could not provide detailed deposit information. The period confirmed by each outside source depended on the information they had available. Some were able to provide payment information for a longer period of time than others. As a result, there may be additional payments which could have been confirmed if the information had been available.

Exhibit D lists the copies of checks, e-mails, and other correspondence seized from Dr. Adams' home related to providing non-medical services which were not included in the information confirmed by outside sources. Of the \$362,985.46 not confirmed by outside sources, \$93,349.30 was traced to a specific deposit in the "UIHC Orthopedics" account established by Dr. Adams at Hills Bank and \$100.00 was deposited to Dr. Adams' accounts at MidWestOne Bank. Of the remaining \$269,536.16 not confirmed by outside sources, \$131,216.18 was for payments prior to February 1, 2009 for which the banks could not provide statements and \$138,319.98 was for payments from February 1, 2009 through December 31, 2014 for which the banks could not provide detailed deposit information. Had additional information been available from the banks, copies of checks and other information seized from Dr. Adams' home may have been matched to deposits to Dr. Adams' accounts at Hills Bank and MidWestOne bank.

Using information obtained from Dr. Adams' records and other sources, we subpoenaed UIHC to determine if the payments Dr. Adams received were for non-medical services provided to individuals who were, or previously had been, UIHC patients. As shown by **Table 5**, we identified \$426,446.98 of payments for non-medical services to Dr. Adams. Because of the lack of information in the available records, we only requested UIHC confirm individuals for which we had a specific individual's name.

Table 6 summarizes the amounts collected or billed by Dr. Adams for individuals who were confirmed as UIHC patients and those UIHC was unable to confirm as a result of insufficient identifying information. The **Table** illustrates Dr. Adams collected or billed \$71,569.39 for non-medical services provided to UIHC patients.

Table 6	
Description	Amount
Confirmed as UIHC Patient	\$ 71,569.39
Not Confirmed as UIHC Patient	115,936.94
Total	<u>\$ 187,506.33</u>

Because many of the records obtained from Dr. Adams and other sources did not have sufficient identifying information, such as date of birth, date of service, or social security numbers, UIHC officials were unable to determine if the services were for UIHC patients. As a result, we cannot determine what amount, if any, of the \$115,936.94 for individuals not confirmed as a UIHC patient included in the **Table** was actually for UIHC patients.

Exhibits C and **D** summarize the records available for non-medical services for which Dr. Adams billed for services. The **Exhibits** illustrate many of the billings were related to legal services, including depositions. Letters and e-mails obtained as part of the investigation include rates charged for a deposition, travel related expenses, and a fee if Dr. Adams was required to cancel and reschedule his clinical practice. UIHC prohibits physicians from receiving payments for depositions or expert witness fees when UIHC or one of its patients is involved. Examples of these letters are included in **Appendix 6**.

As previously stated, physicians are required to inform UIHC when they are going to provide non-medical services. Once notified, UIHC will develop a management plan which allows or prohibits the physician from performing the non-medical services. UIHC could find no records indicating Dr. Adams disclosed these non-medical services. As a result, Dr. Adams violated UIHC Policy.

As previously stated, because of the amount of data provided and the limitations of the data available, we are unable to determine if we have identified all the diverted collections related to non-medical services Dr. Adams performed during the period July 1, 1999 through December 31, 2014.

Had additional information been available from the records seized from Dr. Adams' home, bank deposit detail, and detailed information from the subpoenaed information, such as date of birth, date of service, or social security number, we may have identified additional diverted collections related to non-medical services provided to UIHC patients

Based on the information available the \$426,446.98 for non-medical services summarized in **Table 5** is included in **Table 1** as diverted collections.

Product Development

Physicians are required to disclose to UIHC any consulting agreements they intend to enter into. Once informed, UIHC and the physician will develop a management plan for each consulting agreement which documents what the physician is allowed and not allowed to do. For example, when speaking as a consultant at a conference or other event, a physician must disclose he/she is a consultant for the company sponsoring the presentation and he/she is not representing UIHC.

When a physician contacts the Conflict of Interest Office to obtain approval for a consulting agreement, they are provided a document which provides information related to consulting

agreements and what is required to be in the consulting agreement. The following are excerpts from the document provided to the physicians:

- The agreement must be clear it is between the physician, in his/her individual capacity, and not as an employee or agent of the University of Iowa.
- The University cannot and should not be a party to the contract. Any requirement for a signature or acknowledgement by the University should be removed.
- The term must be time-limited. The agreement should not be automatically renewed or rolled over until cancelled by one of the parties.
- All forms of compensation, including fees; payments; travel expenses; ownership interest; etc., must be disclosed.
- Services to be provided should be clearly disclosed.
- If the contract prohibits public disclosure, a paragraph should be added to the contract allowing the disclosure of the agreement to the University as required under University policy.
- If the contract addresses ownership/assignment of intellectual property rights, a paragraph must be included stating, "Consultant may enter into this Agreement with Company and consult with Company as contemplated herein, so long as such activity is not inconsistent in any way with any applicable University policy. Specifically, Consultant agrees that in performing this Agreement, s/he will not use any University resources, including, but not limited to, University time, funding, equipment, resources, personnel, information, or materials in any manner inconsistent with applicable University policies. In addition, Consultant confirms that the work to be performed under this Agreement is not within the scope of his/her employment with the University. Company acknowledges that any such use of University resources by Consultant and/or any intellectual property rights or obligations that arise from Consultant's scope of University employment will render ineffective any assignment of intellectual property rights provided for by this Agreement. Company further acknowledges that nothing in its Agreement with Consultant will supersede any obligations Consultant has to the University as his/her employer."

As previously stated, Dr. Adams filed only 3 disclosure forms. The disclosure forms filed with UIHC included the following disclosures:

- July 1, 2009 – June 30, 2010
 - Received a \$1,500.00 honoraria for speaking at the University of Nebraska.
- July 1, 2010 – December 31, 2011
 - Disclosed he had and did not anticipate receiving compensation from outside parties for acting as an expert witness.
 - Answered "no" to the question related to relationships or other outside activities that may create a real or perceived conflict of interest or commitment.

- January 1, 2012 – June 30, 2012
 - Disclosed he participated in research and used products from Tornier, Inc. The disclosure form did not include any dollar amounts related to his contract with Tornier, Inc.
 - Disclosed he had stock options with Tornier Inc. and he was reimbursed for travel in the previous year. He answered “no” to the question regarding compensation other than travel reimbursements.
 - He disclosed he had earned \$45,129.00 from the sale of stock and dividends in the previous year.

According to UIHC officials, they located only 1 management plan related to Dr. Adams’ consulting work with Tornier, Inc. The plan was signed by Dr. Adams. As previously stated, copies of Dr. Adams’ Conflict of Commitment and Conflict of Interest disclosures and the related management plan are included in **Appendix 2**.

The information available from Dr. Adams also included documentation showing some of the hours he charged to various companies for consulting and other services. A list of the items Dr. Adams considered consulting activities is included in **Appendix 7**. Using the available information, **Table 7** provides a summary of the services billed, hours, and amounts from which Dr. Adams received compensation.

Table 7

Company	Description of Service Billed	Hours	Amount
Ascension Orthopedics, Inc.	Travel, meetings and conferences	139	\$ 41,083.51
Extremity Medical, LLC.	Product development, review of cases, meetings, and conferences	382	98,046.20
Integra LifeSciences Corporation	Case reviews, travel, meetings, and conferences	452	156,085.99
Tornier, Inc.	Reviews, records, meetings, conferences, and travel	69	25,915.00
Other	Travel	10	1,994.47
Total		1,052	\$323,125.17

The **Table** only includes the information seized from Dr. Adams’ home. Had additional information been available, additional hours and amounts billed by Dr. Adams may have been identified.

In order to determine if Dr. Adams received payment for the amounts billed from companies he consulted for, we requested deposit detail for Dr. Adams’ personal bank accounts at MidWestOne Bank and Hills Bank. Using the detailed deposit information, we identified checks deposited to the accounts at MidWestOne Bank and Hills Bank.

Exhibit E includes a list of certain deposits to the UIHC Orthopedics account Dr. Adams’ established at Hills Bank and **Exhibit F** includes certain deposits to Dr. Adams’ account at MidWestOne Bank. The accounts included several deposits from the University of Iowa for reimbursements which have been excluded. For most checks, the memo line was blank. However, for a few of the checks, a note was included on the check memo line indicating the check was for royalties. **Table 8** summarizes the deposits to the UIHC Orthopedics account at Hills Bank and his personal bank account at MidWestOne Bank by company for product development.

Table 8

Company Name	UIHC Orthopedics Account	MidWestOne Bank Account	Total
(a) Integra LifeSciences Corporation	\$ 11,335.10	606,282.49	617,617.59
(b) Extremity Medical, LLC	2,461.18	141,662.28	144,123.46
(c) Ascension Orthopedics, Inc.	8,165.46	147,570.64	155,736.10
(d) Tornier, Inc.	4,399.06	128,247.71	132,646.77
Total	\$ 26,360.80	1,023,763.12	1,050,123.92

As illustrated by **Table 7**, Dr. Adams billed at least \$323,125.17 for product development. However, we identified Dr. Adams deposited over \$1 million from the companies he consulted with and developed products for. In addition, we were unable to match the billings summarized in **Table 7** with specific deposits summarized in **Exhibits E** and **F**.

The following paragraphs provide information about the companies identified with which Dr. Adams had a business relationship.

(a) Integra LifeSciences Corporation (Integra) – According to its website, Integra offers innovative solutions in orthopedic extremity surgery, neurosurgery, spine surgery, and reconstructive and general surgery. Based on the information available, we identified the following agreements.

- On September 8, 2011, Dr. Adams signed an agreement to “work with Integra to support product development initiatives related to wrist arthritis and, specifically, wrist arthroplasty and arthrodesis, including but not limited to suggestions regarding the marketing of products and the development of improvement to existing products and new products.” The agreement also required Dr. Adams to act as a clinical advisor, provide presentations, and attend and contribute to meetings. The terms of the agreements included Dr. Adams was to be paid \$500.00 per hour, not to exceed \$5,000.00 for ten hours of work in a calendar day.
- On August 3, 2012, Dr. Adams signed an agreement to support product development, act as a clinical advisor, provide presentations, and attend meetings. The information available to us did not include a product description. Under the agreement, Dr. Adams was to be paid \$500.00 per hour, up to a maximum of \$5,000.00 per day. He was also to be paid \$250.00 per hour for travel time, up to 8 hours per day.
- We also identified a draft agreement to consult and support the product development initiative related to a “Total Wrist Replacement System”. In accordance with the agreement, Dr. Adams was to be paid \$500.00 per hour, up to a maximum of \$5,000.00 per day. In addition, he was to receive royalty payments equal to 1% if the product was commercialized, 2% if it received a provisional patent, and 3% if it received a US or international patent. The term of the royalty payments was 18 years from the date the product was commercialized.

The draft agreement we reviewed documented Dr. Adams requested Schedule II be deleted. Schedule II referred to approval of the agreement by the hospital.

According to an e-mail attached to the draft agreement, Dr. Adams stated he had approval from his employer and the Schedule was not needed (emphasis added). In a follow-up e-mail, Integra agreed to the deletion of Schedule II and indicated they were sending out copies for Dr. Adams to sign. A copy of the June 22, 2009 e-mail which stated Dr. Adams' reasons for removing Schedule II is included in **Appendix 8**. The final agreement is included in **Appendix 9**.

UIHC officials we spoke with were unaware of Dr. Adams' relationship with Integra. Dr. Adams did not disclose the relationship with Integra as part of his disclosures to UIHC.

(b) Extremity Medical, LLC (Extremity Medical) - According to its website, Extremity Medical is a company "experienced in creating and growing successful, fast moving companies based on orthopedic, cardiovascular, and general surgery technologies. Extremity Medical is currently funded by Blue Slate LLC." The website also states Extremity Medical is "committed to producing thoughtfully designed and highly functional devices to improve patient quality of life." Based on the information available, we identified the following agreements.

- On January 18, 2009, Dr. Adams entered an agreement to continue as the designing surgeon on a Compression pin, 1st MCP IM Fixator, Intracarpal Introsseius Fixator, and S-L Ligament Repair projects. In accordance with the agreement, he was to receive royalty payments for each product.
- On September 8, 2009, Dr. Adams received an e-mail from Extremity Medical indicating they were ready to file a "Provisional Patent Application for Compression Pin" in which he was listed as one of the inventors.
- In an e-mail dated September 13, 2010, Dr. Adams was informed his "equity equated to 1.366% interest in XM" (Extremity Medical LLC).
- In e-mails dated December 22 and December 29, 2009 between Dr. Adams and a representative of Extremity Medical, they agreed to an amendment to the original agreement dated January 18, 2009 where Dr. Adams would receive royalties for certain products he helps develop. In the e-mail, Dr. Adams indicated he would forward a signed copy of the amendment to Extremity Medical. The amendment extended the agreement period until January 17, 2011. The copy attached to the e-mail was unsigned.
- We also identified a similar amendment to the January 18, 2009 agreement, dated May 11, 2012. The amendment covers support of the CarpalFiC program, XMCP program and PIP Fixation Device programs. The amendment extended the term of the original agreement to January 17, 2013. The agreement in the files provided was unsigned.
- We identified a draft agreement in which Dr. Adams agreed to consult and support designs and development of the PIP product. In accordance with the terms of the agreement, he was to receive 2% of the net sales of the PIP implant for 20 years from the first sale. The agreement covered the period February 20, 2013 through February 19, 2014.

UIHC officials we spoke with were unaware of Dr. Adams' relationship with Extremity Medical. Dr. Adams did not disclose a relationship with Extremity Medical as part of his disclosures to UIHC.

(c) Ascension Orthopedics, Inc. (Ascension) - According to its website, Ascension develops and sells a full range of implants for the shoulder, elbow, wrist, hand, foot, and ankle. The company offers its products for sale worldwide. On September 26, 2011, Integra LifeSciences

Holdings Corporation completed its acquisition of Ascension. Based on the information available, we identified the following agreements.

- February 1, 2003 – Dr. Adams agreed to transfer all his rights, title, and interest in the Ascension Total CMC Implant in which he was inventor and developer with Ascension. In return, Dr. Adams received 4% of the net sales of the product. The agreement included in the files provided to us was unsigned.
- January 1, 2004 – Dr. Adams is listed in the agreement as the co-inventor and co-developer of the Ascension Ulnar Head implant. As part of the agreement, Dr. Adams transferred all rights, title, and interest to Ascension in exchange for 2% of the net sales of the product during the term of the agreement. According to the agreement, the term is defined as the life of the patent. If no patent was issued, the agreement ended on December 31, 2012. The agreement was signed by Dr. Adams on June 4, 2004.
- June 24, 2009 – Dr. Adams entered into an agreement with Ascension in which he was listed as the Developer. Exhibit A of the agreement set forth the services to be provided, including design input on the Pyrocarbon Humeral Resurfacing project and develop key design elements and corresponding differentiation features. In accordance with the terms of the agreement, Dr. Adams was to be paid \$400.00 per hour, up to a maximum of 100 hours in a calendar year. Dr. Adams was also to receive \$200.00 per hour for each hour spent traveling and reimbursement of travel costs. In addition, Dr. Adams was to receive 2% of the net sales for each product sold during the Royalty Term. The agreement was signed by Dr. Adams, but not dated.
- We also identified an agreement in which Dr. Adams transferred all rights relating to the Total Wrist Replacement System. In accordance with the agreement, Dr. Adams was to receive 3.5% of the net sales of the product.

UIHC officials we spoke with were unaware of Dr. Adams' relationship with Ascension. Dr. Adams did not disclose a relationship with Ascension as part of his disclosures to UIHC.

(d) Tornier, Inc. (Tornier) – According to its website, Tornier “designs, manufactures, and markets devices for joint and soft tissue repair that enable surgical specialists to improve patients’ lives by restoring motion and physical vitality.” Based on the information available, Dr. Adams has had a relationship with Tornier since 2007. Based on the information available, we identified the following agreements.

- On August 1, 2007, Dr. Adams entered into an agreement to provide service under 3 addendums to the agreement. The agreement and addendums were all signed by Dr. Adams on January 29, 2008.

Addendum A provided for consulting services, including presentations at Tornier sponsored symposiums, in-booth surgical product presentations, live surgical presentations, educational presentations, telephone conferences, and other general consulting. In accordance with the Addendum, Dr. Adams was to be paid \$500.00 per hour for consulting services. In lieu of the hourly compensation, Tornier was to pay \$5,000.00 per day on days when Dr. Adams was required to be absent from his medical practice for the entire day. Tornier also paid for all travel related expenses.

Addendum B provided for services related to the input and design of implant instrument systems for the hand, wrist, and elbow; the development of complete

instrument packages for implementation of products; and participating in obtaining 510K (FDA) and CE (European) approval for the products. In accordance with the Addendum, Dr. Adams was to be paid \$500.00 per hour for consulting services. In lieu of the hourly compensation, Tornier was to pay \$5,000.00 per day on days when Dr. Adams was required to be absent from his medical practice for the entire day. Tornier also paid for all travel related expenses. In addition to the fees, Dr. Adams was entitled to royalty payments of 0.5% of the net sales price for worldwide sales of the products.

Addendum C provided for Medical Advisory Board Services as requested by Tornier. In consideration for the services provided, Dr. Adams was to receive an option to acquire 10,000 shares of the common stock of TMG B.V., Tornier's parent corporation, pursuant to the stock option plan. In addition, Dr. Adams was to receive \$2,500.00 for scheduled pre-existing conferences, \$5,000.00 for scheduled stand-alone meetings, and reimbursement of travel expenses.

On May 24, 2011, Dr. Adams signed an agreement related to his option to acquire 10,000 shares of TMG B.V. In accordance with the agreement, he was to receive the difference between the exercise price of the stock at the time he would have been vested and the closing price on the date he agreed to the settlement.

- We also identified a draft copy of a "Sponsored Research Agreement" in which Dr. Adams was listed as the principal investigator. The agreement was for the "AEQUALIS Shoulder Arthroplasty Outcome Study" and was for a 5-year period beginning September 10, 2010. The agreement we reviewed was unsigned and we were unable to determine if or when the agreement was signed.

According to UIHC officials we spoke with, UIHC became aware of Dr. Adams' involvement in the AEQUALIS study in late 2012. UIHC required Dr. Adams to file a research conflict disclosure form. Dr. Adams submitted the form on November 28, 2012. A management plan was developed and Dr. Adams was identified as the primary investigator for UIHC. He was replaced as the primary investigator for UIHC in September 2014 as a result of his resignation from UIHC.

In 2012, Dr. Adams disclosed his relationship with Tornier and, in conjunction with UIHC, developed a management plan. Dr. Adams informed UIHC on September 23, 2012 he had sold all stock in Tornier and his consulting activities only related to clinical research. Prior to 2012, Dr. Adams did not disclose his involvement with Tornier to UIHC.

During our review of documents obtained during our investigation, we also identified agreements Dr. Adams entered into with 3 additional entities. However, we did not identify any payments to Dr. Adams from the 3 entities in the amounts deposited to the Hills Bank account Dr. Adams established using UIHC Orthopedics in the account name or in his personal accounts at MidWestOne. We are unable to determine what payments, if any, Dr. Adams received under the agreements. The agreements identified are described in the following paragraphs.

(a) Kinetikos Medical, Inc. (KMI) - Integra acquired KMI in August 2006. According to a news release from Integra, "Kinetikos is a leading developer and manufacturer of innovative orthopedic implants and surgical devices for small bone and joint procedures involving the foot, ankle, hand, wrist, and elbow." As shown in **Table 8**, Dr. Adams received payments from Integra. Based on the information available, we identified the following agreements.

- On September 1, 2002, Dr. Adams transferred all rights, title, and interest for a total wrist implant system (UTW) and consulting services as described in the agreement. In exchange for transferring his rights, he received 2% of net sales for the products. The agreement was to terminate on August 31, 2010. The agreement was unsigned.

- On April 5, 2005, Dr. Adams entered into an agreement to consult on marketing and product development, allow visits from KMI staff to observe him perform surgery using KMI products (UTW), promote the use of KMI products, and other consulting activities. Dr. Adams was to be paid \$4,000.00 per month and receive the greater of \$3,000.00 or 1.5% of net U.S. sales of the Kompressor Screw System. The agreement was to terminate on December 31, 2008. The agreement was unsigned.

UIHC officials we spoke with were unaware of Dr. Adams' relationship with KMI. Dr. Adams did not disclose a relationship with KMI as part of his disclosures to UIHC. Because KMI was acquired by Integra Life Sciences in August 2006, some of the payments received and deposited by Dr. Adams may relate to agreements he had with KMI. Because bank statements were unavailable prior to 2008, we are unable to determine if additional payments were received.

(b) Orthofix, Inc. (Orthofix) – According to its website, Orthofix “is a diversified, global medical device company focused on improving patients’ lives by providing superior reconstructive and regenerative orthopedic and spine solutions to physicians worldwide.” Based on the information available, we identified the following agreements.

- On September 27, 2009, Dr. Adams assigned all rights, title, and interest in all inventions and patents developed wholly or in part to the Tendon Repair Devices. In accordance with the agreement, he was to receive a one-time assignment fee of \$25,000.00, consulting fee of \$1,000.00 for any part of the day he performed consulting services, and 6% of net sales for the guide and passer products when sold individually or 6% of the net sales when sold together. The agreement was unsigned.
- We also identified an agreement for consulting services related to a “Technology Assignment Agreement for Bone Staple Technology and Trigger Finger Release Technology previously assigned to Orthofix.” In accordance with the agreement, Dr. Adams was to be paid \$2,000 per day, or a pro-rata share, for consulting services and be reimbursed for travel expenses. The agreement was unsigned.

UIHC officials we spoke with were unaware of Dr. Adams relationship with Orthofix. Dr. Adams did not disclose a relationship with Orthofix as part of his disclosures to UIHC.

(c) TriMed, Inc. (TriMed) – According to its website, TriMed provides upper and lower extremity products, including wrist, elbow, ankle, and foot. Based on the information available, we identified the following agreements.

- In October 2009, Dr. Adams transferred all rights, title, and interest related to a distal ulna fixation device. In accordance with the agreement, Dr. Adams was to receive 5% of the net sales revenue. The agreement was a draft and did not include an end date. The agreement was unsigned.
- We also identified a draft agreement which documented Dr. Adams was to create a company called Adamsco to develop, manufacture, advertise, market, and sell technology related to tendon repair, a trigger knife, and distal ulna fixation. In accordance with the agreement, he was to transfer rights to TriMed and receive an option to acquire 49% of the membership interest in TMA, the company created by TriMed and Adamsco. We could find no record of Adamsco being created. The agreement was unsigned.

UIHC officials we spoke with were unaware of Dr. Adams' relationship with TriMed or TMA. Dr. Adams did not disclose a relationship with TriMed as part of his disclosures to UIHC.

We also identified 2 patents awarded to Dr. Adams. Both patents were filed while Dr. Adams was employed by UIHC. UIHC officials we spoke with stated UIHC has no records which document Dr. Adams disclosed the patents to UIHC and he did not file a UIHC waiver for the related intellectual property rights. The patents were awarded in 2001 and 2002 and are described below:

- November 27, 2001 – Patent for apparatus and method for placing sutures in the lacerated end of a tendon and similar body tissues. The provisional application was filed on June 5, 1998.
- January 29, 2002 – Patent for tendon passing device and method. The provisional application was filed on December 8, 1998.

UIHC officials we spoke with were not able to locate any records documenting Dr. Adams informed them he was helping or helped develop or invent products while employed by UIHC. As a result, UIHC was not provided the opportunity to claim or decline intellectual property rights in accordance with University policy.

Based on the above agreements, the limited disclosures by Dr. Adams to UIHC, and UIHC having no agreements with Dr. Adams waiving its rights to any products developed, Dr. Adams violated the UIHC policy on Conflict of Interest.

With the exception of the management plan developed for the relationship Dr. Adams had with Tornier Inc., Dr. Adams violated UIHC's Conflict of Interest policy for each of the agreements identified. In addition, we cannot determine if Dr. Adams performed any research, development, or consulting during his normal working hours at UIHC or if he used University resources when acting as a consultant or when developing products. As a result, we cannot determine if Dr. Adams violated UIHC's policies related to the use of UIHC and University property.

According to UIHC Officials we spoke with, had UIHC been aware Dr. Adams was developing products in which UIHC could have had an intellectual property right, UIHC would have negotiated with the manufacturer directly. In these cases, UIHC would receive the royalty payments and a portion of the payment would then be allocated by UIHC to Dr. Adams for his part in helping invent or develop the product.

Because UIHC would have the option to exercise its intellectual property rights to products developed by Dr. Adams, we have included the \$1,050,123.92 summarized in **Table 8** for product development in **Table 1** as diverted collections.

Because of the amount of data provided and the limitations of the data available, we are unable to determine if we have identified all the diverted collections related to product development Dr. Adams performed during the period July 1, 1999 through December 31, 2014.

Had additional information been available, we may have identified additional diverted collections related to product development.

OTHER ADMINISTRATIVE ISSUES

During our testing and fieldwork, we also determined Dr. Adams violated a number of additional policies and procedures established by the University and the Department. These concerns are discussed in detail in the following paragraphs.

Bank Account - Section 1.1(b) of the University Operations Manual states, "Only the Senior Vice President for Finance and Operations and Treasurer, the Director of Financial Management and University Secretary, and the Director of Treasury Operations are authorized to establish and maintain University bank accounts. Requests for bank accounts or other banking services must be submitted to the Treasurer's Office for prior review and approval". In addition, section 1.1(c) prohibits the use of "The University of Iowa's name or tax identification number by any person or

organization in any bank account except as specifically authorized by the Senior Vice President for Finance and Operations and Treasurer or the Director of Treasury Operations.”

As previously stated, Dr. Adams opened a bank account at a local bank under his name which includes the following information on the statement:

Brian D. Adams
UIHC Orthopedics
200 Hawkins Dr.
Iowa City, IA 52242

The account was opened in February 2008. According to information provided by the bank, the statements were sent to Dr. Adams’ home rather than the UIHC address listed on the statement. By using UIHC Orthopedics in the account name, Dr. Adams violated University policy. According to the University of Iowa Treasurer, he was unaware of this account and did not give permission for the account to be created.

Annually, University officials contact financial institutions in the area to request a list of accounts which include the University of Iowa, University of Iowa Health Care, or the University’s or UIHC tax identification numbers in the account name or account records. While the inquiries made by University officials included Hills Bank where Dr. Adams established the unauthorized account, it was not reported to the University.

The UIHC Orthopedics’ name and address on the account gives the impression the account was established by UIHC rather than an individual. This allowed Dr. Adams the ability to deposit checks which were payable to UIHC, Department of Orthopaedics, or a similar name without being questioned. **Appendix 10** includes examples of checks which include both Dr. Adams name and the University of Iowa as the payee. In addition, he was able to deposit checks in the account which were issued directly to him.

Exhibit E lists certain deposits made to the account, which total \$611,171.89 from February 9, 2008 through December 31, 2014, including \$2,722.99 of interest earned over the same period. Based on information provided by the bank, we were able to trace some of the checks deposited to the account to letters sent requesting payment for services, including impairment ratings. As discussed previously, the collections deposited in the account were also related to medical services, depositions, expert witness fees, and consulting fees received by Dr. Adams.

Because the majority of the deposits in the Hills Bank account are diverted collections, the interest earned of \$2,722.99 on these funds is also considered to be diverted collections and is included in **Table 1**.

We reviewed the disbursements from the account to determine if the collections were used for UIHC or University operations. The largest disbursements were to vendors associated with aviation and to Dr. Adams himself. Examples of the disbursements include:

- \$65,000.00 of checks and transfers to Brian Adams (Dr. Adams).
- \$72,000.00 paid to Hawker Beechcraft Corp., a manufacturer of business jets, turboprop, piston, military, and special mission aircraft.
- \$51,984.30 paid to PS Air, Inc. Based on the information on the checks, PS Air is a company which provides maintenance and repair services for aircraft.
- \$17,000.00 paid to RAM Aircraft, LP, an aircraft engine overhaul facility and general aviation support center located in Waco, Texas.
- \$16,442.65 paid to M&B Company LLP. Based on the information available, M&B Company LLP is a partnership owned by Dr. Adams (66.7%) and his wife

(33.3%). The support provided for the disbursements noted the partnership's principal product or service is an aircraft.

We did not identify any payments from the account to, or on behalf of, UIHC or the University. However, we identified a check to an individual which was for the return of "depo pre-pay", according to the notation on the memo line of the check.

Use of Letterhead/Resources – Chapter 33 of the University of Iowa's Operations Manual states, "The use of the University name for any purpose in any non-University endeavor not previously sanctioned by the Office of the Vice President for Strategic Communication is prohibited."

As previously stated, many of documents observed were on UIHC letterhead. Copies of several letters are included in **Appendices 4, 5, and 6**. According to UIHC officials we spoke with, Dr. Adams held himself out as a representative of UIHC by using UIHC letterhead and inferred he was not acting on his own behalf. The use of UIHC letterhead may have also exposed UIHC and the University to potential legal liability issues. As a result, Dr. Adams violated policies established in the University's Operations Manual and exposed the University to possible liability.

Based on the information available, we determined Dr. Adams used University phones for calls not related to UIHC business during UIHC regular business hours. We also identified e-mails requesting his secretary prepare letters for which he received payments deposited into a non-University account.

Recommended Control Procedures

As part of our investigation, we reviewed the controls used by the University of Iowa Health Care, Department of Orthopaedics and Rehabilitation. An important aspect of internal control is to establish procedures that provide accountability for assets susceptible to loss from errors or irregularities. These procedures provide the actions of one individual will act as a check on those of another and provide a level of assurance errors or irregularities will be noted within a reasonable time during the course of normal operations. Based on our findings and observations detailed below, the following recommendations are made to strengthen the Department's internal controls.

- (A) Bank Accounts – University officials send out letters to local financial institutions on an annual basis to request a list of accounts which include the University of Iowa or University of Iowa Health Care in the account name or use the University's or UIHC's tax identification numbers. We are unable to determine if financial institutions include variations of the names, including abbreviations or Department names.

Recommendation – The University should request financial institutions also provide any information on accounts which include abbreviations, Department names, or a University address.

- (B) Conflict of Interest - UIHC sends out reminders to all physicians to complete the conflict of interest statements annually and to review the conflict of interest policy. UIHC does not attempt to verify the information provided by the physicians is complete or accurate. UIHC relies on the physicians' ethics to properly disclose all required or potential conflicts.

Recommendation – UIHC should require physicians to include the date the conflict of interest began when disclosing any conflict of interest. The disclosure should include any information related to product development and research in which UIHC could have intellectual property rights.

The University should also continue to stress employees should report concerns related to conflict of interest, conflict of commitment, or other concerns to the University Compliance hotline or the Office of Internal Audit. The University could communicate this to employees during Departmental training events and during annual employee evaluations. In addition, updated forms should be signed by employees which include any revisions.

Exhibits

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation	
Calendar Year	Insurance Company/Attorney/Payer		Amount Paid to Dr. Adams
Prior to February 1, 2009			
2001	Liberty Mutual	\$	35.00
2004	Wausau Insurance Company		-
2005	CSS LLC - Des Moines CL Claim (<i>Intracorp</i>)		275.00
2005	Sectrum Managed Care		-
2006	EMC Insurance Companies		275.00
2006	Gallagher Bassett - Des Moines		315.00
2006	Liberty Mutual		315.00
2006	Traffic Insurance LTD		315.00
2006	EMC Insurance Companies		315.00
2006	Liberty Mutual		315.00
2006	Ace Property and Casualty Companies		315.00
2006	Tyson Foods, INC		275.00
2006	Sentry Claims Service		275.00
2006	Carpenter Law Firm		75.00
2006	Bass & Babb Companies		275.00
2006	West Bend Mutual		315.00
2007	Liberty Mutual		315.00
2007	Advance Medical		1,000.00
2007	The Travelers Indemnity Company		325.00
2007	Advance Medical		1,000.00
2007	Liberty Mutual		325.00
2007	Vanderginist Law, P.C.		325.00
2007	Gallagher Bassett - CHGO/SCHAUMB		325.00
2007	Society Insurance		325.00
2007	Sedgwick Claims Management Services, Inc		325.00
2007	Continental Western Group		325.00
2007	Acuity		325.00
2007	Gallagher Bassett		325.00
2007	UNUM Life Insurance Company		125.00
2007	GuideOne Elite Insurance Company		325.00
2007	AIG Domestic Claims, Inc.		315.00
2007	Advance Medical		1,000.00
2007	William Habhab		75.00
2007	Tyson Foods, Inc		50.00
2007	Harned & McMeen		125.00
2007	Bass & Babb Companies		-
2007	Claims Management, Inc.		500.00
2007	Claims Management, Inc.		500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepayment for conference call	Prepayment	Y	\$ -	NA	\$ 35.00
impairment rating	Report	N	-	NA	-
Rating Report	Report	N	-	NA	275.00
impairment rating	Report	Y	-	NA	-
reviewing and preparing disability rating	Report	N	-	NA	275.00
review med records	Report	Y	-	NA	315.00
Pre-payment for review of medical records	Report	Y	-	NA	315.00
Review of medical records	Report	N	-	NA	315.00
Report	Report	Y	-	NA	315.00
Pre-payment for medical report	Report	Y	-	NA	315.00
Rec. Review	Report	Y	-	NA	315.00
doctor	Report	Y	-	NA	275.00
impairment rating	Report	Y	-	NA	275.00
review medical records and prepare report	Report	Y	-	NA	75.00
review records and prepare report	Report	Y	-	NA	275.00
review record and prepare report	Report	Y	-	NA	315.00
Medical records	Report	Y	-	NA	315.00
second medical opinion	Opinion	N	-	NA	1,000.00
Special Reports or Forms	Report	Y	-	NA	325.00
Second Medical Opinion	Opinion	N	-	NA	1,000.00
Medical Report	Report	Y	-	NA	325.00
impairment rating Report	Report	Y	-	NA	325.00
Rating Opinion	Report	N	-	NA	325.00
Professional Services	Report	N	-	NA	325.00
impairment report	Report	N	-	NA	325.00
MMI/PPI Report	Report	N	-	NA	325.00
Impairment rating	Report	N	-	NA	325.00
impairment rating/reviewing medical record and support	Report	Y	-	NA	325.00
Medical Record Copy Fee	Other	Y	-	NA	125.00
Rating Report	Report	Y	-	NA	325.00
rating report	Report	N	-	NA	315.00
Second Medical Opinion	Opinion	N	-	NA	1,000.00
review records and preparing report	Report	Y	-	NA	75.00
report	Report	Y	-	NA	50.00
reviewing the medical record and preparing the enclosed report	Report	Y	-	NA	125.00
impairment rating	Report	Y	-	NA	-
Prepay for 2nd Opinion	Opinion	Y	-	NA	500.00
Other Med Item	Report	N	-	NA	500.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2007	Claims Management, Inc.	500.00
2008	Advance Medical	500.00
2008	Liberty Mutual	325.00
2008	Advance Medical	500.00
2008	National Union Fire	335.00
2008	Liberty Mutual	335.00
2008	Gallagher Bassett - CHGO/SCHAUMB	335.00
2008	Holmes Murphy and Associates	500.00
2008	The Travelers - Des Moines	335.00
2008	Advance Medical	500.00
2008	Liberty Mutual	500.00
2008	Advance Medical	500.00
2008	Nationwide Agribusiness/Farmland Insurance	85.00
2008	AIG Domestic Claims, Inc.	345.00
2008	NA	345.00
2008	NA	500.00
2008	Harry Dahl	500.00
	Subtotal	18,885.00
After February 1, 2009		
2009	Midwest Medical Insurance Company	1,950.00
2009	Temp Associates - Burlington Inc.	345.00
2009	United Fire Group	345.00
2009	EMC Risk Services, LLC	345.00
2009	Mi-T-M Corporation	345.00
2009	The Travelers Indemnity Company of Connecticut	500.00
2009	Sedgwick Claims Management Services	500.00
2009	Gallagher Bassett - Des Moines	345.00
2009	C N A	500.00
2009	Truck Insurance Exchange	500.00
2009	Tyson Foods	500.00
2009	Gallagher Bassett - CHGO/SCHAUMB	500.00
2009	AIU Holding Inc	500.00
2009	The Hartford - Central Work Comp	500.00
2009	The Hartford - Central Work Comp	500.00
2009	Gallagher Bassett	125.00
2009	Advance Medical	500.00
2009	The Travelers Indemnity Co of CT	500.00
2009	St. Paul Travelers	345.00
2009	Tyson Foods, Inc	455.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
IME - Carrier Request	Report	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Pmnt for PPD rating	Report	N	-	NA	325.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Work Related/ Med DBLT XM	Other	N	-	NA	335.00
Records review & report	Report	Y	-	NA	335.00
Rating Medical Review	Report	N	-	NA	335.00
prepay record review	Prepayment	N	-	NA	500.00
Pre-Pay on Report	Prepayment	N	-	NA	335.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Prepayment for Evaluation	Prepayment	Y	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Pmt. For report	Report	N	-	NA	85.00
Rating Report	Report	Y	-	NA	345.00
review records and prepare report	Report	Y	-	NA	345.00
second opinion	Opinion	N	-	NA	500.00
pre-pay for second opinion	Prepayment	Y	-	NA	500.00
			-		18,885.00
casefile	Other	N	1,950.00	04/03/09	-
Evaluation patient & generate a standard report	Report	Y	345.00	04/20/09	-
prepare report	Report	Y	345.00	04/20/09	-
Rating Fee/impairment rating	Report	N	345.00	05/05/09	-
Review	Record Review	N	345.00	05/18/09	-
prepay physician charges	Prepayment	N	500.00	06/08/09	-
prepay for second opinion	Prepayment	N	500.00	06/30/09	-
impairment report	Report	N	345.00	06/30/09	-
prepay records review	Prepayment	Y	500.00	07/27/09	-
prepay for office visit/exam	Prepayment	Y	500.00	09/10/09	-
prepay for second opinion	Prepayment	N	500.00	09/21/09	-
prepay for second opinion	Prepayment	Y	-	NA	500.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
doctor	Opinion	N	-	NA	500.00
Prepayment	Prepayment	N	500.00	12/01/09	-
medical report	Report	N	125.00	12/08/09	-
second medical opinion	Opinion	N	-	NA	500.00
prepay physician charges	Prepayment	Y	-	NA	500.00
review record and prepare report	Report	N	-	NA	345.00
review record and prepare report	Report	N	-	NA	455.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2009	The Benson Law Firm	225.00
2009	CorVel Corporation	500.00
2009	Frank Santiago Attorney at Law	500.00
2010	United Heartland	375.00
2010	Accident Fund	500.00
2010	CASEY'S GENERAL STORE INC.	375.00
2010	The IMT Group	195.00
2010	Lafayette Ins. Co	375.00
2010	Truck Insurance Exchange	395.00
2010	Shuttleworth & Ingersoll, P.L.C	162.00
2010	John Deere Group Benefits	500.00
2010	Gallagher Bassett - CHGO/SCHAUMB	395.00
2010	Nordstrom	500.00
2010	Liberty Mutual	500.00
2010	QBE	500.00
2010	American Physicians Assurance Corp	600.00
2010	Gallagher Bassett - Des Moines	500.00
2010	United Heartland	500.00
2010	Selective	395.00
2010	Advance Medical	500.00
2010	Tyson Foods	500.00
2010	Liberty Mutual	395.00
2010	Speciality Risk Services LLC	395.00
2010	Advance Medical	500.00
2010	Law office of John T. Hemminger	500.00
2010	West Bend	700.00
2010	Tyson Foods	395.00
2010	The Cincinnati Insurance Company	500.00
2010	Helmsman Management Services LLC	500.00
2010	Corvel	395.00
2010	Elwood, Elwood, & Buchanan	395.00
2010	The Travelers - Overland Park	395.00
2010	Law office of John T. Hemminger	1,250.00
2010	Pekin Insurance	395.00
2010	Lagrange	500.00
2010	Liberty Mutual	500.00
2010	EMC Insurance	500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	225.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
impairment rating	Report	N	-	NA	500.00
Reviewing Med. Records and prep. Enclosed report	Report	Y	375.00	02/26/10	-
Prepayment	Prepayment	N	500.00	03/05/10	-
NA	Report	N	375.00	03/05/10	-
Review Med Record and Prep Report	Report	Y	195.00	03/15/10	-
Review Med Record and Prep Report	Report	Y	375.00	03/15/10	-
Other Treatment	Exam	Y	395.00	03/29/10	-
Review and Revise Supplement Opinion Statement	Opinion	N	162.00	03/29/10	-
Prepayment for second opinion	Prepayment	Y	500.00	05/04/10	-
MMI and Impairment Rating	Report	N	395.00	05/13/10	-
prepayment for second opinion evaluation (wc medical records for review)	Prepayment	Y	500.00	07/06/10	-
prepayment for second opinion	Prepayment	Y	500.00	07/06/10	-
Prepayment for second opinion	Prepayment	N	500.00	07/06/10	-
evaluation	Exam	N	600.00	07/29/10	-
prepay for second opinion	Prepayment	Y	500.00	08/13/10	-
Review Med. Record - 2nd opinion	Opinion	N	-	NA	500.00
PPD Report	Report	N	395.00	08/25/10	-
Second Medical Opinion	Opinion	N	500.00	08/25/10	-
prepay for second opinion	Prepayment	N	-	NA	500.00
Record, Review, and Report	Report	Y	395.00	09/09/10	-
Rating Report	Report	Y	395.00	09/21/10	-
Expert Medical Opinion	Opinion	N	-	NA	500.00
prepayment for second opinion	Prepayment	Y	-	NA	500.00
Prepayment for second opinion	Prepayment	N	700.00	10/28/10	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	11/05/10	-
re exam pre pay fee	Prepayment	N	500.00	11/15/10	-
prepay for second opinion	Prepayment	N	500.00	11/26/10	-
prepay for Review of Records	Report	Y	395.00	12/21/10	-
prepay review records	Report	Y	395.00	12/14/10	-
Review medical record and report	Report	Y	395.00	12/21/10	-
opinion	Opinion	N	1,250.00	01/07/11	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	01/07/11	-
Prepayment for second opinion	Prepayment	N	-	NA	500.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
second opinion	Opinion	N	-	NA	500.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2010	Ball, Kirk & Holm, P.C.	395.00
2010	CorVel Corporation	175.00
2010	NA	175.00
2010	Katherine Sams	500.00
2011	The Cincinnati Insurance Company	500.00
2011	Speciality Risk Services LLC	395.00
2011	Advance Medical	500.00
2011	Advance Medical	500.00
2011	Gallagher Bassett - Des Moines	395.00
2011	The Cincinnati Insurance Company	200.00
2011	Tyson Foods	500.00
2011	Sedgwick Claims Management Services	125.00
2011	Church Mutual	500.00
2011	Tyson Foods	225.00
2011	CBC Workers Compensation	500.00
2011	Acuity	395.00
2011	Liberty Mutual	500.00
2011	Tyson Foods	500.00
2011	The Cincinnati Insurance Company	395.00
2011	The Travelers - Overland Park	750.00
2011	Zurich American Insurance Co.	500.00
2011	EMC Risk Services, LLC	500.00
2011	Farm Bureau Property & Casualty Insurance Company	395.00
2011	Michael J. Warner & Associates	1,000.00
2011	Tyson Foods	500.00
2011	CANNON COCTRAN MANAGEMENT SERVICES INC	500.00
2011	Advance Medical	500.00
2011	Zurich American Insurance Co.	500.00
2011	CANNON COCTRAN MANAGEMENT SERVICES INC	600.00
2011	DATOKA TRUCK UNDERWRITERS	600.00
2011	The Travelers - Overland Park	250.00
2011	Woodlake Medical Management	750.00
2011	Sedgwick Claims Management Services	395.00
2011	IMWCA	250.00
2011	Sedgwick Claims Management Services	395.00
2011	Tyson Foods	500.00
2011	Sedgwick Claims Management Services	250.00
2011	Nordstrom	500.00
2011	Liberty Mutual	395.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	395.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	175.00
Review medical records and prepare report	Report	N	-	NA	175.00
Prepayment for second opinion	Report	N	-	NA	500.00
prepayment for second opinion	Prepayment	N	500.00	01/18/11	-
Review medical record and report	Report	Y	395.00	01/27/11	-
second medical opinion	Opinion	N	500.00	02/14/11	-
second medical opinion	Opinion	N	500.00	02/25/11	-
Impairment Rating	Report	N	395.00	02/25/11	-
Updated Impairment Rating Charge	Report	N	200.00	03/14/11	-
prepay review records	Prepayment	N	500.00	03/14/11	-
medical report	Report	N	125.00	03/14/11	-
prepay independent medical exam	Prepayment	Y	500.00	03/14/11	-
REVIEW RECORDS	Record Review	N	225.00	03/22/11	-
prepayment for evaluation	Prepayment	N	500.00	03/31/11	-
Impairment report	Report	Y	395.00	04/05/11	-
pre-payment for second opinion	Prepayment	N	500.00	04/11/11	-
prepayment for evaluation	Prepayment	N	500.00	04/21/11	-
Workers Comp - Medical	Report	Y	395.00	04/21/11	-
prepayment for IME	Prepayment	N	750.00	04/27/11	-
Medical Evaluation - Independent	Exam	N	500.00	04/27/11	-
prepayment for evaluation	Prepayment	Y	500.00	05/03/11	-
Rating	Report	Y	395.00	05/03/11	-
client costs advanced - exp	Prepayment	N	1,000.00	05/17/11	-
prepay review records	Prepayment	Y	500.00	05/17/11	-
prepayment for evaluation	Prepayment	N	500.00	06/03/11	-
NA	NA	N	500.00	06/09/11	-
prepay	Prepayment	Y	500.00	06/14/11	-
prepayment	Prepayment	Y	600.00	06/14/11	-
prepayment	Prepayment	N	600.00	06/14/11	-
prepayment prior to visit	Prepayment	N	250.00	06/14/11	-
prepay ime	Prepayment	N	750.00	06/14/11	-
Medical Report	Report	N	395.00	06/27/11	-
prepay	Prepayment	Y	250.00	06/27/11	-
Doctor	Report	N	395.00	07/05/11	-
prepayment for evaluation	Prepayment	N	500.00	06/27/11	-
prepay independent medical exam	Prepayment	N	250.00	07/05/11	-
Prepayment for IME/Med Legal	Prepayment	Y	500.00	07/06/11	-
Rating Fee	Report	Y	395.00	07/21/11	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2011	EMC Insurance Companies	700.00
2011	Claims Management Inc	500.00
2011	Acuity	395.00
2011	BP Claims WC West	395.00
2011	EMC Insurance Companies	150.00
2011	Gallagher Bassett - Des Moines	500.00
2011	QBE	500.00
2011	Risk Administration Services	395.00
2011	Tyson Foods	395.00
2011	Pothitakis Law Firm	35.00
2011	Cambridge Integrated Services Group	395.00
2011	Acuity	395.00
2011	Tyson Foods	395.00
2011	BITUMINOUS Insurance Companies	395.00
2011	Chartis	250.00
2011	Integrity Medicolegal Enterprises	750.00
2011	Liberty Mutual	395.00
2011	Claims Management Inc	395.00
2011	Tyson Foods	500.00
2011	United Heartland	395.00
2011	Great American Alliance Ins. Co.	395.00
2011	CCMST RED ROBIN	395.00
2011	The Cincinnati Insurance Company	250.00
2011	Acuity	395.00
2011	Advance Medical	500.00
2011	Ace Property and Casualty Companies	395.00
2011	The Travelers - Overland Park	395.00
2011	Integrity Medicolegal Enterprises	750.00
2011	Liberty Mutual	395.00
2011	Gallagher Bassett - Kansas City	750.00
2011	CASEY'S GENERAL STORE INC.	750.00
2011	The Cincinnati Insurance Company	350.00
2011	QBE	600.00
2011	Ace Property and Casualty Companies	395.00
2011	EMC Insurance Companies	500.00
2011	Zurich Insurance Company	395.00
2011	Integrity Medicolegal Enterprises	500.00
2011	Sentry Insurance	395.00
2011	Alaris Group	395.00
2011	Gallagher Bassett	395.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepayment	Prepayment	Y	700.00	08/08/11	-
prepay ime	Prepayment	Y	500.00	08/22/11	-
Prepaying PPI Report	Report	Y	395.00	08/22/11	-
PPD Rating Report	Report	N	395.00	08/22/11	-
prepay phone conference	Prepayment	Y	150.00	08/31/11	-
Medical IME/2nd Opinion	Opinion	N	500.00	08/31/11	-
prepayment for Steve Moeller	Prepayment	Y	500.00	08/31/11	-
Misc Expense	Report	N	395.00	09/16/11	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	09/16/11	-
report	Report	N	35.00	09/16/11	-
Impairment Rating	Report	Y	395.00	09/30/11	-
Impairment Rating	Report	N	395.00	09/30/11	-
review records	Report	N	395.00	10/14/11	-
Medical Record Review Report	Report	Y	395.00	10/14/11	-
prepay review records	Prepayment	Y	-	NA	250.00
Prepayment for IME	Prepayment	Y	750.00	10/31/11	-
Rating Report Fee	Report	Y	395.00	11/20/11	-
MMI	Report	N	395.00	10/31/11	-
prepayment for evaluation	Prepayment	N	-	NA	500.00
Report Preparation	Report	Y	395.00	11/20/11	-
Impairment Rating	Report	Y	-	NA	395.00
rating rpt	Report	N	395.00	11/23/11	-
prepay wc	Prepayment	N	250.00	11/20/11	-
PPI Report	Report	N	395.00	11/23/11	-
second medical opinion	Opinion	N	500.00	12/09/11	-
PPD Report	Report	N	395.00	12/09/11	-
review record and prepare report	Report	N	395.00	12/16/11	-
IME	Record Review	N	-	NA	750.00
Rating Fee	Report	N	395.00	12/29/11	-
prepayment for IME	Prepayment	N	750.00	12/16/11	-
Prepayment	Prepayment	N	750.00	12/16/11	-
prepay review records	Prepayment	N	350.00	12/16/11	-
Prepayment required physicians	Prepayment	N	600.00	12/29/11	-
Rating RPT	Report	N	395.00	12/29/11	-
prepayment for evaluation	Prepayment	Y	500.00	12/29/11	-
Report Expense	Report	N	395.00	01/07/12	-
IME	Record Review	N	500.00	01/07/12	-
review record and prepare report	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2011	Alaris Group	395.00
2011	Coventry Health Care	750.00
2011	Bunch & Associates	395.00
2011	CorVel Corporation	750.00
2011	Gomez May Law	500.00
2011	NA	395.00
2011	BroadSpire	500.00
2011	Integrity Medicolegal Enterprises	500.00
2011	Compsource	600.00
2011	Mid American	600.00
2011	NA	500.00
2011	Claims Management Inc	395.00
2011	MJW Law	500.00
2011	Cincinnati Insurance	395.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Advance Medical	500.00
2012	Advance Medical	500.00
2012	Sedgwick	395.00
	Subtotal	71,202.00
	Total	\$ 90,087.00

Y - Confirmed by UIHC as a patient.

N - Not confirmed by UIHC as a patient because of lack of information.

NA - Not applicable.

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Review medical records and prepare report	Report	Y	-	NA	395.00
prepayment	Prepayment	N	-	NA	750.00
Review medical records and prepare report	Report	N	-	NA	395.00
Prepayment for evaluation	Prepayment	N	-	NA	750.00
Prepayment for evaluation	Prepayment	N	-	NA	500.00
review record and prepare report	Report	Y	-	NA	395.00
Prepayment for evaluation	Prepayment	N	-	NA	500.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	500.00
Prepayment for evaluation	Prepayment	N	-	NA	600.00
Prepayment for evaluation	Prepayment	N	-	NA	600.00
review record and prepare report	Report	N	-	NA	500.00
Impairment Rating	Report	Y	-	NA	395.00
Prepayment for evaluation	Prepayment	N	-	NA	500.00
review record and prepare report	Report	Y	-	NA	395.00
Impairment Rating	Prepayment	Y	395.00	05/30/12	-
Second Medical Opinion	Opinion	N	500.00	10/21/12	-
Second Medical Opinion	Opinion	N	500.00	01/05/13	-
review record and prepare report	Report	Y	-	NA	395.00
			51,282.00		19,920.00
			\$ 51,282.00		\$ 38,805.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
Prior to February 1, 2009		
1999	Yaeger, Jungbauer, Barczak & Roe	\$ 350.00
1999	Patrick Carpenter of Carpenter Law Firm	100.00
2000	Pronational Ins Co	1,000.00
2000	EMC Insurance Companies	75.00
2000	Tom Riley Law Firm, PLC	75.00
2000	Hedberg, Ward, Owens & Vonderhaar	75.00
2000	James Jeans Attorney at Law	50.00
2000	Twin Citites W.C. CTR	300.00
2001	Bauer, Schulte, Hahn, Swanson, & Brown	35.00
2001	Law Office of Hoffmann & McConkey PLC	200.00
2001	Brooke & Halligan PLC Attorneys & Counselors	100.00
2001	United Heartland	35.00
2001	Chubb Group of Insurance Companies	35.00
2001	Braud, Westensee & VanDerGinst LTD	150.00
2001	Hopkirk and Feightner, INC	35.00
2001	Sinclair & Associates PC	50.00
2001	Tom Riley Law Firm, PLC	100.00
2003	Joseph L. Fitzgibbons	-
2003	Lisa Carpenter	-
2004	Dennis Emanuel	-
2004	NA	100.00
2004	NA	50.00
2004	Kevin Babb	225.00
2004	Concentra	200.00
2004	Tyson Foods	200.00
2004	LM Insurance Corporation	-
2004	Farm Bureau Financial Services	-
2004	Liberty Mutual Group	200.00
2004	St. Paul Travelers	-
2004	Hartford Insurance	250.00
2005	Crowley & Bungler, Attorneys & Counselors at Law	275.00
2005	Gallagher Bassett - Des Moines	275.00
2005	West Bend Mutual	250.00
2005	Coordinated Medical Care	-
2005	Farm Bureau Financial Services	250.00
2005	State Farm Insurance	75.00
2005	Betty, Neuman & McMahon, PLC	150.00
2005	Ward North America Inc	300.00
2005	Bradshaw, Fowler, Proctor & Fairgrave PC	250.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
meeting/report	Report	N	\$ -	NA	\$ 350.00
impairment rating	Report	N	-	NA	100.00
medical review	Record Review	N	-	NA	1,000.00
impairment rating	Report	N	-	NA	75.00
report	Report	N	-	NA	75.00
discuss opinion on patient	Opinion	Y	-	NA	75.00
report	Opinion	Y	-	NA	50.00
review of document and medical records	Record Review	N	-	NA	300.00
prepayment of report	Prepayment	N	-	NA	35.00
response to medical records	Report	Y	-	NA	200.00
prepayment for medical report	Prepayment	N	-	NA	100.00
rating permanency	Report	N	-	NA	35.00
rating report	Report	Y	-	NA	35.00
prepayment for report	Prepayment	Y	-	NA	150.00
Impairment rating	Report	N	-	NA	35.00
reviewing chart	Record Review	Y	-	NA	50.00
prepayment for report	Prepayment	Y	-	NA	100.00
review records	Record Review	N	-	NA	-
impairment rating	Report	Y	-	NA	-
impairment rating	Report	N	-	NA	-
review record and prepare report	Report	N	-	NA	100.00
review record and prepare report	Report	N	-	NA	50.00
review records and prepare report	Report	N	-	NA	225.00
review record and prepare report	Report	N	-	NA	200.00
review record and prepare report	Report	Y	-	NA	200.00
impairment rating	Report	Y	-	NA	-
impairment rating	Report	N	-	NA	-
review record and prepare report	Report	Y	-	NA	200.00
impairment rating	Report	Y	-	NA	-
review records and prepare report	Report	Y	-	NA	250.00
reviewing medical records & preparing report	Report	N	-	NA	275.00
IME	Report	N	-	NA	275.00
review records and prepare report	Report	Y	-	NA	250.00
impairment rating	Report	Y	-	NA	-
reviewing record and prepare report	Report	N	-	NA	250.00
review record and prepare report	Report	Y	-	NA	75.00
review record and prepare report	Report	N	-	NA	150.00
review records and prepare report	Report	N	-	NA	300.00
review of medical records	Report	N	-	NA	250.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2005	Lori Watson	-
2005	Liberty Mutual	-
2006	CSS LLC - Des Moines CL Claim	275.00
2006	Wausau (<i>Member of Liberty Mutual Group</i>)	275.00
2006	Grinnell Mutual Reinsurance Company	275.00
2006	C N A	275.00
2006	United Heartland	275.00
2006	United Heartland	275.00
2006	Wertz Law Firm	75.00
2006	Risk Administration Services	275.00
2006	Iowa State Bank & Trust Company	717.22
2006	Pothitakis Law Firm, P.C.	100.00
2006	Bradshaw, Fowler, Proctor & Fairgrave PC	250.00
2006	Liberty Mutual	275.00
2006	Advance Medical	395.94
2006	Liberty Mutual	275.00
2006	C N A	1,000.00
2006	Zurich American Insurance Co.	275.00
2006	Selective	275.00
2006	Travelers Indemnity Company	66.00
2006	Liberty Mutual	275.00
2006	ESIS, Inc	275.00
2006	Gallagher Bassett - Des Moines	275.00
2006	Pothitakis Law Firm, P.C.	275.00
2006	Travelers Indemnity Company of Connecticut	315.00
2006	Ace Property and Casualty Companies	315.00
2006	Progressive Casualty Insurance Company	100.00
2006	Travelers Indemnity Company of Connecticut	315.00
2006	Hansen Mcclintock & Riley Attorneys at Law	100.00
2006	Intermed Insurance Co	825.00
2006	ESIS, Inc	315.00
2006	Lavin Law Offices, PC	1,750.00
2006	EMC Insurance Companies	315.00
2006	Travelers Indemnity Company	277.20
2006	Traffic Insurance LTD	315.00
2006	Liberty Mutual	315.00
2006	Liberty Mutual	315.00
2006	Judith O'Donohoe	175.00
2006	The Hartford Medical Management Center	315.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
impairment rating	Report	Y	-	NA	-
impairment rating	Report	Y	-	NA	-
Physician charges	Report	N	-	NA	275.00
medical record	Report	Y	-	NA	275.00
review medical records & report	Report	Y	-	NA	275.00
impairment rating	Report	N	-	NA	275.00
ppd rating	Report	N	-	NA	275.00
medical rating fee	Report	N	-	NA	275.00
prepay for review of records	Prepayment	N	-	NA	75.00
physician/clinic	Report	Y	-	NA	275.00
collected funds for check drawn on Deutsche Bank, Barcelona dated 3/30/06	Other	N	-	NA	717.22
report and med rec.	Report	Y	-	NA	100.00
expert review of medical records	Report	N	-	NA	250.00
impairment rating	Report	N	-	NA	275.00
second medical opinion	Opinion	N	-	NA	395.94
prepayment for review & preparation of report	Report	N	-	NA	275.00
prepay for exam	Prepayment	N	-	NA	1,000.00
impairment rating	Report	N	-	NA	275.00
PPI rating	Report	N	-	NA	275.00
Special Reports or Forms for Workers' Compensation	Other	N	-	NA	66.00
MMI medical records	Report	N	-	NA	275.00
impairment rating	Report	Y	-	NA	275.00
medical records and report	Report	N	-	NA	275.00
report & med rec.	Report	Y	-	NA	275.00
impairment rating	Report	Y	-	NA	315.00
Rec. Review	Report	Y	-	NA	315.00
medical report	Report	Y	-	NA	100.00
Physician charges	Report	N	-	NA	315.00
prepay	Prepayment	N	-	NA	100.00
review records and conference call	Record Review	N	-	NA	825.00
prepayment	Report	N	-	NA	315.00
review of hospital records	Record Review	N	-	NA	1,750.00
reviewing the medical records & report	Report	Y	-	NA	315.00
Special Service/Proc/Report	Report	Y	-	NA	277.20
med rec review & report	Report	N	-	NA	315.00
Fee for impairment rating report	Report	Y	-	NA	315.00
Medical Record	Report	N	-	NA	315.00
review medical record, determine impairment, report	Report	Y	-	NA	175.00
Misc Medical	Report	N	-	NA	315.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2006	Travelers Indemnity Co of CT	22.00
2006	Acuity	315.00
2006	Day Spring Medical Case Management	-
2006	NA	275.00
2006	Creative Risk Solutions	275.00
2006	Jeffrey P. Berg Attorney & Counselor at Law	75.00
2006	Nationwide	275.00
2006	Carpenter Law Firm	275.00
2006	Wertz Law Firm	75.00
2006	Tyson Foods, INC	175.00
2006	United Fire & Casualty Company	275.00
2006	West Bend Mutual	275.00
2006	ESIS, Inc	275.00
2006	Tyson Foods, INC	295.00
2006	Bass & Babb Companies	-
2006	The Cincinnati Companies	315.00
2006	John Deere	315.00
2006	Jessica Kemp	-
2006	Liberty Mutual	315.00
2006	Zenith	315.00
2006	Broadspire	315.00
2006	NA	315.00
2006	Cincinnati Insurance Companies	-
2006	Federated Insurance	315.00
2006	Jerry Schnurr III	175.00
2006	CL CSC ST PT WEST - CSC	315.00
2006	Bass & Babb Companies	-
2007	EMC Insurance Companies	315.00
2007	Zurich Insurance Company	315.00
2007	Zurich Insurance Company	315.00
2007	Paul McAndrew Law Firm	115.00
2007	United States Fire Insurance Co	315.00
2007	Liberty Mutual	315.00
2007	Grinnell Mutual Reinsurance Company	315.00
2007	Accident Fund	315.00
2007	Grinnell Mutual Reinsurance Company	315.00
2007	Accident Fund	315.00
2007	Liberty Mutual	315.00
2007	Moranville & Jackson, P.C.	315.00
2007	EMC Insurance Companies	315.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Disability Examination	Exam	Y	-	NA	22.00
Medical records review and report	Report	N	-	NA	315.00
impairment rating	Report	Y	-	NA	-
workers comp	Report	Y	-	NA	275.00
impairment rating	Report	Y	-	NA	275.00
reviewing medical record and preparing report	Report	Y	-	NA	75.00
permanency rating	Report	N	-	NA	275.00
review medical records and prepare report	Report	Y	-	NA	275.00
preparation of report	Report	N	-	NA	75.00
record copies	Other	Y	-	NA	175.00
reviewing medical record and preparing report	Report	N	-	NA	275.00
review record and prepare report	Report	N	-	NA	275.00
review medical record & preparing the enclosed report	Report	N	-	NA	275.00
doctor	Other	Y	-	NA	295.00
impairment rating	Report	Y	-	NA	-
review medical records and review report	Report	Y	-	NA	315.00
impairment rating	Report	Y	-	NA	315.00
impairment rating	Report	N	-	NA	-
review record and prepare report	Report	Y	-	NA	315.00
fee	Report	N	-	NA	315.00
Fee for review of medical records	Report	N	-	NA	315.00
Impairment report	Report	N	-	NA	315.00
impairment rating	Report	Y	-	NA	-
reviewing medical record and preparing the report	Report	Y	-	NA	315.00
review medical record, determine impairment, report	Report	Y	-	NA	175.00
1 visit	Report	Y	-	NA	315.00
impairment rating	Report	Y	-	NA	-
Impairment Rating	Report	N	-	NA	315.00
Medical records	Report	Y	-	NA	315.00
Medical Report	Report	N	-	NA	315.00
Report	Report	N	-	NA	115.00
Spec Reports	Report	Y	-	NA	315.00
Medical records- PPD Report	Report	N	-	NA	315.00
Medical record	Report	N	-	NA	315.00
Reviewing medical and report	Report	Y	-	NA	315.00
review record and prepare report	Report	Y	-	NA	315.00
reviewing medical and report	Report	N	-	NA	315.00
Medical records and prepayment report	Report	N	-	NA	315.00
Medical report	Report	N	-	NA	315.00
Impairment rating	Report	Y	-	NA	315.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2007	Creative Risk Solutions	315.00
2007	Clinical Advisors	150.00
2007	Pothitakis Law Firm, P.C.	25.00
2007	Gallagher Bassett - Des Moines	315.00
2007	Liberty Mutual	500.00
2007	NA	315.00
2007	Integrity Insurance	325.00
2007	Winterth	-
2007	Gallagher Bassett - Des Moines	500.00
2007	Advance Medical	500.00
2007	Paul McAndrew Law Firm	30.00
2007	Zurich Insurance Company	315.00
2007	Liberty Mutual	325.00
2007	Liberty Mutual	325.00
2007	Gallagher Bassett - Des Moines	125.00
2007	Selective	315.00
2007	Liberty Mutual	325.00
2007	Society Insurance	325.00
2007	Advance Medical	500.00
2007	Gallagher Bassett - Des Moines	325.00
2007	Central States Health & Life Co. of Iowa	195.00
2007	Pekin Insurance	325.00
2007	The Travelers - Des Moines	125.00
2007	Claims Management	500.00
2007	Secura Insurance Companies	325.00
2007	The Hartford - Central Work Comp	325.00
2007	Accident Fund	325.00
2007	Liberty Mutual	125.00
2007	United Heartland	325.00
2007	Clinical Advisors	150.00
2007	Zurich Insurance Company	325.00
2007	Paul McAndrew Law Firm	500.00
2007	Gallagher Bassett - Des Moines	325.00
2007	EMC	325.00
2007	Grinnell Mutual Reinsurance Company	325.00
2007	EMC Insurance Companies	325.00
2007	Accident Fund	325.00
2007	United Fire & Casualty Company	325.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
MMI/PPD Report	Report	N	-	NA	315.00
consulting with GPP	Other	N	-	NA	150.00
review medical records and report	Report	Y	-	NA	25.00
Payment for report - impairment	Report	N	-	NA	315.00
Clinical Evaluation	Exam	Y	-	NA	500.00
Doctor	Report	Y	-	NA	315.00
review record and prepare report	Report	Y	-	NA	325.00
Impairment rating	Report	N	-	NA	-
Prepayment for IME	Prepayment	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Report	Report	N	-	NA	30.00
Medical Evaluation	Report	N	-	NA	315.00
Medical Record Review	Report	N	-	NA	325.00
Medical Review	Report	N	-	NA	325.00
Review and Prepare of Report	Report	N	-	NA	125.00
Professional Services	Report	N	-	NA	315.00
Medical Record Review	Report	Y	-	NA	325.00
Reviewing records and preparing report	Report	N	-	NA	325.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Reviewing Medical Records and report	Report	N	-	NA	325.00
reviewing the medical record and preparing enclosed report	Report	Y	-	NA	195.00
Impairment rating	Report	Y	-	NA	325.00
pre-payment for narrative	Prepayment	N	-	NA	125.00
review of medical records and other additional services that this case will require	Other	N	-	NA	500.00
Impairment rating	Report	N	-	NA	325.00
Defense Independent Medical Exam	Report	Y	-	NA	325.00
Records/Review	Report	N	-	NA	325.00
Prepayment	Prepayment	Y	-	NA	125.00
Records Fees	Report	Y	-	NA	325.00
Consulting w/ Laura@TP	Other	N	-	NA	150.00
MMI Report	Report	Y	-	NA	325.00
Report	Report	Y	-	NA	500.00
Impairment rating for treating physician	Report	N	^ 325.00	11/13/07	-
Impairment rating	Report	Y	^ 325.00	11/13/07	-
Impairment rating	Report	N	-	NA	325.00
PPD report	Report	Y	-	NA	325.00
Review of Medical Report	Report	Y	-	NA	325.00
Reviewing records and preparing report	Report	Y	-	NA	325.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2007	Travelers CAS & Surety Company	325.00
2007	CL CSC ST PT WEST - CSC	125.00
2007	Swisher & Cohrt, P.L.C	125.00
2007	AIG CS	-
2007	The IMT Group	315.00
2007	Creative Risk Solutions	315.00
2007	Tyson Foods, Inc	215.00
2007	Phelan Tucker Mullen WalkerTucker Gelman LLP Attorneys at Law	315.00
2007	CL CSC ST PT WEST - CSC	325.00
2007	Tyson Foods, Inc	500.00
2007	Advance Medical	1,000.00
2007	United Fire & Casualty Company	325.00
2007	Michael T. Norris	125.00
2007	Tyson Foods, Inc	325.00
2007	Corvel Corporation	325.00
2007	Grefe & Sidney	325.00
2007	Horace Mann Educated Financial Solutions	195.00
2007	Secura Insurance	-
2007	Advance Medical	500.00
2007	Cincinnati Insurance Companies	325.00
2007	NA	500.00
2007	Advance Medical	500.00
2007	C N A	325.00
2007	Liberty Mutual	500.00
2008	NA	125.00
2008	Gallagher Bassett - Des Moines (<i>Bass & Babb Companies</i>)	325.00
2008	EMC Insurance Companies	325.00
2008	Gallagher Bassett - Des Moines	325.00
2008	Advance Medical	500.00
2008	Moyer & Bergman, P.L.C	325.00
2008	Liberty Mutual	325.00
2008	Advance Medical	1,000.00
2008	Speciality Risk Services	325.00
2008	Speciality Risk Services	325.00
2008	Farm Bureau Mutual Insurance Company	335.00
2008	Accident Fund	325.00
2008	Acuity	325.00
2008	Pekin Insurance	500.00
2008	The Travelers - Des Moines	335.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Physician Charges	Report	Y	-	NA	325.00
visits from 1/30/07-1/30/07	Exam	Y	-	NA	125.00
review records and preparing report	Report	Y	-	NA	125.00
impairment rating	Report	Y	-	NA	-
reviewing the medical record and preparing the enclosed report	Report	Y	-	NA	315.00
MMI/PPD Report	Report	N	-	NA	315.00
Reviewing videos and preparing report	Report	Y	-	NA	215.00
opinion	Report	Y	-	NA	315.00
Visits from 04/25/07 thru 04/25/07	Exam	N	-	NA	325.00
Prepayment	Prepayment	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	1,000.00
Reviewing records and preparing report	Report	Y	-	NA	325.00
reviewing medical records and preparing report	Report	Y	-	NA	125.00
impairment rating	Report	Y	-	NA	325.00
Reviewing medical record and preparing enclosed report	Report	N	-	NA	325.00
review record and prepare report	Report	Y	-	NA	325.00
Medical Records Report	Report	N	-	NA	195.00
impairment rating	Report	Y	-	NA	-
Second Medical Opinion	Opinion	N	-	NA	500.00
review record and prepare report	Report	Y	-	NA	325.00
second opinion	Opinion	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Medical Report	Report	Y	-	NA	325.00
case review	Record Review	Y	-	NA	500.00
Spine Surgery	Other	N	-	NA	125.00
Pmt. For Impairment	Report	Y	-	NA	325.00
Medical Record review & report	Report	N	-	NA	325.00
Medical Report	Report	N	-	NA	325.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Review of medical records & report	Report	Y	-	NA	325.00
Prepayment Rating Report	Report	N	-	NA	325.00
Second Medical Opinion	Opinion	N	-	NA	1,000.00
doctor	Other	N	-	NA	325.00
doctor	Other	N	-	NA	325.00
Rating Report	Report	N	-	NA	335.00
Medical Records	Record Review	Y	-	NA	325.00
PPI Rating Fee	Report	Y	-	NA	325.00
Prepayment for appt	Prepayment	N	-	NA	500.00
Pre-Pay on MMI/PPD Request	Prepayment	Y	-	NA	335.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2008	Gallagher Bassett - St. Louis North	500.00
2008	Liberty Mutual	335.00
2008	Advance Medical	500.00
2008	Advance Medical	500.00
2008	Speciality Risk Services LLC	500.00
2008	Federated Rural Electric Insurance Exchange	335.00
2008	Zurich Insurance Company	335.00
2008	The Travelers - Des Moines	335.00
2008	Crawford & Company	400.00
2008	Advance Medical	500.00
2008	EMC Risk Services, LLC	335.00
2008	Pothitakis Law Firm	150.00
2008	United Fire Group	500.00
2008	Finley, Alt, Smith, Scharnberg, Craig, Hilmes & Gaffney, P.C.	1,500.00
2008	Ace Property and Casualty Companies	335.00
2008	The Hartford - Central Work Comp	500.00
2008	Liberty Mutual	500.00
2008	Advance Medical	500.00
2008	EMC Risk Services, LLC	335.00
2008	The Travelers - Des Moines	500.00
2008	Claims Management	335.00
2008	Nationwide (<i>Depositors Insurance Company</i>)	125.00
2008	NA	335.00
2008	Advance Medical	500.00
2008	Gerson Lehrman Group	500.00
2008	Nationwide	335.00
2008	C N A	335.00
2008	Liberty Mutual	500.00
2008	Liberty Mutual	500.00
2008	Pekin Insurance	345.00
2008	Integrity Insurance	345.00
2008	First Comp	500.00
2008	C N A	345.00
2008	Acuity	335.00
2008	State of Illinois	20.00
2008	United Healthcare	500.00
2008	GuideOne Elite Insurance Company	345.00
2008	Farm Bureau Mutual Insurance Company	345.00
2008	Travelers Indemnity Co of CT	345.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
pre pay	Prepayment	N	-	NA	500.00
Records review & report	Report	N	-	NA	335.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
doctor	Other	N	-	NA	500.00
medical review	Record Review	N	-	NA	335.00
med rec review & preparing rept	Report	N	-	NA	335.00
Charge for MMI/PPD Report	Report	Y	-	NA	335.00
phone conference	Other	Y	-	NA	400.00
Second Medical Opinion	Opinion	N	-	NA	500.00
review medical records and report/impairment rating	Report	N	-	NA	335.00
Rev. letter & report	Report	N	-	NA	150.00
Prepayment for 2nd opinion evaluation	Prepayment	Y	-	NA	500.00
Prepay for Review of Report	Prepayment	N	-	NA	1,500.00
Record and Review	Record Review	Y	-	NA	335.00
prepayment doctor	Prepayment	Y	-	NA	500.00
Prepayment for IME	Prepayment	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Impairment Rating	Report	Y	-	NA	335.00
prepay physician charges	Prepayment	N	-	NA	500.00
reviewing medical records and preparing the enclosed report	Report	N	-	NA	335.00
Medical Report and Records Review	Report	Y	-	NA	125.00
PPI Rating	Report	N	-	NA	335.00
Second Medical Opinion	Opinion	N	-	NA	500.00
GLG Conference Roundtable	Other	N	-	NA	500.00
PPD Exam	Report	N	-	NA	335.00
PPD Opinion	Opinion	N	-	NA	335.00
Pre-payment for 2nd Opinion	Prepayment	Y	-	NA	500.00
Prepayment for IME	Prepayment	Y	-	NA	500.00
Final Evaluation	Reocrd review	N	-	NA	345.00
Med Rec Review	Record Review	Y	-	NA	345.00
prepay 2nd opinion	Prepayment	Y	-	NA	500.00
Impairment Rating	Report	Y	-	NA	345.00
PPI Rating	Report	Y	-	NA	335.00
Pmt. For Medical Records	Other	Y	-	NA	20.00
Prepay Appt	Prepayment	N	-	NA	500.00
Rating Report, records review	Report	Y	-	NA	345.00
Disability Rating Letter & Exam	Report	Y	-	NA	345.00
Second Medical Opinion	Opinion	N	-	NA	345.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2008	Pekin Insurance	175.00
2008	Farm Bureau Mutual Insurance Company	325.00
2008	CL CSC STPT East	325.00
2008	Bass & Babb	335.00
2008	Bass & Babb	335.00
2008	Liberty Mutual	-
2008	Amy Evenson	115.00
2008	Accident Fund	-
2008	Tyson Foods Inc.	335.00
2008	Broadshire	-
2008	BP Claims WC West	175.00
2008	Tyson Foods Inc.	500.00
2008	Liberty Mutual	345.00
2008	Corvel	500.00
	Subtotal	72,728.36
After February 1, 2009		
2009	TransGaurd Insurance Company of America	500.00
2009	Daniel W. Hynes - State of Illinois	500.00
2009	The Travelers - Des Moines	345.00
2009	Gallagher Bassett - Des Moines	500.00
2009	City of Cedar Falls	345.00
2009	EMC Insurance Companies	500.00
2009	The Hartford - Central Work Comp	345.00
2009	Liberty Mutual	345.00
2009	TECHNOLOGY INSURANCE CO (Claims Funding)	500.00
2009	City of Cedar Falls	345.00
2009	Advance Medical	500.00
2009	Illinois Risk Management Services	500.00
2009	Iowa Mutual Insurance Company	500.00
2009	Simmons Perrine Moyer Bergman PLC	750.00
2009	Farm Bureau Mutual Insurance Company	345.00
2009	Gallagher Bassett - Des Moines	345.00
2009	Liberty Mutual	345.00
2009	Advance Medical	500.00
2009	Max Schott & Associates, P.C	345.00
2009	Tyson Foods	500.00
2009	Advance Medical	500.00
2009	Michael J. Warner & Associates	75.00
2009	Zurich Insurance Company	345.00
2009	Ahlers & Cooney PC	150.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Follow up Report	Other	N	-	NA	175.00
Impairment Rate	Report	Y	-	NA	325.00
Visit 01/07/08 thru 01/07/08	Exam	N	-	NA	325.00
review medical record and prepare report	Report	N	-	NA	335.00
review record and prepare report	Report	Y	-	NA	335.00
impairment rating	Report	Y	-	NA	-
review of records and prepare report	Report	Y	-	NA	115.00
impairment rating	Report	Y	-	NA	-
impairment rating	Report	N	-	NA	335.00
impairment rating	Report	N	-	NA	-
Visits from 07/11/08 thru 07/11/08	Exam	Y	-	NA	175.00
second opinion	Opinion	N	-	NA	500.00
review record and prepare report	Report	Y	-	NA	345.00
Pre-Pay work related/med disability exam	Prepayment	N	-	NA	500.00
			650.00		72,078.36
prepayment for record	Prepayment	Y	-	NA	500.00
medical services	Exam	N	500.00	02/20/09	-
Impairment rating report	Report	Y	345.00	02/20/09	-
prepayment for ime	Prepayment	Y	500.00	02/20/09	-
Rating Fee	Report	Y	-	NA	345.00
prepayment for second opinion	Prepayment	Y	500.00	02/20/09	-
Doctor	Report	Y	-	NA	345.00
medical records review	Report	N	345.00	03/11/09	-
prepayment for in depth case review	Prepayment	N	500.00	03/13/09	-
review of records and report	Report	Y	345.00	03/13/09	-
second medical opinion	Opinion	N	500.00	04/03/09	-
pre-payment	Prepayment	N	500.00	04/03/09	-
prepay for second opinion	Prepayment	N	500.00	04/03/09	-
prepay IME	Prepayment	N	750.00	04/11/09	-
Disability Rating	Report	N	345.00	04/03/09	-
medical report/impairment	Report	Y	345.00	04/11/09	-
payment for records review & report	Report	Y	345.00	04/20/09	-
second medical opinion	Opinion	N	500.00	04/20/09	-
Medical Report	Report	Y	345.00	04/27/09	-
prepay for review of medical records	Prepayment	N	500.00	04/27/09	-
second medical opinion	Opinion	N	-	NA	500.00
Reviewing Med. Records & preparing report	Report	N	75.00	05/05/09	-
WC medical	Report	N	345.00	05/05/09	-
review of records and report	Report	Y	150.00	05/05/09	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2009	Midwest Medical Insurance Company	147.00
2009	Ace Property and Casualty Companies	125.00
2009	Tyson Foods	500.00
2009	Advance Medical	500.00
2009	The Cincinnati Insurance Company	345.00
2009	Nationwide Agribusiness/Farmland Insurance	345.00
2009	FARA Insurance Services	500.00
2009	Speciality Risk Services LLC	750.00
2009	Gallagher Bassett - Kansas City	350.00
2009	Gallagher Bassett - Des Moines	500.00
2009	Addison Insurance Company	345.00
2009	Acuity	345.00
2009	Advance Medical	500.00
2009	IMWCA	195.00
2009	Tyson Foods	500.00
2009	Advance Medical	500.00
2009	The Cincinnati Insurance Company	345.00
2009	Tyson Foods	500.00
2009	EMC Insurance Companies	345.00
2009	Advance Medical	500.00
2009	Advance Medical	500.00
2009	Tyson Foods	500.00
2009	Tyson Foods	500.00
2009	Liberty Mutual	500.00
2009	Harvey, Stuckel, Chartered Attorneys at Law	500.00
2009	Grinnell Mutual Reinsurance Company	365.00
2009	Advance Medical	500.00
2009	Creative Risk Solutions	500.00
2009	EMC Insurance Companies	365.00
2009	Roth Law Office	175.00
2009	NA	148.00
2009	Advance Medical	500.00
2009	Corvel	365.00
2009	Ace Property and Casualty Companies	500.00
2009	Pothitakis Law Firm	150.00
2009	Tyson Foods	500.00
2009	Liberty Mutual	365.00
2009	Gallagher Bassett - Des Moines	125.00
2009	Liberty Mutual	365.00
2009	The Travelers - Overland Park	365.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Review medical records & xrays	Record Review	N	147.00	05/18/09	-
Rec. Review	Record Review	Y	125.00	05/18/09	-
prepayment	Prepayment	N	500.00	05/18/09	-
second medical opinion	Opinion	N	500.00	06/08/09	-
PPD Report	Report	Y	345.00	06/08/09	-
Rating Report	Report	N	345.00	06/08/09	-
prepay IME	Prepayment	N	500.00	06/16/09	-
prepay defense independent medical exam	Prepayment	N	750.00	06/16/09	-
prepayment for records	Prepayment	Y	350.00	06/16/09	-
prepayment for case review	Prepayment	N	500.00	06/16/09	-
Medical Records	Report	Y	345.00	06/30/09	-
Impairment report	Report	N	345.00	06/30/09	-
second medical opinion	Opinion	N	500.00	07/08/09	-
Review of record and preparing report	Report	N	195.00	07/08/09	-
prepayment	Prepayment	N	500.00	07/20/09	-
second medical opinion	Opinion	N	500.00	07/23/09	-
Medical invoice: IR Report fee	Report	Y	345.00	07/20/09	-
prepayment	Prepayment	N	500.00	07/27/09	-
impairment rating	Report	N	345.00	07/27/09	-
second medical opinion	Opinion	N	500.00	08/24/09	-
second medical opinion	Opinion	N	500.00	08/24/09	-
prepayment	Prepayment	N	500.00	08/24/09	-
Prepayment for appt	Prepayment	N	500.00	09/08/09	-
prepay for second opinion	Prepayment	N	500.00	09/08/09	-
second opinion	Opinion	N	-	NA	500.00
Review medical record & preparing report	Report	N	365.00	09/18/09	-
second medical opinion	Opinion	N	500.00	09/18/09	-
Prepayment to review medical records	Prepayment	N	500.00	10/12/09	-
review of records and report	Report	Y	365.00	10/12/09	-
prepayment for review of chart	Prepayment	Y	175.00	10/12/09	-
fee for report	Report	Y	-	NA	148.00
second medical opinion	Opinion	N	-	NA	500.00
Impairment Rating	Report	N	365.00	12/21/09	-
2nd opinion	Opinion	N	-	NA	500.00
med rec and report	Report	N	-	NA	150.00
prepay for second opinion	Prepayment	Y	500.00	12/01/09	-
payment for records & report	Report	N	365.00	12/08/09	-
medical report	Report	N	125.00	12/08/09	-
payment for records review & report	Report	Y	-	NA	365.00
Report Rating	Report	Y	-	NA	365.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2009	Roth Law Office	365.00
2009	Liberty Mutual	365.00
2009	Corvel	500.00
2009	Midwest Medical Insurance Company	1,500.00
2009	United Heartland	365.00
2009	The Travelers - Overland Park	365.00
2009	Winstein, Kavensky & Cunningham Attorneys	195.00
2009	Advance Medical	500.00
2009	Zurich Services Corporation	500.00
2009	Sentry Insurance (<i>BP Claims West</i>)	345.00
2009	NA	500.00
2009	Larry Krpan	295.00
2009	Corrine Hogan	125.00
2009	Liberty Mutual	500.00
2009	NA	1,950.00
2009	FMTCS	500.00
2009	Tyson	450.00
2009	Harvey & Stuckel	315.00
2009	Scheldrup Law	500.00
2009	Tyson Foods	500.00
2009	Tyson Foods	345.00
2009	Creative Risk Solutions	345.00
2009	Medical Consultants Network	500.00
2009	Tyson	500.00
2009	Gallagher Bassett	500.00
2009	Advance Medical	500.00
2010	Gallagher Bassett - Des Moines	375.00
2010	Liberty Mutual	375.00
2010	The Cincinnati Insurance Company	500.00
2010	Temp Associates	375.00
2010	CSS LLC - Overland Park	375.00
2010	The Travelers - Overland Park	375.00
2010	Zurich Services Corporation	375.00
2010	Advance Medical	750.00
2010	Speciality Risk Services LLC	375.00
2010	Helmsman Management Services LLC	500.00
2010	Tyson Foods	500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Prepayment for impairment rating	Report	Y	-	NA	365.00
payment for records review & report	Report	Y	-	NA	365.00
prepay review records	Prepayment	Y	500.00	12/23/09	-
prepayment for record review-defense expert	Prepayment	N	1,500.00	01/04/10	-
medical care	Exam	N	365.00	12/21/09	-
Impairment Rating	Report	N	365.00	12/23/09	-
Review of medical record and preparing report	Report	Y	195.00	01/04/10	-
Expert Medical Opinion	Opinion	N	500.00	01/04/10	-
Medical Evaluation - Independent	Record Review	N	500.00	01/04/10	-
impairment rating (clarification/correction of a previous impairment rating)	Report	Y	345.00	02/17/09	-
prepay for reviewing case	Prepayment	N	-	NA	500.00
summary of opinion	Opinion	Y	-	NA	295.00
review record and prepare report	Report	Y	-	NA	125.00
second opinion	Opinion	N	-	NA	500.00
initial review	Record Review	N	-	NA	1,950.00
second opinion	Opinion	N	-	NA	500.00
Impairment Rating	Report	N	-	NA	450.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	315.00
second opinion	Opinion	N	-	NA	500.00
prepay for second opinion	Prepayment	Y	-	NA	500.00
report of recommendations	Report	Y	-	NA	345.00
impairment rating prepayment	Report	N	-	NA	345.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
Expert Medical Opinion	Opinion	N	-	NA	500.00
impairment report	Report	N	375.00	01/19/10	-
Records, Review, and Report	Report	Y	375.00	01/19/10	-
Second opinion eval	Opinion	Y	500.00	02/01/10	-
Impairment Rating	Report	Y	375.00	02/01/10	-
Physician Charges/Impairment RTS - per check memo line	Report	Y	375.00	02/01/10	-
Reviewing Med Records	Record Review	N	375.00	02/26/10	-
Medical Evaluation-Independent	Report	N	-	NA	375.00
Second Medical Opinion	Opinion	N	-	NA	750.00
Other Medical	Report	Y	-	NA	375.00
Payment for 2nd Opinion	Prepayment	N	-	NA	500.00
Prepayment for 2nd Opinion Eval	Prepayment	Y	500.00	03/05/10	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2010	Liberty Mutual	395.00
2010	Iowa Mutual Insurance Company	500.00
2010	Gallagher Bassett - Des Moines	500.00
2010	Grinnell Mutual Reinsurance Company	395.00
2010	Advance Medical	500.00
2010	The Cincinnati Insurance Company	500.00
2010	Chubb Group of Insurance Companies	500.00
2010	NA	500.00
2010	United Heartland	500.00
2010	Speciality Risk Services LLC	750.00
2010	Advance Medical	500.00
2010	Advance Medical	500.00
2010	Advance Medical	500.00
2010	Gallagher Bassett - Des Moines	395.00
2010	Secura Insurance Companies	395.00
2010	Sac & Fox Tribe of the Mississippi in IA	500.00
2010	Advance Medical	500.00
2010	Advance Medical	500.00
2010	Grinnell Mutual Reinsurance Company	395.00
2010	Advance Medical	500.00
2010	EMC Insurance Companies	395.00
2010	Advance Medical	500.00
2010	United Heartland	500.00
2010	EMC Insurance Companies	500.00
2010	The Hartford - Central Work Comp	395.00
2010	Bloethe, Elwood & Buchanan Law Office	395.00
2010	Nationwide - Des Moines Regional Office	395.00
2010	Advance Medical	500.00
2010	Nordstrom	600.00
2010	Gallagher Bassett - Des Moines	395.00
2010	Liberty Mutual	395.00
2010	Liberty Mutual	395.00
2010	Nationwide - Des Moines Regional Office	175.00
2010	Tyson Foods	500.00
2010	Tyson Foods	500.00
2010	Gallagher Bassett - Des Moines	650.00
2010	Strategic Comp	395.00
2010	Advance Medical	500.00
2010	Speciality Risk Services LLC	395.00
2010	Liberty Mutual	500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Records and Report	Report	N	395.00	03/05/10	-
prepay for second opinion	Prepayment	Y	500.00	03/15/10	-
prepayment for second opinion	Prepayment	Y	500.00	03/29/10	-
Impairment Rating	Report	Y	395.00	03/29/10	-
Second Medical Opinion	Opinion	N	500.00	03/29/10	-
prepayment for second opinion	Prepayment	N	500.00	03/29/10	-
prepayment for second opinion evaluation	Prepayment	Y	500.00	03/29/10	-
work comp med pymts physicians fee	Exam	N	-	NA	500.00
prepayment for second opinion evaluation	Prepayment	Y	-	NA	500.00
Prepayment for defense independent medical exam	Prepayment	N	-	NA	750.00
Expert Medical Opinion 2nd	Opinion	N	-	NA	500.00
Second Medical Opinion	Opinion	N	-	NA	500.00
Second Medical Opinion	Opinion	N	500.00	05/04/10	-
Impairment Rating	Report	N	395.00	05/04/10	-
Reviewing medical records	Report	N	395.00	05/04/10	-
Prepayment for second opinion	Prepayment	N	500.00	05/04/10	-
Second Medical Opinion	Opinion	N	500.00	05/13/10	-
Second Medical Opinion	Opinion	N	-	NA	500.00
Report on Tim Greazel	Report	Y	395.00	05/24/10	-
Second Medical Opinion	Opinion	N	500.00	05/24/10	-
Injury-site NOS/Impairment rating	Report	Y	395.00	06/03/10	-
Second Medical Opinion	Opinion	N	500.00	07/06/10	-
prepay ime	Prepayment	Y	500.00	07/06/10	-
prepayment for exam	Prepayment	N	500.00	07/06/10	-
Miscellaneous Medical	Report	N	395.00	07/06/10	-
review records and prepare report	Report	N	395.00	07/06/10	-
Impairment Rating Exam	Exam	Y	395.00	07/06/10	-
Second Medical Opinion	Opinion	N	500.00	07/06/10	-
prepayment for IME	Prepayment	N	-	NA	600.00
Impairment Rating	Report	Y	395.00	07/06/10	-
OV TREAT Payment Rating	Report	N	395.00	07/06/10	-
OV TREAT Payment for IME	Report	N	395.00	07/06/10	-
Impairment Letter	Report	N	-	NA	175.00
prepay to review records	Prepayment	N	500.00	07/29/10	-
Prepayment for second opinion	Prepayment	N	500.00	07/29/10	-
Prepayment for second opinion	Prepayment	N	650.00	07/29/10	-
Reviewing medical records and preparing report	Report	N	-	NA	395.00
Second Medical Opinion	Opinion	N	500.00	08/13/10	-
Defense Independent Medical Exam	Other	N	395.00	08/13/10	-
prepayment for second opinion	Prepayment	Y	500.00	08/13/10	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2010	The Hartford - Central Work Comp	395.00
2010	Advance Medical	500.00
2010	The Cincinnati Insurance Company	562.00
2010	Nationwide - Des Moines Regional Office	395.00
2010	Iowa Mutual Insurance Company	595.00
2010	West Bend	175.00
2010	EMC Risk Services, LLC	500.00
2010	CASEY'S GENERAL STORE INC.	395.00
2010	Accident Fund	395.00
2010	Chubb Group of Insurance Companies	395.00
2010	EMC Insurance Companies	300.00
2010	Gallagher Bassett - Des Moines	500.00
2010	The Travelers - Overland Park	250.00
2010	Gerson Lehrman Group	600.00
2010	Liberty Mutual	700.00
2010	Tyson Foods	500.00
2010	Tyson Foods	395.00
2010	Liberty Mutual	395.00
2010	Gallagher Bassett - Des Moines	500.00
2010	Pekin Insurance	395.00
2010	Liberty Mutual	395.00
2010	Advance Medical	500.00
2010	State Farm Fire and Casualty Company	395.00
2010	Aurora Risk Management Services	375.00
2010	Grinnell Mutual Reinsurance Company	395.00
2010	EMC Risk Services, LLC	600.00
2010	Chartis (<i>New Hampshire Insurance Company</i>)	395.00
2010	Shuttleworth & Ingersoll, P.L.C	188.00
2010	EMC Insurance Companies	850.00
2010	Gallagher Bassett - Des Moines	500.00
2010	Tyson Foods	95.00
2010	Tyson Foods	1,250.00
2010	MCS - on behalf of Marriot	700.00
2010	Sedgwick Claims Management Services	500.00
2010	The Cincinnati Insurance Company	395.00
2010	Nordstrom (<i>Premier Case Management</i>)	395.00
2010	Gallagher Bassett Serv, INC. AS CLAIMS ADMINISTRATOR	100.00
2010	Advance Medical	500.00
2010	Liberty Mutual	500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Doctor	Report	N	395.00	08/13/10	-
Second Medical Opinion	Opinion	N	-	NA	500.00
Medical Report	Report	Y	562.00	08/25/10	-
NA	Report	N	-	NA	395.00
Review FCE, Med records to answer Question, & Determine impairment rating	Report	Y	-	NA	595.00
reduced prepay for eval	Prepayment	N	175.00	09/09/10	-
scheduling prepayment	Prepayment	Y	500.00	09/21/10	-
NA	Report	Y	395.00	09/21/10	-
PPD - Report	Report	Y	395.00	09/21/10	-
Orthopedic	Report	Y	395.00	10/01/10	-
prepayment for second opinion	Prepayment	Y	300.00	10/01/10	-
Prepayment for second opinion	Prepayment	Y	-	NA	500.00
Prepayment for second opinion	Prepayment	Y	250.00	10/28/10	-
Conference Private Visit: Xiaflex with Brian	Other	N	600.00	10/28/10	-
Pre-payment addendum IME Upper extremity	Prepayment	N	700.00	10/28/10	-
Prepayment for second opinion	Prepayment	N	500.00	11/05/10	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	11/05/10	-
Records Review	Report	N	395.00	11/05/10	-
prepayment for appt	Prepayment	N	500.00	11/05/10	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	11/15/10	-
Records, Review, and Report	Report	Y	395.00	11/15/10	-
Second Medical Opinion	Opinion	N	500.00	11/15/10	-
Report	Report	N	395.00	11/05/10	-
Prepayment for Conference A	Prepayment	N	375.00	11/26/10	-
Review Medical Records and Report	Report	Y	395.00	11/26/10	-
prepay for second opinion	Prepayment	Y	600.00	11/26/10	-
Review medical record and report	Report	Y	395.00	11/26/10	-
Review of Additional Records	Record Review	N	188.00	12/14/10	-
prepayment for second opinion evaluation	Prepayment	Y	850.00	12/14/10	-
prepayment for second opinion	Prepayment	N	500.00	12/14/10	-
review medical records and prepare report	Report	Y	95.00	12/14/10	-
research and review of records	Opinion	Y	1,250.00	12/14/10	-
prepay for second opinion	Prepayment	Y	700.00	12/14/10	-
Prepayment for IME	Prepayment	Y	500.00	12/14/10	-
Workers Comp - Medical	Report	N	395.00	12/21/10	-
Review medical record and report	Report	Y	395.00	01/07/11	-
Prepayment for 12/29/10	Prepayment	Y	100.00	01/07/11	-
Expert Medical Opinion	Opinion	N	500.00	01/07/11	-
Prepayment for second opinion	Prepayment	N	-	NA	500.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2010	Patterson Law Firm	750.00
2010	Tyson	500.00
2010	NA	500.00
2010	Tyson Foods	250.00
2010	OnPoint Underwriting	580.00
2010	Integra Lifesciences Services	500.00
2010	Sedgwick	500.00
2010	Speciality Risk Services	395.00
2010	Petrzelka & Breitbach	700.00
2010	The Cincinnati Insurance Company	395.00
2011	Accident Fund	395.00
2011	Gallagher Bassett - Des Moines	500.00
2011	EMC Insurance Companies	500.00
2011	EMC Insurance Companies	395.00
2011	Gallagher Bassett - Des Moines	175.00
2011	Tyson Foods	395.00
2011	CANNON COCTRAN MANAGEMENT SERVICES INC	500.00
2011	EMC Risk Services, LLC	395.00
2011	Helmsman Management Services LLC	395.00
2011	United Heartland	395.00
2011	Speciality Risk Services LLC	395.00
2011	Church Mutual	500.00
2011	American Interstate Insurance Co, Inc	395.00
2011	BP Claims WC West	395.00
2011	BP Claims WC West	500.00
2011	Great American Alliance Ins. Co	500.00
2011	IMWCA	500.00
2011	Tyson Foods	500.00
2011	EMC Insurance Companies	500.00
2011	Liberty Mutual	395.00
2011	Gallagher Bassett - Des Moines	500.00
2011	Farm Bureau Property & Casualty Insurance Company (<i>Stubble & Associates</i>)	500.00
2011	Sedgwick Claims Management Services	375.00
2011	Gallagher Bassett - Kansas City	395.00
2011	EMC Insurance Companies	750.00
2011	The Cincinnati Insurance Company	395.00
2011	The Travelers - Overland Park (<i>Corvel</i>)	395.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepayment for second opinion	Prepayment	N	-	NA	750.00
Prepayment for second opinion	Prepayment	Y	-	NA	500.00
second opinion	Opinion	N	-	NA	500.00
Review medical record, the written job description and the video	Other	Y	-	NA	250.00
Review medical records and prepare report/review video	Report	N	-	NA	580.00
Honorarium	Other	N	-	NA	500.00
Prepayment for second opinion	Prepayment	N	-	NA	500.00
review records and prepare report	Report	Y	-	NA	395.00
Prepayment for second opinion	Prepayment	N	-	NA	700.00
Medical, IR Report	Report	Y	395.00	05/24/10	-
Medical Report	Report	N	395.00	01/07/11	-
prepayment for evaluation	Prepayment	Y	500.00	01/18/11	-
prepayment for second opinion	Prepayment	Y	500.00	01/07/11	-
Impairment Rating	Report	Y	395.00	01/07/11	-
Prepayment for Medical Records Review	Prepayment	N	175.00	01/18/11	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	01/18/11	-
prepayment for evaluation	Prepayment	Y	500.00	03/14/11	-
Impairment Rating	Report	Y	395.00	01/18/11	-
Prepayment for Records Review, and Report	Report	N	395.00	01/24/11	-
Reviewing md records and prep report	Report	Y	395.00	01/24/11	-
Miscellaneous Medical	Report	Y	395.00	01/24/11	-
prepay independent medical exam	Prepayment	Y	500.00	01/24/11	-
Medical Orthopedic	Report	N	395.00	11/23/11	-
Report Fee- Impairment Rating	Report	Y	395.00	01/24/11	-
prepayment for second opinion evaluation	Prepayment	N	500.00	01/27/11	-
prepayment for IME	Prepayment	N	500.00	01/27/11	-
Prepayment for second opinion	Prepayment	Y	500.00	01/27/11	-
prepayment for evaluation	Prepayment	Y	500.00	02/03/11	-
Prepayment for second opinion/prepayment for appointment	Prepayment	Y	500.00	02/03/11	-
Pre-payment Medical Evaluation	Prepayment	Y	395.00	02/14/11	-
Prepayment for second opinion	Prepayment	Y	500.00	02/14/11	-
records review	Record Review	N	500.00	02/14/11	-
Medical Report	Report	N	375.00	02/14/11	-
Impairment Fee	Report	Y	395.00	02/22/11	-
prepayment to review files/prepayment to review medical records	Prepayment	Y	750.00	02/25/11	-
Workers Comp - Medical	Report	N	395.00	02/22/11	-
Physician Charges/review records and prepare report	Report	Y	395.00	02/25/11	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2011	Tyson Foods	500.00
2011	Gallagher Bassett - Itasca	395.00
2011	Advance Medical	505.00
2011	Advance Medical	500.00
2011	Gallagher Bassett - Des Moines	395.00
2011	Nationwide Agribusiness	395.00
2011	EMC Risk Services, LLC	500.00
2011	Liberty Mutual	125.00
2011	EMC Insurance Companies	395.00
2011	The Travelers - Overland Park	500.00
2011	Advance Medical	500.00
2011	Nationwide Agribusiness	395.00
2011	Integrity Medicolegal Enterprises	200.00
2011	Claims Management Inc	500.00
2011	Tyson Foods	500.00
2011	Crawford & Company	500.00
2011	Claims Management Inc	500.00
2011	The Travelers - Overland Park	500.00
2011	Advance Medical	500.00
2011	BITUMINOUS Insurance Companies	395.00
2011	Liberty Mutual	395.00
2011	Liberty Mutual	750.00
2011	Zurich American Insurance Co.	500.00
2011	Integrity Medicolegal Enterprises	950.00
2011	Sedgwick Claims Management Services	395.00
2011	Gallagher Bassett - Des Moines	750.00
2011	EMC Insurance Companies	395.00
2011	St. Lukes Hospital	500.00
2011	Advance Medical	500.00
2011	Liberty Mutual	400.00
2011	Tyson Foods	500.00
2011	Claims Management Inc	800.00
2011	Advance Medical	500.00
2011	Gallagher Bassett - Des Moines	395.00
2011	EMC Insurance Companies	395.00
2011	The Travelers - Overland Park (<i>Travelers Indemnity Co</i>)	395.00
2011	Advance Medical	500.00
2011	The Travelers - Overland Park	600.00
2011	The Travelers - Overland Park	325.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepayment for evaluation	Prepayment	N	500.00	03/14/11	-
Reviewing medical records	Report	Y	395.00	03/14/11	-
second medical opinion	Opinion	N	505.00	03/14/11	-
second medical opinion	Opinion	N	500.00	03/22/11	-
Prepayment rating report	Report	Y	395.00	03/31/11	-
Pre-Pay Rating	Prepayment	Y	395.00	04/05/11	-
prepayment for appt	Prepayment	Y	500.00	04/05/11	-
Record Review and Report	Report	Y	125.00	04/21/11	-
Impairment rating for Clyde Mayfield	Report	Y	395.00	04/11/11	-
prepayment for evaluation	Prepayment	Y	500.00	04/21/11	-
second medical opinion	Opinion	N	500.00	04/21/11	-
Payment for IR	Report	Y	395.00	05/03/11	-
prepayment for evaluation	Prepayment	Y	200.00	05/03/11	-
prepayment for evaluation	Prepayment	Y	500.00	05/17/11	-
PREPAY	Prepayment	Y	500.00	05/23/11	-
Prepayment for Impairment rating	Prepayment	Y	500.00	06/03/11	-
MR Review	Record Review	N	500.00	06/14/11	-
prepay for second opinion	Prepayment	N	500.00	06/20/11	-
second medical opinion	Opinion	N	500.00	06/20/11	-
Medical Record/Report Fee	Report	Y	395.00	06/20/11	-
PPD Rating Report	Report	N	395.00	06/20/11	-
prepay	Prepayment	Y	750.00	06/20/11	-
prepay IME	Prepayment	N	500.00	06/27/11	-
prepayment for IME	Prepayment	N	950.00	07/05/11	-
Medical Report	Report	Y	395.00	07/06/11	-
prepayment for ime	Prepayment	N	750.00	07/11/11	-
Rating/impairment rating	Report	N	395.00	07/11/11	-
prepay for second opinion	Prepayment	N	500.00	07/21/11	-
second medical opinion	Opinion	N	500.00	07/21/11	-
Prepay for impairment rating	Prepayment	Y	400.00	07/21/11	-
prepayment for evaluation	Prepayment	Y	-	X	500.00
prepayment for IME	Prepayment	N	800.00	08/01/11	-
second medical opinion	Opinion	N	500.00	08/15/11	-
Impairment Report	Report	N	395.00	08/15/11	-
review record and prepare report (report)/impairment rating	Report	Y	395.00	08/22/11	-
Physician Charges	Report	Y	395.00	08/31/11	-
second medical opinion	Opinion	N	500.00	09/16/11	-
physician charges	Exam	Y	600.00	09/16/11	-
Physician Charges	Exam	Y	325.00	09/16/11	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2011	Advance Medical	500.00
2011	Acuity	395.00
2011	Fitzgibbons Law Firm	2,550.00
2011	The Travelers - Overland Park	250.00
2011	Tyson Foods	750.00
2011	Gallagher Bassett - Des Moines	500.00
2011	Chubb Group of Insurance Companies	1,382.00
2011	Advance Medical	500.00
2011	Berkley Risk Administrators Company LLC	250.00
2011	Gallagher Bassett - Des Moines	395.00
2011	Tyson Foods	750.00
2011	BP Claims WC West	395.00
2011	Tyson Foods	750.00
2011	Claims Management Inc	750.00
2011	Advance Medical	500.00
2011	Paul McAndrew Law Firm	225.00
2011	Tyson Foods	395.00
2011	Gallagher Bassett - Des Moines	750.00
2011	Gallagher Bassett - Kansas City	395.00
2011	Tyson Foods	125.00
2011	Tyson Foods	750.00
2011	TECHNOLOGY INSURANCE CO (<i>Claims Funding</i>)	500.00
2011	Gallagher Bassett - Des Moines	500.00
2011	The Travelers - Overland Park	395.00
2011	Paul McAndrew Law Firm	125.00
2011	Coventry Workers' Comp Services	500.00
2011	Nicholas G. Pothitakis	35.00
2011	NA	500.00
2011	Claims Management	500.00
2011	NA	2,370.00
2011	Pitton Law	295.00
2011	Corvel	395.00
2011	CNA	500.00
2011	The Hanover Insurance Group	500.00
2011	EMC Insurance	500.00
2011	NA	395.00
2011	Wood Lake Medical	600.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
second medical opinion	Opinion	N	500.00	09/16/11	-
Impairment Rating	Report	Y	395.00	09/16/11	-
initial review of medical records, research, phone discussion	Record Review	N	2,550.00	09/16/11	-
prepayment	Prepayment	N	250.00	10/14/11	-
prepay review records	Prepayment	Y	750.00	10/14/11	-
prepayment for evaluation	Prepayment	Y	-	NA	500.00
doctor	Other	N	1,382.00	10/14/11	-
second medical opinion	Opinion	N	-	NA	500.00
prepayment to review records	Prepayment	N	250.00	10/14/11	-
Review of medical records & report	Report	N	395.00	10/19/11	-
prepay review records	Prepayment	Y	750.00	10/19/11	-
Impairment Rating	Report	N	395.00	10/31/11	-
prepay review records	Prepayment	N	-	NA	750.00
pre-paid for IME	Prepayment	Y	750.00	11/20/11	-
second medical opinion	Opinion	N	500.00	11/23/11	-
medical records	Record Review	N	225.00	11/23/11	-
Reviewing Med. Records and prep. Enclosed report	Report	N	395.00	11/20/11	-
prepayment for second opinion	Prepayment	N	-	NA	750.00
Impairment Rating	Report	N	395.00	11/23/11	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	125.00	11/23/11	-
prepay review records	Prepayment	Y	750.00	12/09/11	-
prepayment physician	Prepayment	N	500.00	12/09/11	-
prepayment	Prepayment	Y	500.00	12/09/11	-
Physician Charges	Report	N	395.00	12/09/11	-
medical records	Record Review	Y	125.00	12/09/11	-
Prepayment for evaluation	Prepayment	N	-	NA	500.00
review record and prepare report	Report	N	-	NA	35.00
Prepayment for evaluation	Prepayment	N	-	NA	500.00
review record and prepare report	Report	Y	-	NA	500.00
review record, radiograph	Record Review	N	-	NA	2,370.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	Y	-	NA	295.00
review record and prepare report	Report	Y	-	NA	395.00
Prepayment for evaluation	Prepayment	N	-	NA	500.00
prepayment	Prepayment	N	-	NA	500.00
review record and prepare report	Report	N	-	NA	500.00
review record and prepare report	Report	N	-	NA	395.00
prepayment	Prepayment	N	-	NA	600.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2011	Travelers Indemnity Company of CT	395.00
2011	Nyemaster Goode	937.00
2012	Acuity	395.00
2012	Shuttleworth & Ingersoll, P.L.C	790.00
2012	The Travelers - Overland Park	395.00
2012	Advance Medical	500.00
2012	BP Claims WC West	500.00
2012	Woodlake Medical Management	600.00
2012	EMC Insurance Companies	500.00
2012	Tyson Foods	75.00
2012	Tyson Foods	395.00
2012	IMWCA	500.00
2012	NA	500.00
2012	Zurich Services Corporation	395.00
2012	Eells & Tronvold Law Offices, PLC	295.00
2012	EMC Insurance Companies	395.00
2012	Chartis (<i>Commerce and Industry Insurance Co</i>)	395.00
2012	EMC Insurance Companies	395.00
2012	Church Mutual	395.00
2012	Liberty Mutual	395.00
2012	Advance Medical	500.00
2012	Tyson Foods	500.00
2012	Advance Medical	500.00
2012	MMIC Insurance, Inc	2,468.00
2012	Hansen McClintock & Riley Attorneys At Law	395.00
2012	Advance Medical	500.00
2012	Gallagher Bassett - Kansas City	500.00
2012	MMIC Insurance, Inc	1,086.00
2012	Northern Insurance Co. of NY	395.00
2012	Advance Medical	500.00
2012	Advance Medical	500.00
2012	The Travelers - Overland Park	395.00
2012	The Cincinnati Insurance Company	395.00
2012	Tyson Foods	500.00
2012	Tyson Foods	500.00
2012	Claims Management Inc	395.00
2012	BITUMINOUS Insurance Companies	395.00
2012	The Travelers - Overland Park	395.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Impairment Rating (review medical records and prepare report)	Report	Y	-	NA	395.00
review records and prepare report	Report	N	-	NA	937.00
PPD Rating	Report	N	395.00	01/07/12	-
Review medical records	Record Review	N	790.00	01/07/12	-
Physician Charges	Exam	Y	395.00	01/16/12	-
Second Medical Opinion	Opinion	N	500.00	01/16/12	-
prepay for appt	Prepayment	N	500.00	01/16/12	-
prepay IME	Prepayment	Y	600.00	01/21/12	-
prepay for second opinion	Prepayment	Y	500.00	01/27/12	-
review records	Record Review	Y	75.00	01/28/12	-
review records	Record Review	Y	395.00	01/28/12	-
doctor	Report	Y	500.00	01/28/12	-
prepay to review records	Prepayment	Y	500.00	01/28/12	-
WC Medical	Report	N	395.00	02/12/12	-
reviewing medical record and preparing report	Report	Y	295.00	01/28/12	-
Review Medical Record and prepare enclosed report/impairment rating	Report	Y	395.00	02/12/12	-
Rating report fee	Report	Y	395.00	02/12/12	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	02/12/12	-
General Practice	Report	N	395.00	02/12/12	-
Prepayment of Rating Fee	Prepayment	N	395.00	02/12/12	-
Second Medical Opinion	Opinion	N	500.00	02/12/12	-
prepay to review records	Prepayment	Y	500.00	03/03/12	-
Expert medical opinion	Opinion	N	500.00	03/03/12	-
Review of records, conference calls, prepare report	Report	N	2,468.00	03/03/12	-
Review medical record and report	Prepayment	Y	395.00	03/03/12	-
Second Medical Opinion	Opinion	N	500.00	03/03/12	-
Prepayment for Medical Records Review	Prepayment	Y	500.00	03/03/12	-
Review and conference call	Other	N	1,086.00	03/03/12	-
PPI Rating	Prepayment	N	395.00	03/09/12	-
Expert medical opinion	Opinion	N	500.00	03/25/12	-
Second Medical Opinion	Opinion	N	500.00	03/25/12	-
Physician Charges	Prepayment	Y	395.00	03/25/12	-
Impairment Rating	Prepayment	Y	395.00	03/25/12	-
prepay to review records	Prepayment	N	500.00	03/29/12	-
prepay to review records	Prepayment	N	500.00	03/29/12	-
Records Review and Report	Prepayment	Y	395.00	04/01/12	-
Reviewing medical records and preparing report	Prepayment	N	395.00	04/01/12	-
Physician Charges	Prepayment	N	395.00	05/08/12	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2012	The Travelers - Overland Park	395.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Tyson Foods	500.00
2012	Paul McAndrew Law Firm	395.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Patterson Law Firm, LLP	150.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Claims Management (National Union Fire)	395.00
2012	Advance Medical	500.00
2012	Advance Medical	500.00
2012	EMC Insurance Companies	300.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Nordstrom (<i>Premier Case Management</i>)	395.00
2012	The Cincinnati Insurance Company	500.00
2012	Chubb Group of Insurance Companies (Broadspire)	395.00
2012	IMWCA	395.00
2012	EMC Insurance Companies	395.00
2012	Claims Management Inc	395.00
2012	Zurich Insurance Company	395.00
2012	Nordstrom	300.00
2012	Robert R McGill PC	125.00
2012	The Cincinnati Insurance Company	500.00
2012	Advance Medical	500.00
2012	Walker, Billingsley & Bair	150.00
2012	Ace Property and Casualty Companies	395.00
2012	DATOKA TRUCK UNDERWRITERS	125.00
2012	Gallagher Bassett - Kansas City	500.00
2012	Tyson Foods	395.00
2012	Tyson Foods	395.00
2012	Gallagher Bassett - Kansas City	395.00
2012	CHC Workers Compensation	500.00
2012	Gallagher Bassett - Itasca	395.00
2012	Tyson Foods	250.00
2012	Sedgwick Claims Management Services	395.00
2012	Tyson Foods	520.00
2012	Simmons Perrine Moyer Bergman PLC	395.00
2012	Grefe & Sydney, PLC	95.00
2012	EMC Insurance Companies	500.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Physician Charges	Prepayment	N	395.00	05/08/12	-
Impairment Rating Report	Prepayment	N	395.00	05/08/12	-
prepay for appt	Prepayment	N	500.00	05/08/12	-
impairment rating	Prepayment	Y	395.00	05/08/12	-
Rating Report	Prepayment	Y	395.00	05/08/12	-
review medical record and prepare report	Report	Y	150.00	05/08/12	-
review record and prepare report/rating report	Prepayment	Y	395.00	05/08/12	-
Prepayment for evaluation	Prepayment	Y	395.00	05/30/12	-
Second Medical Opinion	Opinion	N	500.00	05/30/12	-
Second Medical Opinion	Opinion	N	500.00	05/30/12	-
prepay for review of medical records for second opinion	Prepayment	N	300.00	05/30/12	-
Impairment Rating	Report	N	395.00	05/30/12	-
IME/Med Legal	Report	Y	395.00	05/30/12	-
prepay to review records	Prepayment	Y	500.00	06/03/12	-
Doctor	Report	Y	395.00	07/05/12	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	07/05/12	-
Review medical record and prepare enclosed report/impairment rating	Report	Y	395.00	07/05/12	-
MMI/IR	Report	Y	395.00	07/05/12	-
PPD Prepayment	Prepayment	N	395.00	07/05/12	-
prepayment for IME	Prepayment	Y	300.00	07/05/12	-
Reviewing medical record and report	Report	N	-	NA	125.00
prepay for second opinion	Prepayment	N	500.00	07/05/12	-
Second Medical Opinion	Opinion	N	500.00	07/05/12	-
Prepayment for meeting	Prepayment	Y	150.00	07/05/12	-
PPD Report	Report	N	395.00	07/05/12	-
Other misc medical	Other	N	125.00	07/05/12	-
prepayment for evaluation	Prepayment	Y	500.00	07/05/12	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	07/05/12	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	07/05/12	-
Impairment Rating	Report	Y	395.00	07/05/12	-
prepayment for appt	Prepayment	Y	500.00	07/19/12	-
PPI Report	Report	Y	395.00	07/05/12	-
prepay to review records	Prepayment	Y	250.00	07/14/12	-
PPI Report	Report	Y	395.00	07/14/12	-
Reviewing Med. Records and prep. Enclosed report and reviewed "Inspect Boneless Lion Trim" video	Report	Y	520.00	07/14/12	-
Reviewing Med. Records and prep. Enclosed report	Report	Y	395.00	07/14/12	-
Review of medical records and preparing report	Report	Y	95.00	07/14/12	-
prepay to review medical records	Prepayment	N	500.00	07/14/12	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2012	Tyson Foods	500.00
2012	CANNON COCTRAN MANAGEMENT SERVICES INC	500.00
2012	Tyson Foods	195.00
2012	Broadspire	395.00
2012	Northern Insurance Co. of NY	395.00
2012	EMC Risk Services, LLC	395.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Grefe & Sydney, PLC	95.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Gallagher Bassett - Kansas City	125.00
2012	Advance Medical	500.00
2012	Advance Medical	500.00
2012	Tyson Foods	500.00
2012	MCS - on behalf of Marriot	600.00
2012	Grinnell Mutual Reinsurance Company	395.00
2012	EMC Insurance Companies	300.00
2012	Richards, Brandt, Miller, & Nelson	2,468.00
2012	Wells Fargo Ins. Services	750.00
2012	Tyson Foods	500.00
2012	Zurich Insurance Company	395.00
2012	Tyson Foods	395.00
2012	Gallagher Bassett - Kansas City (<i>Peddicord Wharton</i>)	395.00
2012	The Cincinnati Insurance Company	395.00
2012	Tyson Foods	750.00
2012	EMC Insurance Companies	395.00
2012	EMC Insurance Companies	395.00
2012	Secura Insurance Companies	395.00
2012	CHC Workers Compensation (Coventry IME Services)	395.00
2012	Advance Medical	500.00
2012	Selective	395.00
2012	Zurich Insurance Company	395.00
2012	IMWCA	375.00
2012	Advance Medical	500.00
2012	Advance Medical	500.00
2012	Gallagher Bassett - Kansas City	1,200.00
2012	Walker, Billingsley & Bair	25.00
2012	Tyson Foods	500.00
2012	EMC Insurance Companies	950.00
2012	The Cincinnati Insurance Company	750.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepay to review records	Prepayment	N	500.00	07/19/12	-
prepayment for evaluation	Prepayment	Y	500.00	07/14/12	-
Review Medical Record and prepare enclosed report	Report	Y	195.00	07/19/12	-
Medical Report	Report	N	395.00	07/19/12	-
WC Medical	Report	N	-	NA	395.00
Report/impairment rating	Report	Y	395.00	08/03/12	-
Report	Report	N	395.00	08/03/12	-
Review of medical records and preparing report	Report	Y	95.00	08/03/12	-
Final Report	Report	Y	395.00	08/07/12	-
Conference call	Other	Y	125.00	08/07/12	-
Second Medical Opinion	Opinion	N	-	NA	500.00
Expert medical opinion	Opinion	N	-	NA	500.00
prepay to review records	Prepayment	N	-	NA	500.00
IME	Record Review	Y	-	NA	600.00
Review Medical Record and prepare enclosed report	Report	Y	395.00	08/20/12	-
prepayment	Prepayment	Y	-	NA	300.00
Review opinions, FCE, records; meeting & preparation of opinions statement	Other	N	2,468.00	08/20/12	-
prepayment for evaluation	Prepayment	Y	750.00	08/20/12	-
prepay to review records	Prepayment	Y	500.00	08/30/12	-
WC Medical	Report	Y	395.00	08/20/12	-
Review Medical Record and prepare enclosed report	Report	Y	-	NA	395.00
Review medical record and report	Report	Y	395.00	08/30/12	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	08/30/12	-
prepay to review records	Prepayment	Y	750.00	08/30/12	-
Final Report	Report	Y	395.00	08/30/12	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	08/30/12	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	09/09/12	-
Medical records review and report	Report	Y	395.00	09/09/12	-
Expert medical opinion	Opinion	N	500.00	09/09/12	-
Impairment Rating	Report	Y	395.00	09/09/12	-
Report Expense	Report	Y	395.00	09/09/12	-
Review Medical Record and prepare enclosed report	Report	Y	375.00	09/09/12	-
Second Medical Opinion	Opinion	N	500.00	10/04/12	-
Second Medical Opinion	Opinion	N	500.00	10/04/12	-
prepayment	Prepayment	N	1,200.00	10/04/12	-
Reviewing the editing, preparing report	Report	Y	25.00	10/04/12	-
prepay to review records	Prepayment	Y	500.00	10/04/12	-
prepay to review records	Prepayment	N	950.00	10/04/12	-
prepay for second opinion	Prepayment	N	750.00	10/04/12	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2012	First Comp Insurance	395.00
2012	Liberty Mutual	395.00
2012	The Travelers - Overland Park	500.00
2012	James Hood	395.00
2012	Accident Fund	395.00
2012	Advance Medical	500.00
2012	Gallagher Bassett - Itasca	395.00
2012	Tyson Foods	500.00
2012	Tyson Foods	500.00
2012	Tyson Foods	500.00
2012	Sedgwick Claims Management Services	500.00
2012	Gallagher Bassett - Kansas City	395.00
2012	Advance Medical	500.00
2012	Nalean & Nalean Attorneys	395.00
2012	Tyson Foods	395.00
2012	Cottingham & Butler Inc.	395.00
2012	The Hartford - Central Work Comp	395.00
2012	The Travelers - Overland Park	395.00
2012	Claims Management Inc	395.00
2012	Tyson Foods	500.00
2012	Sedgwick Claims Management Services	395.00
2012	SFM Select Insurance	395.00
2012	Liberty Mutual (<i>Encore Unlimited</i>)	395.00
2012	The Cincinnati Insurance Company (<i>Gail Larkin</i>)	375.00
2012	Liberty Mutual	395.00
2012	Tyson Foods	395.00
2012	The Travelers - Overland Park	750.00
2012	Tyson Foods	395.00
2012	Sedgwick Claims Management Services	750.00
2012	Advance Medical	500.00
2012	Wood Lake Medical	352.64
2012	Joseph L. Fitzgibbons	187.00
2012	Matt J. Reilly Law Offices	295.00
2012	Matt J. Reilly	975.00
2012	NA	500.00
2012	NA	1,850.00
2012	Gallagher Bassett	500.00
2012	Marriot	600.00
2012	The Cincinnati Insurance Company (<i>Corvel</i>)	1,200.00
2012	Genex Services	395.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
IR rating pre payment	Report	Y	395.00	10/21/12	-
PPD Rating	Report	Y	395.00	10/21/12	-
prepay for service	Prepayment	Y	500.00	10/21/12	-
Ratings of two shoulders	Report	Y	395.00	11/07/12	-
Impairment Rating	Report	Y	395.00	11/07/12	-
Second Medical Opinion	Opinion	N	500.00	11/07/12	-
PPI Rating Report	Report	N	395.00	11/07/12	-
prepay to review records	Prepayment	N	500.00	12/03/12	-
prepay to review records	Prepayment	N	500.00	12/03/12	-
prepay to review records	Prepayment	N	500.00	12/03/12	-
prepay to review records	Prepayment	N	500.00	12/03/12	-
Impairment Rating	Report	Y	395.00	12/03/12	-
Second Medical Opinion	Opinion	N	500.00	12/03/12	-
Report	Report	N	395.00	12/03/12	-
Review Medical Record and prepare enclosed report	Report	N	395.00	12/03/12	-
Medical Report	Report	N	395.00	12/03/12	-
Misc. Medical	Report	Y	395.00	12/26/12	-
Physician Charges	Report	N	395.00	12/26/12	-
RECORDS REVIEW/IMPAIRMENT RATING	Report	Y	395.00	12/26/12	-
prepay to review records	Prepayment	N	500.00	12/26/12	-
Impairment Rating Report	Report	Y	395.00	12/26/12	-
review record and prepare report	Report	Y	395.00	12/26/12	-
Prepayment for Impairment rating	Prepayment	Y	395.00	12/26/12	-
Impairment Rating	Report	Y	375.00	12/26/12	-
Rating Fee	Report	Y	395.00	01/05/13	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	01/05/13	-
physician charges	Exam	Y	750.00	01/05/13	-
Review Medical Record and prepare enclosed report	Report	Y	395.00	01/05/13	-
prepayment for evaluation	Prepayment	N	750.00	12/26/12	-
Expert medical opinion	Opinion	N	500.00	01/05/13	-
xrays	Exam	N	-	NA	352.64
review records to edit expert statement	Record Review	N	-	NA	187.00
review medical record and prepare report	Report	N	-	NA	295.00
prepay for deposition	Prepayment	N	-	NA	975.00
doctor	Report	Y	-	NA	500.00
review records and prepare report	Report	N	-	NA	1,850.00
prepay review record and prepare report	Prepayment	Y	-	NA	500.00
review records and prepare report	Report	Y	-	NA	600.00
Prepayment for review of records	Prepayment	Y	1,200.00	09/09/12	-
review record and prepare report	Report	Y	-	NA	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Calendar Year	Insurance Company/Attorney/Payer	Per Supporting Documentation
		Amount Paid to Dr. Adams
2012	Accident Fund	395.00
2012	Amsted Rail	395.00
2012	Kimbra Allen (<i>Fara Insurance Companies</i>)	395.00
2012	United Heartland	395.00
2012	Bradshaw, Fowler, Proctor & Fairgrave PC	750.00
2012	Paula J. Ross	395.00
2012	Travelers	395.00
2012	Baker & Enright	3,752.00
2013	Tyson Foods	500.00
2013	Tyson Foods	395.00
2013	Gallagher Bassett (<i>Genex Services</i>)	395.00
2013	Gallagher Bassett	395.00
2013	Tyson Foods	395.00
2013	Gallagher Bassett	395.00
2013	Tyson Foods	600.00
2013	Tyson Foods	775.00
2013	Gallagher Bassett - Kansas	395.00
2013	Gallagher Bassett (Iowa Managed Care)	395.00
2013	Tyson Foods	125.00
2013	EMC Insurance Companies (HH LAW PC)	395.00
2013	Temp Associates	395.00
2013	Guideone	395.00
2013	United Heartland	500.00
2013	Pothitakis Law	225.00
2013	The Hartford - Central Work Comp	395.00
2013	The Cincinnati Insurance Companies	600.00
2013	Integrity Medicolegal Enterprises	500.00
2013	Qwest	75.00
2013	Alaris Group	395.00
2013	United Heartland	395.00
2013	Culter Law Firm	295.00
2013	Liberty Mutual	395.00
2013	The Travelers - Overland Park	395.00
2013	Des Moines Law	395.00
2013	Coventry Workers' Comp Services	300.00

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
review record and prepare report	Report	Y	-	NA	395.00
PPI rating	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00
Reviwing Medical Records and Preparing report	Report	Y	-	NA	750.00
review record and prepare report, impairment rating	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00
Additional Services	Other	N	3,752.00	03/29/12	-
review record and prepare report	Report	N	500.00	01/23/13	-
review record and prepare report	Report	Y	395.00	01/23/13	-
impairment rating	Report	Y	395.00	02/03/13	-
payment for impairment rating	Report	Y	395.00	02/03/13	-
review record and prepare report	Report	Y	395.00	02/03/13	-
payment for impairment rating	Report	N	395.00	02/03/13	-
impairment rating/review records and prepare report	Report	N	600.00	02/16/13	-
review record and prepare report	Report	N	775.00	02/23/11	-
review record and prepare report/prepayment for impairment rating	Report	Y	395.00	03/06/13	-
review record and prepare report	Report	Y	395.00	03/06/13	-
review record and video	Other	Y	125.00	03/24/13	-
impairment rating/fee for review of medical record and preparing report	Report	N	395.00	03/24/13	-
Review medical records and prepare report	Report	N	-	NA	395.00
review record and prepare report	Report	Y	-	NA	395.00
review record and prepare report	Report	Y	-	NA	500.00
review record and prepare report	Report	Y	-	NA	225.00
Review medical records and prepare report	Report	Y	-	NA	395.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	600.00
Prepayment for IME	Prepayment	N	-	NA	500.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	75.00
review record and prepare report	Report	Y	-	NA	395.00
Review medical records and prepare report	Report	Y	-	NA	395.00
Prepayment to Review Medical Records and Prepare Report	Report	N	-	NA	295.00
Review medical records and prepare report	Report	Y	-	NA	395.00
Review medical records and prepare report	Report	Y	-	NA	395.00
review record and conference call	Other	N	-	NA	395.00
Prepayment for evaluation	Prepayment	N	-	NA	300.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2013	Encore Unlimited	500.00
2013	Independent Medical Consultants	1,750.00
2013	Coventry Workers' Comp Services	395.00
2013	Nyemaster Goode, P.C.	197.00
2013	Integrity Medicolegal Enterprises	95.00
2013	CorVel Corporation	395.00
2013	CFU	395.00
2013	Betty Law Firm	125.00
2013	Nyemaster Goode	4,000.00
2013	Leff Law	125.00
2013	Jody Deskin	50.00
Unknown	NA	325.00
Unknown	NA	500.00
Unknown	The Cincinnati Insurance Company	750.00
Unknown	NA	325.00
Unknown	Tyson	-
Unknown	Farm Bureau Insurance	335.00
Unknown	Susan Haxmeier	345.00
Unknown	Stacie Rhinehart	500.00
Unknown	NA	500.00
	Subtotal	242,059.64
	Total	\$ 314,788.00

Y - Confirmed by UIHC as a patient.

N - Not confirmed by UIHC as a patient because of lack of information.

NA - Not applicable.

^ - Deposit was made to MidWestOne Bank. The total deposited to MidWestOne Bank was \$650.00.
The remaining \$174,428.00 was deposited to Hills Bank.

Payment For	Class	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	500.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	1,750.00
Review medical records and prepare report	Report	N	-	NA	395.00
review imaging studies & correlate with medical records	Record Review	N	-	NA	197.00
Review medical records and prepare report	Report	N	-	NA	95.00
Review medical records and prepare report	Report	Y	-	NA	395.00
Review medical records and prepare report	Report	N	-	NA	395.00
conference	Other	Y	-	NA	125.00
cancel usual scheduled medical and surgical activities and reserve 5/22/13	Other	N	-	NA	4,000.00
Prepayment to Review Medical Records and Prepare Report	Prepayment	N	-	NA	125.00
reviewing record and prepare report	Report	Y	-	NA	50.00
IR Report	Report	N	-	NA	325.00
prepay	Prepayment	N	-	NA	500.00
prepayment	Prepayment	Y	-	NA	750.00
Review of Med Records	Record Review	N	-	NA	325.00
impairment rating	Report	Y	-	NA	-
review record and prepare report	Report	Y	-	NA	335.00
review record and prepare report	Report	N	-	NA	345.00
review record and prepare report	Report	Y	-	NA	500.00
second opinion	Opinion	Y	-	NA	500.00
			174,428.00		67,631.64
			<u>\$ 175,078.00</u>		<u>\$ 139,710.00</u>

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation

Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
Prior to February 1, 2009		
2001	Hansen, McClintock & Riley, Attorneys At Law	\$ 35.00
2001	The Gallup Organization	-
2001	Nelson Mullins Riley & Scarborough, LLP	500.00
2001	Unknown	1,000.00
2005	Elsevier Inc	1,000.00
2006	Phelan, Tucker, Mullen, Walker, Tucker, Gelman LLP	250.00
2006	Gallagher Bassett	275.00
2006	Gallagher Bassett	75.56
2006	Gallagher Bassett	217.40
2006	ESIS, Inc	275.00
2006	Ascension Orthopedics	7,191.00
2007	Ascension Orthopedics, INC	712.29
2007	Gallagher Bassett	364.50
2007	Gallagher Bassett	130.90
2008	Gerson Lehrman Group	150.00
2008	Gerson Lehrman Group	225.00
2008	Shuttleworth & Ingersoll, P.L.C	1,500.00
2008	Virginia Surety Company	335.00
2008	QBE Regional Insurance	-
2008	Tyson Foods Inc.	335.00
2008	Gallagher Bassett	90.32
2008	Gallagher Bassett	90.87
	Subtotal	14,752.84
After February 1, 2009		
2009	Aberdare Ventures IV, LP	600.00
2009	Michael J. Warner & Associates	125.00
2009	Integra LifeSciences	655.86
2009	TransGaurd Insurance Company of America	147.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
prepayment for conference call	N	\$ -	NA	\$ 35.00
RWJ Study	N	-	NA	-
deposition testimony	N	-	NA	500.00
deposition	N	-	NA	1,000.00
honoraria nov 2005	N	-	NA	1,000.00
prepayment for phone conference	N	-	NA	250.00
NA	N	-	NA	275.00
NA	Y	-	NA	75.56
NA	N	-	NA	217.40
NA	N	-	NA	275.00
Royalty Earnings for 2006	N	-	NA	7,191.00
NA	N	-	NA	712.29
NA	Y	-	NA	364.50
NA	N	-	NA	130.90
Xiaflex (AA4500) for Dupuytren's Contract	N	-	NA	150.00
Ankle and/or Wrist Procedures - Orthoped	N	-	NA	225.00
Defense Expert	N	-	NA	1,500.00
NA	N	-	NA	335.00
NA	Y	-	NA	-
NA	N	-	NA	335.00
NA	N	-	NA	90.32
NA	N	-	NA	90.87
		-		14,752.84
Consulting	N	-	NA	600.00
Conf Call	N	125.00	04/03/09	-
Consulting Expenses	N	-	NA	655.86
Phone Consult	Y	147.00	02/19/09	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation

Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2009	Michael Schaffer	1,950.00
2009	NA	4,057.00
2009	Ascension Orthopedics	12,320.00
2010	Cutler Law Firm	150.00
2010	Baker & Enright	4,606.00
2010	Pothitakis Law Firm	175.00
2010	Collins-Stewart Inc	50.00
2010	Guidepoint Global	150.00
2010	Peddicord, Wharton, Spencer, Hook, Barron and Wegman, LLP	125.00
2010	Guidepoint Global	315.00
2010	Nyemaster, Goode, West, Hansell & O'Brien PC	150.00
2010	Gerson Lehrman Group	15.00
2010	Gerson Lehrman Group	200.00
2010	Gerson Lehrman Group	300.00
2010	Gerson Lehrman Group	50.00
2010	Gerson Lehrman Group	250.00
2010	Gerson Lehrman Group	65.00
2010	Gerson Lehrman Group	150.00
2010	Gerson Lehrman Group	50.00
2010	Gerson Lehrman Group	150.00
2010	Gerson Lehrman Group	100.00
2010	Shuttleworth & Ingersoll, P.L.C	281.00
2010	LaAegra	1,273.20
2010	Tyson Foods	150.00
2010	Gallagher Bassett	201.60
2010	Fitzgibbons Law Firm, LLC	1,950.00
2010	Smith Adams Law	2,550.00
2011	Guidepoint Global	300.00
2011	Medical Murrey Inc	665.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Expert Witness retainer fee	N	-	NA	1,950.00
review depositions	N	-	NA	4,057.00
Royalty Earnings for 2009	N	-	NA	12,320.00
Telephone Conf w/R. Threlkeld	Y	150.00	01/19/10	-
Various Deposition, Prep for conference, review records	N	4,606.00	10/15/10	-
Phone conference	N	175.00	05/13/10	-
NA	N	50.00	10/28/10	-
Consulting w/Patrick	N	150.00	11/05/10	-
Conference	Y	125.00	10/01/10	-
consulting w/Chen	N	315.00	05/04/10	-
Conference	Y	150.00	10/28/10	-
Xiaflex Dupuytren's Contracture Q&A #447	N	15.00	02/26/10	-
Novel Product Concept: Joint Spacer	N	200.00	02/26/10	-
Xiaflex for Dupuytren's Contracture	N	300.00	03/29/10	-
Xiaflex for Dupuytren's Contracture	N	50.00	03/29/10	-
General Discussion on What Drives Physician	N	250.00	05/24/10	-
Xiaflex for Dupuytren's Contracture	N	65.00	07/06/10	-
Xiaflex Follow-Up Request to Speak with You	N	150.00	07/06/10	-
Endomechanical Soft Tissue and Energy Device	N	50.00	09/21/10	-
Dupuytren's Contracture US Hand Surgeons *T	N	150.00	10/15/10	-
Total knee Arthroplasty Procedures	N	100.00	01/07/11	-
Review of CD's & Phone Conf.	N	281.00	05/24/10	-
Boston Fellow Course	N	1,273.20	02/01/10	-
review Med Records/Video and written job description	Y	150.00	02/01/10	-
NA	N	-	NA	201.60
case review	N	-	NA	1,950.00
initial review and research	N	-	NA	2,550.00
consulting w/ Kevin	N	300.00	02/14/11	-
consulting	N	665.00	02/14/11	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Confirmed by Outside Sources
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation

Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2011	Leerink Swann LLC/MEDA Corp	85.00
2011	Peddicord, Wharton, Spencer, Hook, Barron and Wegman, LLP	125.00
2011	Law Office of Jim Black	125.00
2011	Elderkin & Pirnie, P.L.C.	296.00
2011	Simmons Perrine Moyer Bergman PLC	175.00
2011	Patterson Law Firm, LLP	375.00
2011	Nyemaster, Goode, West, Hansell & O'Brien PC	750.00
2011	Gerson Lehrman Group	150.00
2011	Gerson Lehrman Group	165.00
2011	Shuttleworth & Ingersoll, P.L.C	2,175.00
2011	Shuttleworth & Ingersoll, P.L.C	196.00
2011	American Interstate Insurance Co, Inc	395.00
2011	BP Claims WC West	395.00
2011	Gallagher Bassett - Itasca (<i>Grefe & Sidney, PLC</i>)	1,250.00
2011	Gallagher Bassett - Des Moines	150.00
2011	Gallagher Bassett	2,618.42
2011	Gallagher Bassett	201.60
2011	The Cincinnati Insurance Company	400.00
2011	MMIC Insurance, Inc	1,405.00
2011	Health Systems International	-
2011	Shuttleworth Law	1,500.00
2012	EMC Insurance Companies	1,500.00
	Subtotal	48,708.68
	Total	<u><u>\$ 63,461.52</u></u>

Y - Confirmed by UIHC as a patient.

N - Not confirmed by UIHC as a patient because of lack of information.

NA - Not applicable.

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
hip implant	N	85.00	01/07/12	-
review video, records, conference	N	125.00	05/03/11	-
Narrative reports	Y	125.00	04/21/11	-
Recording fee	N	296.00	12/29/11	-
NA	N	175.00	08/31/11	-
SRS-67 dr conf/Nunez PVW/vlh	Y	375.00	02/25/11	-
prepay for medical review, conference, and report	Y	750.00	08/31/11	-
Time sensitive ortho extremity market	N	150.00	02/14/11	-
Orthopedic extremity surgeries	N	165.00	04/21/11	-
defense expert retainer	N	2,175.00	08/15/11	-
defense expert, conference call, review xrays	N	196.00	11/23/11	-
LAE Expert	N	395.00	08/22/11	-
NA	N	395.00	07/05/11	-
IME causation	N	1,250.00	03/14/11	-
conference call	Y	150.00	08/22/11	-
NA	Y	-	NA	2,618.42
NA	Y	-	NA	201.60
prepayment for consultation	Y	400.00	06/27/11	-
review of depositions & phone conference	N	1,405.00	07/21/11	-
NA	Y	-	NA	-
deposition	N	-	NA	1,500.00
prepayment for Mr. McCartys Questions	Y	1,500.00	02/12/12	-
		20,104.20		28,604.48
		<u>\$ 20,104.20</u>		<u>\$ 43,357.32</u>

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
Prior to February 1, 2009		
1999	Matthew Baratz	\$ 1,250.00
1999	Charles A. Collins, P.A.	75.00
1999	Peddicord, Wharton, Thune, & Spencer	100.00
1999	Orthofix, INC	25,000.00
1999	Patterson, Lorentzen, Duffield, Timmons, Irish, Becker & Ordway, L.L.P	-
2000	Berg, Rouse, Spaulding, and Schmidt, PLC	300.00
2000	Peddicord, Wharton, Spencer, and Hook	150.00
2000	Ronald R. Holliday	725.00
2000	Crowley, Bunger & Pothitakis	50.00
2000	Whitefield & Eddy PLC	1,000.00
2000	Nelson Mullins Riley & Scarborough LLP	300.00
2000	Brasher Law Firm, LC	150.00
2000	Crowley, Bunger & Pothitakis	1,000.00
2000	Patterson, Lorentzen, Duffield, Timmons, Irish, Becker & Ordway, L.L.P	150.00
2000	Patterson, Lorentzen, Duffield, Timmons, Irish, Becker & Ordway, L.L.P	150.00
2000	Patterson, Lorentzen, Duffield, Timmons, Irish, Becker & Ordway, L.L.P	75.00
2000	Patterson, Lorentzen, Duffield, Timmons, Irish, Becker & Ordway, L.L.P	100.00
2000	Winstein, Kavensky & Wallace	250.00
2000	Winstein, Kavensky & Wallace	1,000.00
2000	Alhers, Cooney, Dorweiler, Haynie, Smith & Allbee, P.C.	200.00
2000	Alhers, Cooney, Dorweiler, Haynie, Smith & Allbee, P.C.	175.00
2000	McCarthy, Callas, Fuhr & Ellison	500.00
2000	Oppenheimer Wolff & Donnelly	500.00
2000	Yaeger Jungbauer Barzak & Roe	1,000.00
2000	Sinclair & Associates PC	300.00
2000	Foster Law Office	75.00
2000	Bradley & Riley PC	150.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
advance for A & E Clarity	N	\$ -	NA	\$ 1,250.00
conference	N	-	NA	75.00
telephone conference	Y	-	NA	100.00
NA	N	-	NA	25,000.00
in-person conference	N	-	NA	-
prepay review charts, conferences, reports	Y	-	NA	300.00
in person conference	N	-	NA	150.00
Deposition	N	-	NA	725.00
review charts, conferences, reports	N	-	NA	50.00
deposition	Y	-	NA	1,000.00
prepay conference call	N	-	NA	300.00
Legal consult	N	-	NA	150.00
Deposition	N	-	NA	1,000.00
prepay telephone conference	Y	-	NA	150.00
conference	Y	-	NA	150.00
conference	Y	-	NA	75.00
phone conference	Y	-	NA	100.00
consultation	N	-	NA	250.00
Prepay Deposition	N	-	NA	1,000.00
telephone conference	Y	-	NA	200.00
prepay conference call	N	-	NA	175.00
gave deposition for the legal case	N	-	NA	500.00
deposition	N	-	NA	500.00
gave deposition for the legal case	N	-	NA	1,000.00
in-person consultation	Y	-	NA	300.00
review of file, phone consultation & impairment rating	Y	-	NA	75.00
prepay meeting with Attorney Donald Thompson	N	-	NA	150.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2001	Penelope Crowl Souhrada Atty (IOLTA)	800.00
2001	Whitfield & Eddy PLC	35.00
2001	Ingebritson & Associates LLP	75.00
2001	Ingebritson & Associates LLP	1,500.00
2001	Bozeman, Neighbour, Patton, & Noe Attorneys at Law	1,000.00
2001	Nelson Mullins Riley & Scarborough, LLP	1,000.00
2001	Law Offices of Reynolds & Kenline, LLP	150.00
2001	Tom Riley Law Firm, PLC	75.00
2001	Hansen, McClintock & Riley, Attorneys At Law	100.00
2005	Gallagher Bassett	275.00
2005	Gallagher Bassett	1,783.79
2005	Gallagher Bassett	9,998.55
2006	Larry Stoller Attorneys at Law	75.00
2006	Rush & Nicholson, P.L.C.	75.00
2006	Rush & Nicholson, P.L.C.	125.00
2006	Pothitakis Law Firm, P.C.	75.00
2006	Paul McAndrew Law Firm	100.00
2006	Metaphase Design Group, Inc	500.00
2006	Fitzgibbons Law Firm	937.00
2006	Fitzgibbons Law Firm	3,386.00
2006	Huber, Book, Cortese, Happe & Lanz, PLC	75.00
2006	Intermed Insurance Company	2,450.00
2006	Intermed Insurance Company	373.20
2006	Hudson, Mallaney, & Shindler PC	250.00
2006	Nyemaster, Goode, West, Hansell, & O'Brien, PC	500.00
2006	NA	315.00
2006	Nyemaster, Goode, West, Hansell, & O'Brien, PC	2,500.00
2006	Mayo Foundation for Medical Research	3,725.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
deposition	N	-	NA	800.00
chart review	Y	-	NA	35.00
prepayment for teleconference	N	-	NA	75.00
prepayment for video deposition	N	-	NA	1,500.00
prepayment for deposition	N	-	NA	1,000.00
deposition, deposition testimony	N	-	NA	1,000.00
chart assessment	N	-	NA	150.00
telephone conference	N	-	NA	75.00
prepayment for conference call	N	-	NA	100.00
NA	N	-	NA	275.00
NA	N	-	NA	1,783.79
NA	Y	-	NA	9,998.55
review records and conference call	N	-	NA	75.00
review records and conference call	Y	-	NA	75.00
prepayment for telephone conference	Y	-	NA	125.00
conference call	Y	-	NA	75.00
prepay call	N	-	NA	100.00
NA	N	-	NA	500.00
phone conference and review of depositions	N	-	NA	937.00
review of deposition, phone conference, testimony	N	-	NA	3,386.00
fee for phone	N	-	NA	75.00
pretrial review & meeting, away from office compensation	N	-	NA	2,450.00
Airfare cancellation fee - defense expert	N	-	NA	373.20
NA	N	-	NA	250.00
expert witness fees	N	-	NA	500.00
NA	N	-	NA	315.00
Fee for trial testimony of Dr. Adams	N	-	NA	2,500.00
deposition reviews, predisposition discussion with attorneys, video deposition	N	-	NA	3,725.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2006	St. Luke's - Roosevelt Hospital Center	750.00
2006	Tyson Foods, INC	195.00
2006	Tyson Foods, INC	215.00
2006	Gallagher Bassett	233.03
2006	Gallagher Bassett	73.35
2006	Integrity Insurance	75.00
2006	Hudson, Mallaney, & Shindler PC	250.00
2007	Advance Medical	1,000.00
2007	Steven H. Peterson, M.D., Inc.	35.00
2007	Fitzgibbons Law Firm	1,500.00
2007	Moyer & Bergman, P.L.C	1,000.00
2007	Monitor Company Group, L.P.	300.00
2007	Monitor Company Group, L.P.	300.00
2007	Hansen McClintock and Riley Attorneys at Law	150.00
2007	Gerson Lehrman Group	100.00
2007	Gerson Lehrman Group	150.00
2007	Gerson Lehrman Group	65.00
2007	Gerson Lehrman Group	330.00
2007	Gerson Lehrman Group	60.00
2007	Gerson Lehrman Group	200.00
2007	Crum & Forster (<i>United States Fire Insurance</i>)	315.00
2007	Tyson Foods, Inc	65.00
2007	Tyson Foods Inc.	130.00
2007	Gallagher Bassett	6,314.78
2007	Gallagher Bassett	2,285.78
2007	Gallagher Bassett	1,145.92
2007	Gallagher Bassett	251.16
2007	Gallagher Bassett	177.30
2007	Gallagher Bassett	90.32
2007	Martec	-

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
honorarium	N	-	NA	750.00
review of video tapes	Y	-	NA	195.00
review of the videos	Y	-	NA	215.00
NA	N	-	NA	233.03
NA	Y	-	NA	73.35
NA	Y	-	NA	75.00
prepayment for conference	N	-	NA	250.00
NA	N	-	NA	1,000.00
Article from Journal of Hand	N	-	NA	35.00
NA	N	-	NA	1,500.00
Prepayment for Deposition	Y	-	NA	1,000.00
NA	N	-	NA	300.00
NA	N	-	NA	300.00
Lyman Doctor Conference prepayment	N	-	NA	150.00
Therapies for Dupuytren's Contracture	N	^	100.00 10/15/07	-
Dupuytren's Contracture Surgical Proced	N	-	NA	150.00
Hip Resurfacing and Knee Reconstruction	N	-	NA	65.00
Hip Replacement & Hip Resurfacing Dupuytren's Contracture	N	-	NA	330.00
DVT Prophylaxis	N	-	NA	60.00
Small Bone Implants Market	N	-	NA	200.00
NA	Y	-	NA	315.00
Review of video/job description	Y	-	NA	65.00
NA	Y	-	NA	130.00
NA	N	-	NA	6,314.78
NA	Y	-	NA	2,285.78
NA	Y	-	NA	1,145.92
NA	N	-	NA	251.16
NA	Y	-	NA	177.30
NA	N	-	NA	90.32
research study on tendon and ligaments	N	-	NA	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2007	Ascension Orthopedics	8,775.00
2008	Advance Medical	500.00
2008	City of Cedar Falls	500.00
2008	NA	300.00
2008	Trissel Graham & Toole Inc	500.00
2008	Collins-Stewart Inc	100.00
2008	Fitzgibbons Law Firm	480.00
2008	Clinical Advisors	180.00
2008	Fitzgibbons Law Firm	137.00
2008	Guidepoint Global	225.00
2008	Guidepoint Global	300.00
2008	Guidepoint Global	75.00
2008	Kutmus and Pennington, P.C	1,000.00
2008	Guidepoint Global	300.00
2008	Finley, Alt, Smith, Scharnberg, Craig, Hilmes & Gaffney, P.C.	618.00
2008	Shuttleworth & Ingersoll, P.L.C	687.00
2008	Finley, Alt, Smith, Scharnberg, Craig, Hilmes & Gaffney, P.C.	549.00
2008	Gerson Lehrman Group	100.00
2008	Gerson Lehrman Group	15.00
2008	Gerson Lehrman Group	65.00
2008	Gerson Lehrman Group	100.00
2008	Gerson Lehrman Group	-
2008	Gerson Lehrman Group	375.00
2008	Gerson Lehrman Group	75.00
2008	Gerson Lehrman Group	-
2008	Gerson Lehrman Group	75.00
2008	Gerson Lehrman Group	80.00
2008	Gerson Lehrman Group	65.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Royalty Earnings for 2007	N	-	NA	8,775.00
NA	N	-	NA	500.00
prepay of review of case	Y	-	NA	500.00
NA	N	-	NA	300.00
prepay review of case	Y	-	NA	500.00
NA	N	-	NA	100.00
Review of records, conference call	N	-	NA	480.00
Consulting w/ Milton @ New Leaf	N	-	NA	180.00
Review of Case by phone	N	-	NA	137.00
Consulting w/ Celia @ Visium	N	-	NA	225.00
Consulting w/ Alex @ Partner	N	-	NA	300.00
Consulting w/ Anh @ FP	N	-	NA	75.00
Prepayment for Video Deposition	Y	-	NA	1,000.00
Consulting w/ Kavita @ Bain (6/30/08)	N	-	NA	300.00
Review of xrays and notes, and review for comparison, phone conference, review and edit of interrogatory	N	-	NA	618.00
Defense Expert	N	-	NA	687.00
review of additional records of DMOS. Preparation for deposition & review of records and xrays	N	-	NA	549.00
Orthopedic Surgeons: Pain Mgt Pro	N	-	NA	100.00
MAKOplasty Tactile Guidance System	N	-	NA	15.00
Orthopedic Hip/Knee implants trends	N	-	NA	65.00
Xiaflex for Dupuytren's Contracture	N	-	NA	100.00
NA	N	-	NA	-
Rotator Cuff Repair - Orthopedic Surgeon	N	-	NA	375.00
Orthopedic Hip/Knee implants trends	N	-	NA	75.00
NA	N	-	NA	-
Orthopedic Surgery -- Small Bone Joint	N	-	NA	75.00
Hip and Knee Replacement - Zimmer Users	N	-	NA	80.00
Xiaflex for Dupuytren's Contracture	N	-	NA	65.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2008	Gerson Lehrman Group	300.00
2008	Gerson Lehrman Group	75.00
2008	Gerson Lehrman Group	150.00
2008	Gerson Lehrman Group	60.00
2008	Jefferies & Company, Inc.	100.00
2008	Stryker	400.00
2008	NA	150.00
2008	NA	60.00
2008	NA	75.00
2008	Shuttleworth & Ingersoll, P.L.C	295.00
2008	Shuttleworth & Ingersoll, P.L.C	221.00
2008	Marshfield Clinic	2,000.00
2008	Tyson Foods Inc.	125.00
2008	Tyson Foods Inc.	500.00
2008	Combined Insurance Company of America	35.00
2008	AIG Domestic Claims, Inc.	345.00
2008	Gallagher Bassett	90.87
2008	Gallagher Bassett	291.01
2008	Gallagher Bassett	2,668.16
2008	Gallagher Bassett	541.80
2008	Gallagher Bassett	154.80
2008	Gallagher Bassett	90.87
2008	Gallagher Bassett	2,376.00
2008	Gallagher Bassett	5,375.49
2008	Crawford & Company	150.00
2008	Crawford & Company	150.00
2008	Crawford & Company	335.00
2008	Midwest Medical Insurance Company	206.00
2008	Midwest Medical Insurance Company	1,030.00
2008	Broadspire Services Inc	-

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Dupuytren's Contracture	N	-	NA	300.00
Hip and Knee Implant Trends	N	-	NA	75.00
Xiaflex for Dupuytren's Contracture	N	-	NA	150.00
Orthopedic Procedures - Physicians	N	-	NA	60.00
NA	N	-	NA	100.00
Consulting for power equipment development	N	-	NA	400.00
Urgent - Xiaflex for Dupuytren's Contra	N	-	NA	150.00
Analgesics	N	-	NA	60.00
Hip and Knee Replacements - Yearly	N	-	NA	75.00
Defense Expert Fee	N	-	NA	295.00
Defense Expert Fee	N	-	NA	221.00
Professional Services	N	-	NA	2,000.00
NA	N	-	NA	125.00
NA	Y	-	NA	500.00
NA	N	-	NA	35.00
NA	N	-	NA	345.00
NA	N	-	NA	90.87
NA	N	-	NA	291.01
NA	N	-	NA	2,668.16
NA	N	-	NA	541.80
NA	N	-	NA	154.80
NA	N	-	NA	90.87
NA	N	-	NA	2,376.00
NA	Y	-	NA	5,375.49
NA	Y	-	NA	150.00
NA	Y	-	NA	150.00
NA	Y	-	NA	335.00
Exp. Payment 1	N	-	NA	206.00
Review of depositions	N	-	NA	1,030.00
NA	N	-	NA	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2008	Walker & Billingsley Attorney at Law	100.00
2008	Ascension Orthopedics	11,954.00
	Subtotal	131,316.18
After February 1, 2009		
2009	Advance Medical	500.00
2009	Advance Medical	500.00
2009	Leerink Swann LLC/MEDA Corp	50.00
2009	Leerink Swann LLC/MEDA Corp	50.00
2009	Schaffer Law Office, Prof. LLC	650.00
2009	Pothitakis Law Firm	125.00
2009	Pothitakis Law Firm	295.00
2009	Collins-Stewart Inc	150.00
2009	Pothitakis Law Firm	195.00
2009	Pothitakis Law Firm	125.00
2009	Boston Healthcare Associates, Inc.	300.00
2009	Peddicord, Wharton, Spencer, Hook, Barron and Wegman, LLP	315.00
2009	Guidepoint Global	215.00
2009	Guidepoint Global	250.00
2009	Guidepoint Global	150.00
2009	Wolters Kluwer Health	33.40
2009	Patterson Law Firm, LLP	315.00
2009	IMWCA	725.00
2009	State Treasurer	38.00
2009	Integra LifeSciences	840.27
2009	Medical College Physicians	250.00
2009	Saint Lukes Health System	162.00
2009	Marshfield Clinic	1,252.00
2009	Marshfield Clinic	325.00
2009	Marshfield Clinic	4,057.00
2009	United Heartland	1,500.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Phone Conference	Y	-	NA	100.00
Royalty Earnings for 2008	N	-	NA	11,954.00
		100.00		131,216.18
NA	N	500.00	05/18/09	-
NA	N	500.00	12/01/09	-
NA	N	50.00	10/12/09	-
NA	N	-	NA	50.00
services for October and November	N	-	NA	650.00
phone conf	N	125.00	06/16/09	-
NA	N	295.00	07/27/09	-
NA	N	-	NA	150.00
prepayment for phone conference	N	-	NA	195.00
phone conference	N	125.00	01/04/10	-
Research study	N	300.00	08/06/09	-
Phone Conference	N	315.00	09/18/09	-
consulting with Grant	N	215.00	06/08/09	-
consulting with Alex	N	250.00	07/08/09	-
consulting with Michael	N	150.00	10/12/09	-
Royalty Earnings	N	33.40	05/05/09	-
Prepay for Record review and conference	N	315.00	09/08/09	-
NA	N	725.00	04/03/09	-
Jury Duty	N	38.00	07/20/09	-
Consulting Expenses	N	-	NA	840.27
Speaker at Grand Rounds	N	250.00	03/20/09	-
NA	N	162.00	12/08/09	-
professional services	N	1,252.00	06/30/09	-
professional services	N	-	NA	325.00
professional services	N	4,057.00	01/04/10	-
deposition	Y	1,500.00	04/11/09	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2009	BP Claims WC West	500.00
2009	Gallagher Bassett	94.88
2009	Panel Intelligence LLC	100.00
2009	Steadfast Insurance Co.	368.00
2009	Steadfast Insurance Co.	1,500.00
2009	McMeen Law	950.00
2009	Ace Group	1,500.00
2009	EMC Insurance	-
2009	Universal Health Services	1,500.00
2009	Wagstaff & Cartmell LLP	1,950.00
2009	Phelan, Tucker, Mullen, Walker, Tuck, & Gelman, LLP	1,800.00
2009	Jay Cohen Law	-
2009	Frankelgroup	75.00
2009	Clark, Butler, Walsh, & Hamann	1,950.00
2010	Advance Medical	505.00
2010	Guidepoint Global	75.00
2010	Michael J Schaffer	81.00
2010	Baker & Enright	2,550.00
2010	Guidepoint Global	115.00
2010	Leerink Swann LLC/MEDA Corp	50.00
2010	Leerink Swann LLC/MEDA Corp	50.00
2010	Guidepoint Global	25.00
2010	Leerink Swann LLC/MEDA Corp	65.00
2010	Fitzgibbons Law Firm	187.00
2010	Guidepoint Global	40.00
2010	Tornier, Inc	335.00
2010	Riccolo & Semelroth, P.C.	175.00
2010	Guidepoint Global	300.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
case review	N	500.00	06/08/09	-
NA	Y	-	NA	94.88
NA	N	-	NA	100.00
Expert Fees	N	368.00	06/08/09	-
Expert Fees	N	1,500.00	04/03/09	-
Deposition Fee	Y	-	NA	950.00
Expert Witness retainer fee	N	-	NA	1,500.00
NA	Y	-	NA	-
Expert Witness retainer fee	N	-	NA	1,500.00
Expert Witness retainer fee	N	-	NA	1,950.00
Deposition	N	-	NA	1,800.00
conference to review records	N	-	NA	-
Peyronie's and Dupuytren's Interview	N	-	NA	75.00
expert	N	-	NA	1,950.00
NA	N	505.00	02/01/10	-
consulting w/Brian	N	75.00	05/13/10	-
Phone Conf. w/M. Schaffer	N	81.00	05/24/10	-
Expert Witness retainer fee	N	-	NA	2,550.00
consulting w/Carlo	N	115.00	03/29/10	-
NA	N	50.00	03/05/10	-
NA	N	50.00	05/04/10	-
QP: Hip and Knee Replacement w/Kori Skiba@	N	25.00	08/13/10	-
Xiaflex Q3 2010	N	65.00	10/28/10	-
Review Response by Dr. Donohue to interrogatory by Dr. Strecker w/Reference to Med Record	N	187.00	12/14/10	-
QP: Hand Surgeons w/Ken Greenburg@MPMC	N	40.00	10/01/10	-
NA	N	335.00	05/04/10	-
Telephone Consult	N	175.00	05/24/10	-
Consulting w/ Jerry	N	300.00	02/26/10	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2010	Patterson Law Firm, LLP	175.00
2010	Gerson Lehrman Group	80.00
2010	Gerson Lehrman Group	235.00
2010	Gerson Lehrman Group	275.00
2010	Gerson Lehrman Group	225.00
2010	Gerson Lehrman Group	120.00
2010	Gerson Lehrman Group	150.00
2010	Gerson Lehrman Group	100.00
2010	Shuttleworth & Ingersoll, P.L.C	2,500.00
2010	Shuttleworth & Ingersoll, P.L.C	162.00
2010	Shuttleworth & Ingersoll, P.L.C	2,550.00
2010	Shuttleworth & Ingersoll, P.L.C	251.00
2010	MDLINX, INC	25.00
2010	Marshfield Clinic	1,137.00
2010	Marshfield Clinic	162.00
2010	Medpanel LLC	75.00
2010	Medpanel LLC	60.00
2010	Traffic Insurance LTD	395.00
2010	Tyson Foods	395.00
2010	United Heartland	395.00
2010	Gallagher Bassett	9,162.90
2010	Gallagher Bassett	193.50
2010	Gallagher Bassett	578.16
2010	Gallagher Bassett	193.50
2010	Gallagher Bassett	276.30
2010	Gallagher Bassett	162.90

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Conference Call	N	175.00	07/06/10	-
Hip/Knee Orthopedic Implants	N	80.00	02/01/10	-
Wright Medical Group Extremity Reconstruct	N	235.00	05/04/10	-
Xiaflex for Dupuytren's Contracture	N	275.00	05/04/10	-
Xiaflex for Dupuytren's Contracture	N	225.00	07/06/10	-
Hip/Knee Orthopedic Implants- U.S.	N	120.00	10/15/10	-
URGENT // Request to speak with you Silicon	N	150.00	01/07/11	-
Shoulder Arthroplasty New Product Concepts (S)	N	100.00	01/07/11	-
Retainer Fee for Defense Expert	N	-	NA	2,500.00
Review of a new xray, update of new information related to case and make plans for upcoming trial in a phone conversation on 3/29/10.	N	162.00	05/04/10	-
Defense Expert	N	2,550.00	10/15/10	-
Phone Conference to discuss initial impression of case	N	251.00	11/26/10	-
Market Research	N	25.00	07/06/10	-
Review deposition of Dr Leet and correlate with medical record for accuracy/Conf call 2/9/10 to discuss Dr Leet's deposition	N	1,137.00	03/15/10	-
Review Articles	N	162.00	06/03/10	-
Research Study	N	75.00	01/07/11	-
Research Study	N	60.00	01/07/11	-
NA	N	395.00	03/05/10	-
NA	N	-	NA	395.00
NA	Y	395.00	09/09/10	-
NA	N	-	NA	9,162.90
NA	N	-	NA	193.50
NA	Y	-	NA	578.16
NA	N	-	NA	193.50
NA	N	-	NA	276.30
NA	N	-	NA	162.90

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2010	Speciality Risk Services LLC	950.00
2010	MMIC Insurance, Inc	2,450.00
2010	MMIC Insurance, Inc	837.00
2010	MMIC	167.00
2010	Wagner Law Firm	500.00
2010	Shuttleworth Law	1,950.00
2010	American Family Insurance Group	-
2010	Ascension Orthopedics	17,297.00
2011	American Medical Forensic Specialists	687.50
2011	American Medical Forensic Specialists	687.50
2011	Humphrey Law Firm	250.00
2011	Guidepoint Global	225.00
2011	Locher & Locher Attorneys at law	750.00
2011	Fitzgibbons Law Firm	187.00
2011	Huber, Book, Cortese, Happe, & Lanz PLC	175.00
2011	Peddicord, Wharton, Spencer, Hook, Barron and Wegman, LLP	125.00
2011	Swisher & Cohrt PLC	1,000.00
2011	O'Connor & Thomas PC	1,000.00
2011	Law Offices of Conmy Feste LTD	1,850.00
2011	Hand Surgery Associates of Indiana, INC	350.00
2011	J. Reckner Associates, INC	300.00
2011	Patterson Law Firm, LLP	195.00
2011	Patterson Law Firm, LLP	195.00
2011	Ahlers & Cooney PC	125.00
2011	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
2011	First Comp	395.00
2011	Gerson Lehrman Group	40.00
2011	Gerson Lehrman Group	10.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
expert witness fees	N	-	NA	950.00
Retainer	N	2,450.00	05/04/10	-
Review Dr. Beyer's Opinion, Conf. Call, Review statement	N	837.00	08/13/10	-
Review Defendant Field's Supplemental Answers to Interrogatories and cross-Ref. Records & notes	N	167.00	11/26/10	-
Prepayment to review deposition	N	-	NA	500.00
Expert Witness retainer fee	N	1.00	NA	1,949.00
NA	Y	3.00	NA	(3.00)
Royalty Earnings for 2010	N	4.00	NA	17,293.00
Legal consult	N	687.50	06/20/11	-
Legal consult	N	687.50	08/22/11	-
consultation	N	250.00	05/03/11	-
consulting w/ Kevin	N	225.00	03/14/11	-
prepay meeting	Y	750.00	02/14/11	-
review of expert statement	N	187.00	05/03/11	-
Conference	N	175.00	06/03/11	-
prepayment for review of chart and phone conference	Y	125.00	05/17/11	-
prepayment for preparation and deposition	Y	1,000.00	07/21/11	-
prepayment for deposition	Y	1,000.00	04/27/11	-
expert retainer fee	N	1,850.00	05/17/11	-
honorarium/fellows	N	350.00	05/17/11	-
marketing research study	N	300.00	06/03/11	-
Conference	N	195.00	09/30/11	-
prepay conference call	Y	195.00	10/31/11	-
review records & phone conference	N	125.00	06/27/11	-
NA	N	395.00	12/04/11	-
NA	Y	395.00	05/17/11	-
Auxilium's Ziaflex for Dupuytren's Contracture	N	40.00	01/18/11	-
follow up on Cement Spacers in TKA procedures	N	10.00	01/18/11	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
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2011	Gerson Lehrman Group	300.00
2011	Gerson Lehrman Group	50.00
2011	Gerson Lehrman Group	250.00
2011	Gerson Lehrman Group	200.00
2011	Shuttleworth & Ingersoll, P.L.C	921.00
2011	Shuttleworth & Ingersoll, P.L.C	2,567.00
2011	West Bend	125.00
2011	IMWCA	395.00
2011	Gallagher Bassett	400.50
2011	Gallagher Bassett	4,522.50
2011	Gallagher Bassett	400.50
2011	Gallagher Bassett	191.48
2011	Gallagher Bassett	-
2011	Gallagher Bassett	400.50
2011	Jeppesen Sanderson, Inc	7.50
2011	MMIC Insurance, Inc	3,467.00
2011	MMIC Insurance, Inc	2,370.00
2011	MMIC Insurance, Inc	987.00
2011	Shuttleworth & Ingersoll, P.L.C	1,500.00
2011	Ascension Orthopedics	17,742.00
2011	Elderkin & Pirnie, P.L.C.	3,258.00
2012	Pitton Law PC	395.00
2012	Schultz & Pogue, LLP	987.00
2012	Eells & Tronvold Law Offices, PLC	975.00
2012	Hansen McClintock & Riley Attorneys At Law	125.00
2012	Baker & Enright	1,481.00
2012	Baker & Enright	8,340.00
2012	Baker & Enright	395.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Xiaflex for Dupuytren's Contracture	N	300.00	01/24/11	-
Xiaflex for Dupuytren's Contracture	N	50.00	02/14/11	-
micro power tools for surgery overview	N	250.00	03/14/11	-
Xiaflex for dupuytren's contracture	N	200.00	07/21/11	-
defense expert, review depositions, phone conference	N	921.00	03/14/11	-
defense expert, review medical records, conference calls	N	2,567.00	12/16/11	-
NA	N	125.00	03/22/11	-
Legal Expense	Y	395.00	10/14/11	-
NA	Y	-	NA	400.50
NA	Y	-	NA	4,522.50
NA	N	-	NA	400.50
NA	N	-	NA	191.48
NA	N	-	NA	-
NA	N	-	NA	400.50
NA	N	7.50	04/21/11	-
review of depositions & phone conference	N	3,467.00	02/22/11	-
review of medical records, radiographs, and other info	N	2,370.00	09/30/11	-
preparation for deposition & meeting	N	987.00	11/20/11	-
deposition	N	-	NA	1,500.00
Royalty Earnings for 2011	N	-	NA	17,742.00
Review deposition and records	N	-	NA	3,258.00
Prepay Conference and report	Y	395.00	01/27/12	-
services related to court case	N	987.00	02/12/12	-
deposition prepayment	Y	975.00	01/28/12	-
Prepay Conference	Y	125.00	02/17/12	-
expert fee	N	1,481.00	07/05/12	-
consulting and deposition testimony	N	8,340.00	09/09/12	-
create summary of case	N	395.00	12/26/12	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2012	Fitzgibbons Law Firm	375.00
2012	Fitzgibbons Law Firm	592.00
2012	Fitzgibbons Law Firm	98.00
2012	Integrity Medicolegal Enterprises	500.00
2012	Integrity Medicolegal Enterprises	750.00
2012	Integrity Medicolegal Enterprises	750.00
2012	First Comp	363.40
2012	Walker, Billingsley & Bair	1,000.00
2012	Walker, Billingsley & Bair	175.00
2012	Peddicord, Wharton, Spencer, Hook, Barron and Wegman, LLP	125.00
2012	Guidepoint Global	65.00
2012	Tom Riley Law Firm, PLC	1,000.00
2012	Guidepoint Global	300.00
2012	Guidepoint Global	40.00
2012	Bamberger Attorneys at Law	1,777.00
2012	Mutual Insurance Company of Arizona	975.00
2012	NA	750.00
2012	Richards, Brandt, Miller, & Nelson	1,850.00
2012	Richards, Brandt, Miller, & Nelson	1,975.00
2012	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
2012	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
2012	J. Reckner Associates, INC	110.00
2012	FGUSA on Behalf of Dollar General	800.00
2012	Gerson Lehrman Group, Inc.	225.00
2012	Gerson Lehrman Group, Inc.	325.00
2012	Shuttleworth & Ingersoll, P.L.C	395.00
2012	Shuttleworth & Ingersoll, P.L.C	2,072.00
2012	Shuttleworth & Ingersoll, P.L.C	197.00
2012	Medpanel LLC	70.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
perform/edit expert statement	N	375.00	01/28/12	-
review depositions, conference call	N	592.00	03/25/12	-
review transcript	N	98.00	05/30/12	-
NA	Y	500.00	08/30/12	-
NA	Y	750.00	10/04/12	-
NA	N	750.00	12/26/12	-
NA	N	363.40	10/21/12	-
Prepay for review records and deposition	Y	1,000.00	09/09/12	-
Prepay Conference	Y	175.00	10/04/12	-
Prepay Conference	N	125.00	12/26/12	-
NA	N	65.00	03/03/12	-
Deposition Fee	N	1,000.00	07/19/12	-
Consulting with Richard	N	300.00	05/30/12	-
Modular Hip Replacement	N	40.00	08/30/12	-
review of medical records & xrays, conference call	N	1,777.00	06/03/12	-
depo	N	975.00	04/01/12	-
NA	N	-	NA	750.00
Retainer Fee/Consulting fees	N	1,850.00	03/03/12	-
Review of Depos & MRI's	N	-	NA	1,975.00
NA	Y	395.00	01/21/12	-
NA	Y	395.00	03/03/12	-
Marketing research study	N	110.00	03/03/12	-
NA	Y	800.00	08/30/12	-
Xiaflex for Dupuytren's - Request to Speak	N	225.00	01/21/12	-
Extremity Reconstruction	N	325.00	02/17/12	-
Preparation of opinion statement	N	395.00	02/12/12	-
review opinion, deposition, conf. call	N	2,072.00	08/20/12	-
Defense Expert Fees - created summary of case after phone conference	N	197.00	11/07/12	-
NA	N	70.00	03/03/12	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2012	Western National Mutual Insurance Company	395.00
2012	QBE	395.00
2012	QBE	395.00
2012	Great American Alliance Ins. Co.	175.00
2012	Tyson Foods	650.00
2012	Sedgwick Claims Management Services	395.00
2012	Nationwide Insurance	3,258.00
2012	Nationwide	395.00
2012	Gallagher Bassett	400.50
2012	Gallagher Bassett - Kansas City	125.00
2012	Gallagher Bassett	2,760.12
2012	Gallagher Bassett	4,065.74
2012	Gallagher Bassett	9,593.63
2012	Gallagher Bassett	251.38
2012	Gallagher Bassett	-
2012	Gallagher Bassett	162.90
2012	Gallagher Bassett	574.66
2012	Gallagher Bassett	162.90
2012	Gallagher Bassett	61.82
2012	Gallagher Bassett	-
2012	Gallagher Bassett	3,454.12
2012	Gallagher Bassett	201.60
2012	Gallagher Bassett	117.16
2012	Gallagher Bassett	13,149.90
2012	Gallagher Bassett	-
2012	MDLINX, INC	30.00
2012	Law Office of Philip J. Farina	975.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
NA	Y	395.00	08/20/12	-
NA	Y	-	NA	395.00
NA	Y	395.00	08/20/12	-
NA	N	175.00	05/30/12	-
NA	Y	650.00	07/14/12	-
NA	N	395.00	03/25/12	-
review depositions and medical records, conf. call	N	3,258.00	01/16/12	-
Narrative Report	N	395.00	01/27/12	-
NA	Y	-	NA	400.50
Phone Conference - discuss initial impression of case	Y	125.00	02/12/12	-
NA	Y	-	NA	2,760.12
NA	N	-	NA	4,065.74
NA	N	-	NA	9,593.63
NA	Y	-	NA	251.38
NA	N	-	NA	-
NA	Y	-	NA	162.90
NA	N	-	NA	574.66
NA	Y	-	NA	162.90
NA	Y	-	NA	61.82
NA	Y	-	NA	-
NA	N	-	NA	3,454.12
NA	Y	-	NA	201.60
NA	Y	-	NA	117.16
NA	Y	-	NA	13,149.90
NA	Y	-	NA	-
NA	N	-	NA	30.00
Deposition Fee	N	-	NA	975.00
NA	N	500.00	02/03/13	-
NA	N	500.00	03/06/13	-

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

Per Supporting Documentation		
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
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2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Advance Medical	500.00
2013	Gallagher Bassett	201.60
2013	Gallagher Bassett	15.06
2013	Richards Brandt Miller Nelson	3,775.00
2013	Fitzgibbons Law Firm, LLC	2,750.00
2013	Nyemaster Goode	2,750.00

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
NA	N	500.00	03/29/13	-
NA	N	500.00	04/18/13	-
NA	N	500.00	04/27/13	-
NA	N	500.00	05/17/13	-
NA	N	500.00	05/20/13	-
NA	N	500.00	06/21/13	-
NA	N	500.00	07/08/13	-
NA	N	500.00	08/05/13	-
NA	N	500.00	08/21/13	-
NA	N	500.00	09/13/13	-
NA	N	500.00	10/10/13	-
NA	N	500.00	10/10/13	-
NA	N	500.00	03/24/13	-
NA	N	500.00	03/24/13	-
NA	N	500.00	03/29/13	-
NA	N	500.00	04/18/13	-
NA	N	500.00	04/27/13	-
NA	N	500.00	05/17/13	-
NA	N	500.00	05/28/13	-
NA	N	500.00	06/21/13	-
NA	N	500.00	06/21/13	-
NA	N	500.00	07/08/13	-
NA	N	500.00	08/05/13	-
NA	N	500.00	09/13/13	-
NA	Y	-	NA	201.60
NA	N	-	NA	15.06
review deposition, prep deposition	N	-	NA	3,775.00
Expert Witness retainer fee	N	-	NA	2,750.00
review of medical records and initial phone discussion completed 2/26/13	N	-	NA	2,750.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Collections for Non-Medical Services – Other Supporting Documentation
for the period July 1, 1999 through December 31, 2014

		Per Supporting Documentation
Calendar Year	Insurance Company/Attorney/Payer	Amount Paid to Dr. Adams
2013	TKD Law Group	1,500.00
2013	Richards Brandt Miller Nelson	4,500.00
2013	Tricia Hoffman-Simanek	4,500.00
Unknown	MDLINX, INC	-
Unknown	Arrowpoint Capital	1,000.00
Unknown	American Family Insurance	1,000.00
	Subtotal	231,669.28
	Total	\$ 362,985.46

Y - Confirmed by UIHC as a patient.

N - Not confirmed by UIHC as a patient because of lack of information.

NA - Not applicable.

^ - Deposit was made to MidWestOne Bank. The total deposited to MidWestOne Bank was \$100.00.
The remaining \$93,349.30 was deposited to Hills Bank.

Payment For	Confirmed by UIHC	Traced to Deposit	Deposit Date	Deposit Detail Not Available
Perform complete Case Review, phone conference, and summary report	N	-	NA	1,500.00
Expert Witness retainer fee	N	-	NA	4,500.00
Expert Witness retainer fee	N	-	NA	4,500.00
honoraria	N	-	NA	-
NA	N	-	NA	1,000.00
Deposition Fee	N	-	NA	1,000.00
		93,349.30		138,319.98
		\$ 93,449.30		\$ 269,536.16

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
02/11/08	DEPOSIT	\$ 1,886.66
02/11/08	DEPOSIT	3,000.00
02/22/08	DEPOSIT	1,685.00
02/28/08	DEPOSIT	500.00
03/17/08	DEPOSIT	4,954.52
03/31/08	Interest Deposit	6.45
04/07/08	DEPOSIT	3,146.99
04/11/08	DEPOSIT	660.00
04/17/08	DEPOSIT	1,510.00
04/21/08	DEPOSIT	500.00
04/29/08	ATM DEP 1815 04/28/08 00000134 HILLS BANK & TRUST CORALVILLE IA	2,284.11
05/09/08	DEPOSIT	933.66
05/16/08	DEPOSIT	1,210.00
05/19/08	ATM DEP 1306 05/19/08 00000054 HILLS BANK & TRUST CORALVILLE IA	1,500.00
06/30/08	Interest Deposit	29.66
07/11/08	DEPOSIT	3,900.00
07/21/08	ATM DEP 1221 07/20/08 00000553 HILLS BANK & TRUST CORALVILLE IA	2,770.00
07/31/08	DEPOSIT	1,415.00
08/05/08	DEPOSIT	800.00
08/25/08	DEPOSIT	2,651.66
09/03/08	ATM DEP 1818 09/02/08 00000135 HILLS BANK & TRUST CORALVILLE IA	210.00
09/09/08	ATM DEP 1644 09/09/08 00000068 HILLS BANK & TRUST CORALVILLE IA	2,816.66
09/16/08	DEPOSIT	560.00
09/30/08	Interest Deposit	46.06
10/08/08	ATM DEP 1824 10/07/08 00000085 HILLS BANK & TRUST CORALVILLE IA	2,406.66
10/24/08	ATM DEP 1830 10/23/08 00000047 HILLS BANK & TRUST CORALVILLE IA	4,037.00
11/12/08	ATM DEP 1700 11/11/08 00000235 HILLS BANK & TRUST CORALVILLE IA	2,918.00
11/17/08	ATM DEP 1620 11/16/08 00000791 HILLS BK & TRUST N LIBERTY NORTH LIBERTYIA	2,180.00
11/24/08	ATM DEP 1431 11/22/08 00000334 HILLS BANK & TRUST CORALVILLE IA	1,030.00
11/26/08	DEPOSIT	20.00
12/11/08	DEPOSIT	2,256.66
12/23/08	DEPOSIT	2,557.00
12/29/08	ATM DEP 1737 12/28/08 00000351 HILLS BANK & TRUST CORALVILLE IA	845.00
12/31/08	Interest Deposit	69.49
01/05/09	DEPOSIT	325.00
01/20/09	ATM DEP 1215 01/19/09 00000843 HILLS BK & TRUST N LIBERTY NORTH LIBERTYIA	356.66
02/03/09	DEPOSIT	1,885.00
02/03/09	INTEREST CREDIT	29.19
02/03/09	MISC CREDIT	29.12
02/17/09	Gerson Lehrman Group	200.00
02/17/09	GREEN CASTLE AERO CLUB LTD	66.66
02/17/09	SENTRY INSURANCE A MUTUAL COMPANY	345.00
02/17/09	Tyson	345.00
02/20/09	Daniel W. Haynes on the Treasurer State of Illinois	500.00
02/20/09	EMC Insurance Companies	500.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
02/20/09	Gallagher Bassett Services Inc.	500.00
02/20/09	Travelers	345.00
02/25/09	TransGuard Insurance Company of America Inc.	147.00
02/25/09	Tyson	125.00
03/01/09	Interest Deposit	63.23
03/11/09	GREEN CASTLE AERO CLUB LTD.	66.66
03/11/09	Liberty Mutual	345.00
03/11/09	The Hartford	345.00
03/13/09	City of Cedar Falls	345.00
03/13/09	Hills Bank and Trust	20.00
03/13/09	TECHNOLOGY INSURANCE CO (Claims Funding)	500.00
03/20/09	Elwood, Elwood and Lehen	175.00
03/20/09	Gerson Lehrman Group	85.00
03/20/09	Medical College of Wisconsin	250.00
03/20/09	MILWAUKEE OTHOPAEDIC SOCIETY	250.00
03/20/09	Tyson	150.00
03/31/09	Interest Deposit	70.88
04/03/09	ADVANCE MEDICAL INC.	500.00
04/03/09	FARM BUREAU MUTUAL INSURANCE COMPANY	345.00
04/03/09	Gerson Lehrman Group	60.00
04/03/09	Gerson Lehrman Group	30.00
04/03/09	GREEN CASTLE AERO CLUB LTD.	66.66
04/03/09	Illinois Risk Management Services	500.00
04/03/09	IOWA MUTUAL INSURANCE CO.	500.00
04/03/09	MICHAEL J. WARNER & ASSOCIATES	125.00
04/03/09	MILWAUKEE OTHOPAEDIC SOCIETY	476.48
04/03/09	MMIC	1,950.00
04/03/09	MWCA	725.00
04/03/09	Zurich American Insurance Company on behalf of Steadfast Insurance	1,500.00
04/11/09	GALLAGHER BASSETT SERVICES INC	345.00
04/11/09	Gerson Lehrman Group	50.00
04/11/09	GUIDEPOINT GLOBAL	50.00
04/11/09	SIMMONS PERRINS MOYER BERGMAN PLC	750.00
04/11/09	Tyson	125.00
04/11/09	UNITED HEARTLAND	1,500.00
04/20/09	ADVANCE MEDICAL INC.	500.00
04/20/09	DEBIT GENERAL LEDGER	5,155.52
04/20/09	Extremity Medical, LLC	825.00
04/20/09	Gerson Lehrman Group	100.00
04/20/09	Gerson Lehrman Group	375.00
04/20/09	Liberty Mutual	345.00
04/20/09	TEMP ASSOCIATES BURLINGTON INC.	345.00
04/20/09	UNITED FIRE GROUP	345.00
04/27/09	Ahlers & Cooney, PC	250.00
04/27/09	Max Scholl & Associates, PC	345.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
04/27/09	Tyson	500.00
04/30/09	Interest Deposit	59.14
05/05/09	AHLERS & COONEY, PC	150.00
05/05/09	Berkley Risk Administrators Company, LLC	345.00
05/05/09	EMC Risk Services, LLC	345.00
05/05/09	GREEN CASTLE AERO CLUB LTD	66.66
05/05/09	JOHN D BRYANT	479.83
05/05/09	LIPPENCOTT WILLIAMS & WILKINS	33.40
05/05/09	MICHAEL J. WARNER & ASSOCIATES	75.00
05/05/09	Tyson	125.00
05/05/09	ZURICH AMERICAN INSURANCE COMPANY	345.00
05/18/09	ACE USA	125.00
05/18/09	ADVANCED MEDICAL INC.	500.00
05/18/09	Gerson Lehrman Group	50.00
05/18/09	Gerson Lehrman Group	300.00
05/18/09	GREEN CASTLE AERO CLUB LTD.	10,008.89
05/18/09	HAND REHABILITATION FOUNDATION	123.02
05/18/09	Mi-T-M Corporation	345.00
05/18/09	MMIC	147.00
05/18/09	Tyson	500.00
05/31/09	Interest Deposit	67.37
06/08/09	ADVANCE MEDICAL, INC.	500.00
06/08/09	Gerson Lehrman Group	60.00
06/08/09	Gerson Lehrman Group	65.00
06/08/09	GUIDEPOINT GLOBAL	100.00
06/08/09	GUIDEPOINT GLOBAL	215.00
06/08/09	Nationwide Agribusiness	345.00
06/08/09	Parker Services, LLC	500.00
06/08/09	THE CINCINNATI INSURANCE COMPANY	345.00
06/08/09	TRAVELERS	500.00
06/08/09	Zurich American Insurance Company on behalf of Steadfast Insurance Co.	368.00
06/16/09	FARA	500.00
06/16/09	GALLAGHER BASSETT SERVICES INC	500.00
06/16/09	GALLAGHER BASSETT SERVICES INC	350.00
06/16/09	Gerson Lehrman Group	325.00
06/16/09	POTHITAKIS LAW FIRM, PC	125.00
06/16/09	SCHAFFER LAW OFFICE	1,950.00
06/16/09	SRS	750.00
06/30/09	AAOS American Academy of Orthopaedic Surgeons	437.90
06/30/09	ACUITY	345.00
06/30/09	GALLAGHER BASSETT SERVICES INC	345.00
06/30/09	Interest Deposit	64.90
06/30/09	MARSHFIELD CLINIC	1,252.00
06/30/09	Sedgwick Claims Management Services	500.00
06/30/09	Tyson	345.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
06/30/09	UNITED FIRE GROUP (Addison Insurance Company)	345.00
07/08/09	ADVANCED MEDICAL, INC.	500.00
07/08/09	ASCENSION ORTHOPEDICS, INC.	1,074.91
07/08/09	Extremity MEDICAL, LLC	417.69
07/08/09	GUIDEPOINT GLOBAL	250.00
07/08/09	IMWCA	195.00
07/20/09	CLERK OF DISTRICT COURT Johnson County Courthouse	38.00
07/20/09	Gerson Lehrman Group	60.00
07/20/09	Gerson Lehrman Group	160.00
07/20/09	THE CINCINNATI INSURANCE COMPANY	345.00
07/20/09	Tyson	500.00
07/20/09	Tyson	245.00
07/23/09	ADVANCE MEDICAL, INC.	500.00
07/27/09	C N A	500.00
07/27/09	E M C Insurance Company	345.00
07/27/09	POTHITAKIS LAW FIRM, PC	295.00
07/27/09	Tyson	500.00
08/02/09	Interest Deposit	34.12
08/04/09	DEBIT GENERAL LEDGER	5,163.26
08/06/09	BOSTON HEALTHCARE ASSOCIATES, INC.	300.00
08/06/09	Extremity Medical, LLC	145.00
08/06/09	Paul McAndrew Law Firm	295.00
08/06/09	TORNIER INC.	533.59
08/24/09	ADVANCED MEDICAL, INC.	1,000.00
08/24/09	Tyson	500.00
08/27/09	AMERICAN SOCIETY FOR SURGERY OF THE HAND	362.66
08/27/09	PHELAN TUCKER LAW FIRM	1,800.00
08/27/09	SHUTTLEWORTH & INGERSOLL, PLC	738.00
08/27/09	UHS OF DELAWARE, INC.	1,500.00
08/27/09	Wagstaff & Cartmell, LLP	1,950.00
08/31/09	Interest Deposit	34.71
09/08/09	Ascension Orthopedics Inc	652.94
09/08/09	HARVEY & STUCKEL, CHARTERED ATTORNEYS AT LAW	500.00
09/08/09	Liberty Mutual	500.00
09/08/09	PATTERSON LAW FIRM, LLP	315.00
09/08/09	Tyson	500.00
09/10/09	Truck Insurance Exchange	500.00
09/18/09	ADVANCE MEDICAL INC.	500.00
09/18/09	Gerson Lehrman Group	65.00
09/18/09	GRINNELL MUTUAL	365.00
09/18/09	HARVEY & STUCKEL, CHARTERED ATTORNEYS AT LAW	315.00
09/18/09	PEDDICORD, WHARTON, SPENCER, HOOK, BARRON AND WEGMAN, LLP	315.00
09/21/09	Gerson Lehrman Group	130.00
09/21/09	Gerson Lehrman Group	200.00
09/21/09	Tyson	500.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
09/30/09	Interest Deposit	32.52
10/12/09	CREATIVE RISK SOLUTIONS	500.00
10/12/09	EMC	365.00
10/12/09	E-REWARDS INC.	28.00
10/12/09	Gerson Lehrman Group	225.00
10/12/09	Gerson Lehrman Group	40.00
10/12/09	Gerson Lehrman Group	50.00
10/12/09	GUIDEPOINT GLOBAL	150.00
10/12/09	GUIDEPOINT GLOBAL	100.00
10/12/09	LEERINK SWANN	50.00
10/12/09	ROTH LAW OFFICE, PC	175.00
11/01/09	Interest Deposit	26.73
11/27/09	BRIAN D ADAMS	3,500.00
11/30/09	Interest Deposit Deposit	21.33
12/01/09	ADVANCE MEDICAL, INC.	500.00
12/01/09	The Hartford	500.00
12/01/09	Tyson	500.00
12/08/09	GALLAGHER BASSETT SERVICES INC	125.00
12/08/09	Gerson Lehrman Group	90.00
12/08/09	Liberty Mutual	365.00
12/08/09	Saint Luke's Health System	162.00
12/21/09	ARCHWAY MEDICAL INC.	756.40
12/21/09	CorVel Corporation	365.00
12/21/09	Gerson Lehrman Group	90.00
12/21/09	Gerson Lehrman Group	110.00
12/21/09	SHUTTLEWORTH & INGERSOLL, PLC	813.00
12/21/09	UNITED HEARTLAND	365.00
12/23/09	CORVEL CORPORATION	500.00
12/23/09	TRAVELERS	365.00
12/23/09	Tyson	225.00
12/31/09	Interest Deposit	22.04
01/04/10	ADVANCE MEDICAL INC.	500.00
01/04/10	Gerson Lehrman Group	187.00
01/04/10	Gerson Lehrman Group	50.00
01/04/10	MARSHFIELD CLINIC	4,057.00
01/04/10	MMIC	1,500.00
01/04/10	POTHITAKIS LAW FIRM PC	125.00
01/04/10	WINSTEIN, KAVENSKY & CUNNINGHAM	195.00
01/04/10	ZURICH Services Corporation	500.00
01/19/10	CUTLER LAW FIRM PC	150.00
01/19/10	GALLAGHER BASSETT SERVICES INC	375.00
01/19/10	Gerson Lehrman Group	250.00
01/19/10	Gerson Lehrman Group	100.00
01/19/10	Liberty Mutual	375.00
01/31/10	Interest Deposit	25.11

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
02/01/10	ADVANCE MEDICAL INC.	505.00
02/01/10	Consitution State Services, LLC	375.00
02/01/10	Gerson Lehrman Group	80.00
02/01/10	Gerson Lehrman Group	100.00
02/01/10	John C. Wagner Law Offices	500.00
02/01/10	PARTNERS	1,273.20
02/01/10	TEMP ASSOCIATES-BURLINGTON INC.	375.00
02/01/10	THE CINCINNATI INSURANCE COMPANY	500.00
02/01/10	Tyson	150.00
02/26/10	DATAMONITOR, INC	150.00
02/26/10	Gerson Lehrman Group	15.00
02/26/10	Gerson Lehrman Group	100.00
02/26/10	Gerson Lehrman Group	200.00
02/26/10	GUIDEPOINT GLOBAL	300.00
02/26/10	TRAVELERS	375.00
02/26/10	UNITED HEARTLAND	375.00
02/28/10	Interest Deposit	20.47
03/05/10	Accident Fund	500.00
03/05/10	CASEY'S GENERAL STORE INC.	375.00
03/05/10	Gerson Lehrman Group	145.00
03/05/10	Gerson Lehrman Group	65.00
03/05/10	LEERINK SWANN	50.00
03/05/10	Liberty Mutual	395.00
03/05/10	Traffic Insurance Ltd	395.00
03/05/10	Tyson	500.00
03/15/10	IOWA MUTUAL INSURANCE COMPANY	500.00
03/15/10	MARSHFIELD CLINIC	1,137.00
03/15/10	THE GROUP	195.00
03/15/10	UNITED FIRE GROUP	375.00
03/29/10	ADVANCE MEDICAL INC.	500.00
03/29/10	CHUBB FEDERAL INSURANCE COMPANY	500.00
03/29/10	GALLAGHER BASSETT SERVICES INC	500.00
03/29/10	Gerson Lehrman Group	100.00
03/29/10	Gerson Lehrman Group	50.00
03/29/10	Gerson Lehrman Group	300.00
03/29/10	GRINNELL MUTUAL	395.00
03/29/10	INTEGRA	523.20
03/29/10	SHUTTLEWORTH & INGERSOLL, PLC	162.00
03/29/10	THE CINCINNATI INSURANCE COMPANY	500.00
03/29/10	Truck Insurance Exchange	395.00
03/29/10	VISTA RESEARCH	115.00
03/31/10	Interest Deposit	22.78
05/02/10	Interest Deposit	26.33
05/04/10	ADVANCE MEDICAL INC.	500.00
05/04/10	COWEN	100.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
05/04/10	GALLAGHER BASSETT SERVICES INC	395.00
05/04/10	Gerson Lehrman Group	275.00
05/04/10	Gerson Lehrman Group	25.00
05/04/10	Gerson Lehrman Group	235.00
05/04/10	Gerson Lehrman Group	230.00
05/04/10	GUIDEPOINT GLOBAL	315.00
05/04/10	LEERINK SWANN	50.00
05/04/10	MCRI/SUMMER STREET RESEARCH PARTNERS	75.00
05/04/10	MMIC Insurance Inc.	2,450.00
05/04/10	Sac & Fox Tribe of the Mississippi in Iowa	500.00
05/04/10	SECURA	395.00
05/04/10	SHUTTLEWORTH & INGERSOLL, PLC	162.00
05/04/10	TORNIER, INC.	335.00
05/04/10	United Healthcare	500.00
05/13/10	ADVANCE MEDICAL INC.	500.00
05/13/10	Ascension Orthopedics, Inc	1,247.05
05/13/10	CASH IN TICKET	50.00
05/13/10	GALLAGHER BASSETT SERVICES INC	395.00
05/13/10	GUIDEPOINT GLOBAL	75.00
05/13/10	MEDPANEL LLC	100.00
05/13/10	POTHITAKIS LAW FIRM PC	175.00
05/24/10	ADVANCE MEDICAL INC.	500.00
05/24/10	Collins-Stewart, Inc.	50.00
05/24/10	COWEN	100.00
05/24/10	Gerson Lehrman Group	250.00
05/24/10	GRINNELL MUTUAL	395.00
05/24/10	Nationwide Agribusiness	175.00
05/24/10	RICCOLO & SEMELROTH, PC	175.00
05/24/10	SCHAFFER LAW OFFICE	81.00
05/24/10	SHUTTLEWORTH & INGERSOLL, PLC	281.00
05/24/10	THE CINCINNATI INSURANCE COMPANY	395.00
05/31/10	Interest Deposit	26.03
06/03/10	E M C Insurance Company	395.00
06/03/10	Gerson Lehrman Group	62.00
06/03/10	MARSHFIELD CLINIC	162.00
06/03/10	Reward Headquarters	25.00
06/03/10	Reward Headquarters	25.00
06/30/10	Interest Deposit	25.62
07/06/10	ADVANCE MEDICAL INC.	500.00
07/06/10	ADVANCE MEDICAL INC.	500.00
07/06/10	ASCENSION ORTHOPEDICS, INC.	1,468.93
07/06/10	Bloethe, Elwood & Buchanan Law Office	395.00
07/06/10	COWEN	100.00
07/06/10	E M C Insurance Company	500.00
07/06/10	GALLAGHER BASSETT SERVICES INC	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
07/06/10	Gerson Lehrman Group	225.00
07/06/10	Gerson Lehrman Group	65.00
07/06/10	Gerson Lehrman Group	50.00
07/06/10	Gerson Lehrman Group	150.00
07/06/10	HEATHCARE RESEARCH CONSULTING GROUP	100.00
07/06/10	Liberty Mutual	500.00
07/06/10	Liberty Mutual	395.00
07/06/10	Liberty Mutual	395.00
07/06/10	MDLinx	25.00
07/06/10	Nationwide	395.00
07/06/10	NORDSTROM	500.00
07/06/10	PATTERSON LAW FIRM LLP	175.00
07/06/10	QBE	500.00
07/06/10	Sac & Fox Tribe of the Mississippi in Iowa	580.00
07/06/10	SURVEYRX.COM	175.00
07/06/10	The Hartford	395.00
07/06/10	UNITED HEARTLAND	500.00
07/06/10	Visium Asset Management LP	40.00
07/06/10	WESTBEND	395.00
07/06/10	WorldOne, Inc (Lead Physicians)	28.00
07/29/10	American Physicians Assurance Corporation	600.00
07/29/10	GALLAGHER BASSETT SERVICES INC	650.00
07/29/10	Gerson Lehrman Group	115.00
07/29/10	HEALTHCARE RESEARCH CONSULTING GROUP	100.00
07/29/10	INTEGRA	5,757.16
07/29/10	Mayo Foundation for Medical Education and Reseach	529.87
07/29/10	MDLinx	45.00
07/29/10	Tyson	500.00
07/29/10	Tyson	500.00
08/01/10	Interest Deposit	31.21
08/13/10	ADVANCE MEDICAL INC.	500.00
08/13/10	GALLAGHER BASSETT SERVICES INC	500.00
08/13/10	GREAT AMERICAN INSURANCE COMPANY	395.00
08/13/10	GUIDEPOINT GLOBAL	25.00
08/13/10	Liberty Mutual	500.00
08/13/10	MMIC Insurance, Inc.	837.00
08/13/10	SRS	395.00
08/13/10	STATE OF NEBRASKA	1,500.00
08/13/10	The Hartford	395.00
08/13/10	VISIUM ASSET MANAGEMENT LP	40.00
08/25/10	ADVANCE MEDICAL INC.	500.00
08/25/10	AMERICAN SOCIETY FOR SURGERY OF THE HAND	537.82
08/25/10	GUIDEPOINT GLOBAL	75.00
08/25/10	SELECTIVE	395.00
08/25/10	THE CINCINNATI INSURANCE COMPANY	562.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
08/31/10	Interest Deposit	34.59
09/09/10	AMERICAN SOCIETY FOR SURGERY OF THE HAND	525.40
09/09/10	Ascension Orthopedics, Inc	742.80
09/09/10	COWEN	100.00
09/09/10	Gerson Lehrman Group	75.00
09/09/10	Liberty Mutual	395.00
09/09/10	UNITED HEARTLAND	395.00
09/09/10	WEST BEND	175.00
09/21/10	Accident Fund	395.00
09/21/10	CASEY'S GENERAL STORE INC.	395.00
09/21/10	EMC Risk Services, LLC	500.00
09/21/10	Gerson Lehrman Group	50.00
09/21/10	Gerson Lehrman Group	50.00
09/21/10	GUIDEPOINT GLOBAL	100.00
09/21/10	SRS	395.00
09/21/10	VISIUM ASSET MANAGEMENT LP	40.00
09/30/10	Interest Deposit	36.84
10/01/10	BEATTIE LAW FIRM, PC	195.00
10/01/10	CHUBB Federal Insurance Company	395.00
10/01/10	E M C Insurance Companies	300.00
10/01/10	GUIDEPOINT GLOBAL	40.00
10/01/10	PEDDICORD, WHARTON, SPENCER, HOOK, BARRON AND WEGMAN, LLP	125.00
10/15/10	BAKER & ENRIGHT	4,606.00
10/15/10	Gerson Lehrman Group	150.00
10/15/10	Gerson Lehrman Group	120.00
10/15/10	INTEGRA	968.40
10/15/10	MEDPANEL, LLC	55.00
10/15/10	MEDPANEL, LLC	75.00
10/15/10	SHUTTLEWORTH & INGERSOLL, PLC	2,550.00
10/15/10	TORNIER, INC.	646.80
10/15/10	VISIUM ASSET MANAGEMENT LP	40.00
10/28/10	Collins-Stewart, Inc	50.00
10/28/10	COWEN	100.00
10/28/10	Gerson Lehrman Group	600.00
10/28/10	LEERINK SWANN	65.00
10/28/10	Liberty Mutual	700.00
10/28/10	NYEMASTER, GOODE, WEST, HANSELL & O'BRIEN, PC	150.00
10/28/10	TRAVELERS	250.00
10/28/10	WEST BEND	700.00
10/31/10	Interest Deposit	43.24
11/05/10	ARCHWAY MEDICAL, INC.	437.40
11/05/10	GALLAGHER BASSETT SERVICES INC	500.00
11/05/10	GUIDEPOINT GLOBAL	150.00
11/05/10	Liberty Mutual	395.00
11/05/10	STATE FARM FIRE AND CASUALTY COMPANY	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
11/05/10	Tyson	500.00
11/05/10	Tyson	790.00
11/15/10	ADVANCE MEDICAL INC.	500.00
11/15/10	Liberty Mutual	395.00
11/15/10	PEKIN	395.00
11/15/10	THE CINCINNATI INSURANCE COMPANY	500.00
11/15/10	VISIUM ASSET MANAGEMENT LP	40.00
11/26/10	Aurora Risk Management Services	375.00
11/26/10	EMC Risk Services, LLC	600.00
11/26/10	Gerson Lehrman Group	100.00
11/26/10	Gerson Lehrman Group	135.00
11/26/10	Gerson Lehrman Group	25.00
11/26/10	Gerson Lehrman Group	40.00
11/26/10	GRINNELL MUTUAL	395.00
11/26/10	Helmsman Management Services LLC	500.00
11/26/10	MMIC Insurance, Inc.	167.00
11/26/10	NEW HAMPSHIRE INSURANCE COMPANY	395.00
11/26/10	SHUTTLEWORTH & INGERSOLL, PLC	251.00
11/30/10	Interest Deposit	46.93
12/14/10	E M C Insurance Companies	850.00
12/14/10	ELWOOD, ELWOOD & BUCHANAN	395.00
12/14/10	Extremity Medical, LLC	203.75
12/14/10	FITZGIBBONS LAW FIRM, LLC	187.00
12/14/10	GALLAGHER BASSETT SERVICES INC	500.00
12/14/10	MCS on behalf of Marriott	700.00
12/14/10	Sedgwick Claims Management Services, Inc.	500.00
12/14/10	SHUTTLEWORTH & INGERSOLL, PLC	188.00
12/14/10	Tyson	1,345.00
12/21/10	CORVEL	395.00
12/21/10	Gerson Lehrman Group	75.00
12/21/10	GUIDEPOINT GLOBAL	100.00
12/21/10	SHELDON BIERI	175.00
12/21/10	SURVEYRX.COM	175.00
12/21/10	THE CINCINNATI INSURANCE COMPANY	395.00
12/21/10	TRAVELERS	395.00
12/31/10	Interest Deposit	46.79
01/07/11	Accident Fund	395.00
01/07/11	ADVANCE MEDICAL INC.	500.00
01/07/11	E M C Insurance Companies	395.00
01/07/11	E M C Insurance Company	500.00
01/07/11	GALLAGHER BASSETT SCRIV, INC	100.00
01/07/11	Gerson Lehrman Group	100.00
01/07/11	Gerson Lehrman Group	100.00
01/07/11	Gerson Lehrman Group	150.00
01/07/11	LAW OFFICES OF JOHN T. HEMMINGER	1,250.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
01/07/11	Med Panel	75.00
01/07/11	Med Panel	60.00
01/07/11	NORDSTROM	395.00
01/07/11	PEKIN	395.00
01/18/11	EMC Risk Services, LLC	395.00
01/18/11	GALLAGHER BASSETT SERVICES, INC	175.00
01/18/11	GALLAGHER BASSETT SERVICES, INC	500.00
01/18/11	Gerson Lehrman Group	40.00
01/18/11	Gerson Lehrman Group	10.00
01/18/11	MDLinx	30.00
01/18/11	THE CINCINNATI INSURANCE COMPANY	500.00
01/18/11	Tyson	395.00
01/18/11	UNITED FIRE GROUP	395.00
01/24/11	Church Mutual	500.00
01/24/11	CLAIM ACCOUNT	395.00
01/24/11	Gerson Lehrman Group	300.00
01/24/11	Helmsman Management Servies LLC	395.00
01/24/11	SRS	395.00
01/24/11	UNITED HEARTLAND	395.00
01/27/11	CLAIM ACCOUNT	500.00
01/27/11	GREAT AMERICAN INSURANCE COMPANY	500.00
01/27/11	IMWCA	500.00
01/27/11	SRS	395.00
01/31/11	Interest Deposit	20.68
02/03/11	Ascension Orthopedics, Inc	913.14
02/03/11	E M C Insurance Companies	500.00
02/03/11	Tyson	500.00
02/03/11	VISIUM ASSET MANAGEMENT LP	40.00
02/14/11	ADVANCED MEDICAL INC.	500.00
02/14/11	Collins-Stewart, Inc	125.00
02/14/11	FARM BUREAU PROPERTY & CASUALTY	500.00
02/14/11	GALLAGHER BASSETT SERVICES, INC	500.00
02/14/11	Gerson Lehrman Group	150.00
02/14/11	Gerson Lehrman Group	50.00
02/14/11	GUIDEPOINT GLOBAL	300.00
02/14/11	Liberty Mutual	395.00
02/14/11	LOCHER & LOCHER ATTORNEYS AT LAW	750.00
02/14/11	MURRAY, INC.	665.00
02/14/11	Sedgwick Claims Management Services, Inc.	375.00
02/22/11	GALLAGHER BASSETT SERVICES, INC	395.00
02/22/11	MMIC Insurance Inc.	3,467.00
02/22/11	THE CINCINNATI INSURANCE COMPANY	395.00
02/22/11	VISIUM ASSET MANAGEMENT LP	40.00
02/23/11	TRAVELERS	295.00
02/23/11	Tyson	775.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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02/25/11	ADVANCE MEDICAL INC.	500.00
02/25/11	E M C Insurance Companies	750.00
02/25/11	GALLAGHER BASSETT SERVICES, INC	395.00
02/25/11	GUIDEPOINT GLOBAL	75.00
02/25/11	PATTERSON LAW FIRM LLP	375.00
02/25/11	TRAVELERS	395.00
02/28/11	Interest Deposit	19.59
03/14/11	ADVANCE MEDICAL INC.	505.00
03/14/11	CANNON COCBILON MANAGEMENT SERVICES	500.00
03/14/11	Church Mutual	500.00
03/14/11	GALLAGHER BASSETT SERVICES, INC	1,250.00
03/14/11	GALLAGHER BASSETT SERVICES, INC	395.00
03/14/11	Gerson Lehrman Group	30.00
03/14/11	Gerson Lehrman Group	250.00
03/14/11	GUIDEPOINT GLOBAL	225.00
03/14/11	Sedgwick Claims Management Services, Inc.	125.00
03/14/11	SHUTTLEWORTH & INGERSOLL, PLC	921.00
03/14/11	THE CINCINNATI INSURANCE COMPANY	200.00
03/14/11	Tyson	500.00
03/14/11	Tyson	500.00
03/22/11	ADVANCE MEDICAL INC.	500.00
03/22/11	Tyson	225.00
03/22/11	VISIUM ASSET MANAGEMENT LP	40.00
03/22/11	WEST BEND	125.00
03/31/11	ASCENSION ORTHOPEDICS, INC.	376.30
03/31/11	CBC Workers Compensation	500.00
03/31/11	GALLAGHER BASSETT SERVICES, INC	395.00
03/31/11	Interest Deposit	22.60
03/31/11	KeyBank National Association	70.00
04/05/11	ACUITY	395.00
04/05/11	EMC Risk Services, LLC	500.00
04/05/11	Nationwide Agribusiness Insurance	395.00
04/11/11	E M C Insurance Companies	395.00
04/11/11	HAYES LORENZEN LAWYERS, PLC	500.00
04/11/11	Liberty Mutual	500.00
04/11/11	MEDPANEL, LLC	75.00
04/21/11	ADVANCE MEDICAL INC.	500.00
04/21/11	Gerson Lehrman Group	165.00
04/21/11	JEPPESEN	7.50
04/21/11	LAW OFFICE OF JIM BLACK	125.00
04/21/11	Liberty Mutual	125.00
04/21/11	THE CINCINNATI INSURANCE COMPANY	395.00
04/21/11	TRAVELERS	500.00
04/21/11	Tyson	500.00
04/27/11	O'CONNOR & THOMAS PC	1,000.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
04/27/11	TRAVELERS	750.00
04/27/11	ZURICH AMERICAN INSURANCE COMPANY	500.00
05/01/11	Interest Deposit	21.19
05/03/11	EMC Risk Services, LLC	500.00
05/03/11	FARM BUREAU PROPERTY & CASUALTY	395.00
05/03/11	FIZTGIBBONS LAW FIRM LLC	187.00
05/03/11	Gerson Lehrman Group	25.00
05/03/11	Humphrey Law Firm PC	250.00
05/03/11	INTEGRITY MEDICALEGAL ENTERPRISES	200.00
05/03/11	Nationwide Agribusiness Insurance	395.00
05/03/11	PEDDICORD, WHARTON, SPENCER, HOOK, BARRON AND WEGMAN, LLP	125.00
05/17/11	Claim Manangement Inc	500.00
05/17/11	FirstComp	395.00
05/17/11	HAND SURGERY ASSOCIATES OF INDIANA, INC.	350.00
05/17/11	LAW OFFICES OF CONMY FESTE, LTD	1,850.00
05/17/11	MICHAEL J. WARNER & ASSOCIATES	1,000.00
05/17/11	PEDDICORD, WHARTON, SPENCER, HOOK, BARRON AND WEGMAN, LLP	125.00
05/17/11	Tyson	500.00
05/17/11	VISSIUM ASSET MANAGEMENT LP	40.00
05/17/11	WEST BEND	395.00
05/23/11	Tyson	500.00
05/31/11	Interest Deposit	17.18
06/03/11	Ascension Orthopedics, Inc	873.99
06/03/11	CANNON COCTRAN MANAGEMENT SERVICES INC	500.00
06/03/11	CRAWFORD & COMPANY	500.00
06/03/11	HUBER, BOOK, CORTESE, HAPPE & LANZ, PLC	175.00
06/03/11	J. RECKNER ASSOCIATES, INC.	300.00
06/09/11	Advance Medical, Inc.	500.00
06/14/11	CANNON COCTRAN MANAGEMENT SERVICES INC	600.00
06/14/11	Claims Management Inc.	500.00
06/14/11	DATOKA TRUCK	600.00
06/14/11	INTEGRA	624.80
06/14/11	TRAVELERS	250.00
06/14/11	WOODLAKE MEDICAL MANAGEMENT, INC	750.00
06/14/11	ZURICH	500.00
06/20/11	Advance Medical, Inc	500.00
06/20/11	AMERICAN MEDICAL FORENSIC SPECIALISTS	687.50
06/20/11	BITUMINOUS	395.00
06/20/11	GEORGE A. BUSHA	260.00
06/20/11	Liberty Mutual	395.00
06/20/11	Liberty Mutual	750.00
06/20/11	TRAVELERS	500.00
06/27/11	AHLERS & COONEY PC	125.00
06/27/11	DoctorDirectory.com Inc	15.00
06/27/11	MWCA	250.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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06/27/11	Sedgwick Claims Management Services Inc.	395.00
06/27/11	THE CINCINNATI INSURANCE COMPANY	400.00
06/27/11	Tyson	500.00
06/27/11	ZURICH	500.00
06/30/11	Interest Deposit	18.58
07/05/11	CLAIM ACCOUNT	395.00
07/05/11	CLARUS ACUTY GROUP	50.00
07/05/11	Durham School Services	395.00
07/05/11	INTEGRITY MEDICALEGAL ENTERPRISES	950.00
07/05/11	Sedgwick Claims Management Services Inc.	250.00
07/06/11	MEDPANEL LLC	40.00
07/06/11	NORDSTROM	500.00
07/06/11	Sedgwick Claims Management Services Inc.	395.00
07/11/11	EMC Insurance Companies	395.00
07/11/11	GALLAGHER BASSETT SERVICES INC.	750.00
07/11/11	Gerson Lehrman Group Inc.	20.00
07/11/11	INTEGRA	883.36
07/21/11	Advance Medical Inc.	500.00
07/21/11	E-REWARDS INC.	18.00
07/21/11	Gerson Lehrman Group	200.00
07/21/11	Gerson Lehrman Group	75.00
07/21/11	Liberty Mutual	400.00
07/21/11	Liberty Mutual	395.00
07/21/11	MMIC Insurance Inc.	1,405.00
07/21/11	ST. LUKE'S HOSPITAL	500.00
07/21/11	SWISHER & COHRT, PLC	1,000.00
07/31/11	Interest Deposit	24.76
08/01/11	Ascension Orthopedics, Inc	515.40
08/01/11	Claims Management Inc.	800.00
08/01/11	Gerson Lehrman Group	75.00
08/08/11	EMC Insurance Companies	700.00
08/08/11	GALLUP	35.00
08/08/11	Gerson Lehrman Group	10.00
08/15/11	Advance Medical Inc.	500.00
08/15/11	GALLAGHER BASSETT SERVICES INC.	395.00
08/15/11	MARTIN DIAZ LAW FIRM	1,500.00
08/15/11	SHUTTLEWORTH & INGERSOLL, PLC	2,175.00
08/22/11	ACUTY	395.00
08/22/11	American Interstate Insurance Company	395.00
08/22/11	AMERICAN MEDICAL FORENSIC SPECIALISTS	687.50
08/22/11	AMERICAN SOCIETY FOR SURGERY OF THE HAND	599.92
08/22/11	CLAIM ACCOUNT	395.00
08/22/11	Claims Management Inc.	500.00
08/22/11	EMC Risk Services LLC	395.00
08/22/11	GALLAGHER BASSETT SERVICES INC.	150.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
08/31/11	EMC Insurance Companies	150.00
08/31/11	GALLAGHER BASSETT SERVICES INC.	500.00
08/31/11	Gerson Lehrman Group	85.00
08/31/11	Interest Deposit	27.49
08/31/11	NYEMASTER, GOODE, WEST, HANSELL & O'BRIEN PC	750.00
08/31/11	POTHITAKIS LAW FIRM PC	150.00
08/31/11	QBE	500.00
08/31/11	SIMMONS PERRINE MOYER BERGMAN PLC	175.00
08/31/11	TRAVELERS	395.00
09/16/11	ACCUITY	395.00
09/16/11	Advance Medical Inc.	500.00
09/16/11	Advance Medical Inc.	500.00
09/16/11	BETTY, NEUMAN & MCMAHON	150.00
09/16/11	DAKOTA TRUCK c/o Risk Administration Services	395.00
09/16/11	FITZGIBBONS LAW FIRM LLC	2,550.00
09/16/11	INTEGRA	211.54
09/16/11	POTHITAKIS LAW FIRM PC	35.00
09/16/11	TRAVELERS	600.00
09/16/11	TRAVELERS	325.00
09/16/11	Tyson	395.00
09/30/11	ACUITY	395.00
09/30/11	BUSH, MOTTO, GREEN, KOURY AND HALLIGAN PLC	1,500.00
09/30/11	Cambridge Integrated Services Group, Inc.	395.00
09/30/11	Gerson Lehrman Group	85.00
09/30/11	IOWA MUTUAL INSURANCE COMPANY	195.00
09/30/11	LeadPhysician	20.00
09/30/11	MEDPANEL LLC	60.00
09/30/11	MMIC Insurance Inc.	2,370.00
09/30/11	PATTERSON LAW FIRM, LLP	195.00
10/02/11	Interest Deposit	26.68
10/14/11	ARCHWAY MEDICAL INC	625.90
10/14/11	Berkley Risk Administrators Company LLC	250.00
10/14/11	BITUMINOUS	395.00
10/14/11	CHUBB Federal Insurance Company	1,382.00
10/14/11	IMWCA	395.00
10/14/11	INTEGRA	1,329.51
10/14/11	TRAVELERS	250.00
10/14/11	Tyson	1,145.00
10/19/11	GALLAGHER BASSETT SERVICES INC.	395.00
10/19/11	MEDPANEL LLC	75.00
10/19/11	Tyson	750.00
10/31/11	CLAIM ACCOUNT	395.00
10/31/11	Claims Management Inc.	395.00
10/31/11	INTEGRITY MEDICOLEGAL ENTERPRISES	750.00
10/31/11	Interest Deposit	26.50

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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10/31/11	PATTERSON LAW FIRM, LLP	195.00
11/20/11	Claims Management Inc	750.00
11/20/11	GREAT AMERICAN INSURANCE COMPANY	395.00
11/20/11	Liberty Mutual	395.00
11/20/11	MMIC Insurance, Inc	987.00
11/20/11	The Cincinnati Insurance Company	250.00
11/20/11	Tyson	395.00
11/20/11	UNITED HEARTLAND	395.00
11/23/11	ACUTY	395.00
11/23/11	Advance Medical Inc.	500.00
11/23/11	American Interstate Insurance Co. Inc	395.00
11/23/11	Ascension Orthopedics, Inc	300.00
11/23/11	CCMST RED ROBIN	395.00
11/23/11	GALLAGHER BASSETT SERVICES INC.	395.00
11/23/11	GEORGE A BUSHA	15.00
11/23/11	Paul McAndrew Law Firm	225.00
11/23/11	SHUTTLEWORTH & INGERSOLL, PLC	196.00
11/23/11	Tyson	125.00
11/23/11	WEST BEND	395.00
11/23/11	WEST BEND	395.00
11/30/11	Interest Deposit	28.90
12/04/11	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
12/04/11	Gerson Lehrman Group	75.00
12/09/11	ACE	395.00
12/09/11	Advance Medical Inc.	500.00
12/09/11	GALLAGHER BASSETT SERVICES INC.	500.00
12/09/11	Gerson Lehrman Group	50.00
12/09/11	Gerson Lehrman Group	75.00
12/09/11	MEDPANEL LLC	75.00
12/09/11	Paul McAndrew Law Firm	125.00
12/09/11	TECHNOLOGY INSURANCE CO (Claims Funding)	500.00
12/09/11	TRAVELERS	395.00
12/09/11	Tyson	750.00
12/12/11	CASH IN TICKET	57.00
12/16/11	CASEY'S GENERAL STORE	750.00
12/16/11	GALLAGHER BASSETT SERVICES INC.	750.00
12/16/11	SHUTTLEWORTH & INGERSOLL, PLC	2,567.00
12/16/11	The Cincinnati Insurance Company	350.00
12/16/11	TRAVELERS	395.00
12/29/11	ACE	395.00
12/29/11	ELDIRKIN & PIRNIE, PLC	296.00
12/29/11	EMC Insurance Companies	500.00
12/29/11	E-REWARDS INC	24.00
12/29/11	INTEGRA	185.33
12/29/11	Liberty Mutual	395.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
12/29/11	QBE	600.00
12/29/11	THE MASSACHUSETTS BAY INSURANCE CO	500.00
12/31/11	Interest Deposit	31.18
01/07/12	ACUITY	395.00
01/07/12	INTEGRITY MEDICOLEGAL ENTERPRISES	500.00
01/07/12	LEERICK SWANN	85.00
01/07/12	SHUTTLEWORTH & INGERSOLL, PLC	790.00
01/07/12	ZURICH	395.00
01/16/12	Advance Medical Inc.	500.00
01/16/12	ALLIED PROPERTY & CASUALTY INSURANCE COMPANY	3,258.00
01/16/12	CLAIM ACCOUNT	500.00
01/16/12	TRAVELERS	395.00
01/21/12	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
01/21/12	Gerson Lehrman Group	225.00
01/21/12	MDLinx	25.00
01/21/12	WOODLAKE MEDICAL MANAGEMENT, INC	600.00
01/27/12	EMC Insurance Companies	500.00
01/27/12	Nationwide Insurance	395.00
01/27/12	PITTON LAW PC	395.00
01/28/12	EELLS & TRONVOLD LAW OFFICES, PLC	975.00
01/28/12	EELLS & TRONVOLD LAW OFFICES, PLC	295.00
01/28/12	FITZGIBBONS LAW FIRM, LLC	375.00
01/28/12	IMWCA	500.00
01/28/12	Tyson	970.00
01/31/12	Interest Deposit	31.85
02/12/12	Advance Medical Inc.	500.00
02/12/12	Church Mutual	395.00
02/12/12	COMMERCE AND INDUSTRY INSURANCE CO.	395.00
02/12/12	EMC Insurance Companies	1,500.00
02/12/12	EMC Insurance Companies	395.00
02/12/12	EMC Insurance Companies	395.00
02/12/12	GALLAGHER BASSETT SERVICES INC.	125.00
02/12/12	Liberty Mutual	395.00
02/12/12	SCHULTZ & POGUE, LLP	987.00
02/12/12	SHUTTLEWORTH & INGERSOLL, PLC	395.00
02/12/12	ZURICH	395.00
02/17/12	Gerson Lehrman Group	325.00
02/17/12	HANSEN McCLINTOCK & RILEY PTR ATTORNEYS AT LAW	125.00
02/29/12	Interest Deposit	31.14
03/03/12	Advance Medical Inc.	500.00
03/03/12	Advance Medical Inc.	500.00
03/03/12	BRADSHAW, FOWLER,, PROCTOR & FAIRGRAVE, PC	125.00
03/03/12	CANNON COCTRAN MANAGEMENT SERVICES INC	395.00
03/03/12	GALLAGHER BASSETT SERVICES INC.	500.00
03/03/12	Gerson Lehrman Group	60.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
03/03/12	GUIDEPOINT GLOBAL	65.00
03/03/12	HANSEN McCLINTOCK & RILEY PTR ATTORNEYS AT LAW	395.00
03/03/12	J. RECKNER ASSOCIATES, INC.	110.00
03/03/12	LAW OFFICE OF PHILIP J. FARINA	975.00
03/03/12	MEDPANEL LLC	70.00
03/03/12	MMIC Insurance, Inc	1,086.00
03/03/12	MMIC Insurance, Inc	2,468.00
03/03/12	RICHARDS BRANDT HELLER NELSON	1,850.00
03/03/12	Tyson	500.00
03/09/12	LAW OFFICES OF CONMY FESTE LTD	1,850.00
03/09/12	ZURICH on behalf of Northern Insurance	395.00
03/25/12	Advance Medical Inc.	500.00
03/25/12	Advance Medical Inc.	500.00
03/25/12	FITZGIBBONS LAW FIRM, LLC	592.00
03/25/12	MDLinx	25.00
03/25/12	MDLinx	50.00
03/25/12	Sedgwick Claims Management Services Inc.	395.00
03/25/12	The Cincinnati Insurance Company	395.00
03/25/12	TRAVELERS	395.00
03/29/12	BAKER & ENRIGHT	3,752.00
03/29/12	E-REWARDS INC	35.00
03/29/12	Tyson	500.00
03/29/12	Tyson	500.00
04/01/12	BITUMINOUS	395.00
04/01/12	Claims Management, Inc	395.00
04/01/12	Interest Deposit Deposit	34.50
04/01/12	MICA	975.00
04/30/12	Interest Deposit	32.73
05/08/12	GALLAGHER BASSETT SERVICES INC.	395.00
05/08/12	GALLAGHER BASSETT SERVICES INC.	395.00
05/08/12	GALLAGHER BASSETT SERVICES INC.	395.00
05/08/12	LAUTZ LAW GROUP PC	1,000.00
05/08/12	PATTERSON LAW FIRM, LLP	150.00
05/08/12	PATTERSON LAW FIRM, LLP	175.00
05/08/12	Paul McAndrew Law Firm	395.00
05/08/12	TRAVELERS	395.00
05/08/12	TRAVELERS	395.00
05/08/12	Tyson	500.00
05/08/12	Unknown	1.00
05/30/12	Advance Medical Inc.	500.00
05/30/12	Advance Medical Inc.	500.00
05/30/12	Claims Management Inc.	395.00
05/30/12	EMC Insurance Companies	300.00
05/30/12	Extremity Medical, LLC	261.80
05/30/12	FITZGIBBONS LAW FIRM, LLC	98.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
05/30/12	GALLAGHER BASSETT SERVICES INC.	395.00
05/30/12	GALLAGHER BASSETT SERVICES INC.	395.00
05/30/12	GREAT AMERICAN INSURANCE COMPANY	175.00
05/30/12	GUIDEPOINT GLOBAL	300.00
05/30/12	NORDSTROM	395.00
05/31/12	Interest Deposit	35.18
06/03/12	Barnberger Attorneys at Law	1,777.00
06/03/12	The Cincinnati Insurance Company	500.00
07/01/12	Interest Deposit Deposit	36.61
07/05/12	ACE	395.00
07/05/12	Advance Medical Inc.	500.00
07/05/12	BAKER & ENRIGHT	1,481.00
07/05/12	CHUBB INDEMNITY INSURANCE COMPANY	395.00
07/05/12	Claims Management, Inc	395.00
07/05/12	DATOKA TRUCK UNDERWRITERS	125.00
07/05/12	EMC Insurance Companies	395.00
07/05/12	GALLAGHER BASSETT SERVICES INC.	395.00
07/05/12	GALLAGHER BASSETT SERVICES INC.	500.00
07/05/12	GALLAGHER BASSETT SERVICES INC.	395.00
07/05/12	IMWCA	395.00
07/05/12	NORDSTROM	300.00
07/05/12	The Cincinnati Insurance Company	500.00
07/05/12	Tyson	790.00
07/05/12	UNITED FIRE GROUP	395.00
07/05/12	WALKER, BILLINGSLEY & BAIR	150.00
07/05/12	ZURICH	395.00
07/14/12	CANNON COCTRAN MANAGEMENT SERVICES INC	500.00
07/14/12	EMC Insurance Companies	500.00
07/14/12	GREFE & SIDNEY, PLC	95.00
07/14/12	Sedwick CMS	395.00
07/14/12	SIMMONS PERRINE MOYER BERGMAN PLC	395.00
07/14/12	Tyson	520.00
07/14/12	Tyson	250.00
07/14/12	Tyson	650.00
07/19/12	BROADSPIRE	395.00
07/19/12	CHC Workers Compensation	500.00
07/19/12	DUKE HAND CLUB	1,000.00
07/19/12	Reward Headquarters	25.00
07/19/12	TOM RILEY LAW FIRM, PLC	1,000.00
07/19/12	Tyson	195.00
07/19/12	Tyson	500.00
07/26/12	CASH IN TICKET	15.00
07/31/12	Interest Deposit	37.54
08/03/12	EMC Risk Services, LLC	395.00
08/03/12	GALLAGHER BASSETT SERVICES INC FOR HON INDUSTRIES	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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08/03/12	GREFE & SIDNEY, PLC	95.00
08/07/12	GALLAGHER BASSETT SERVICES INC FOR HON INDUSTRIES	395.00
08/07/12	GALLAGHER BASSETT SERVICES INC.	125.00
08/20/12	AMERICAN SOCIETY FOR SURGERY OF THE HAND	643.30
08/20/12	DUKE HAND CLUB	918.20
08/20/12	GRINNELL MUTUAL	395.00
08/20/12	GUIDEPOINT GLOBAL	40.00
08/20/12	QBE	395.00
08/20/12	RICHARDS, BRANDT, MILLER, & NELSON	2,468.00
08/20/12	SHUTTLEWORTH & INGERSOLL, PLC	2,072.00
08/20/12	WESTERN NATIONAL MUTUAL INSURANCE COMPANY	395.00
08/20/12	WESTFIELD INSURANCE	750.00
08/20/12	ZURICH	395.00
08/30/12	EMC Insurance Companies	395.00
08/30/12	EMC Insurance Companies	395.00
08/30/12	FGUSA on Behalf of Dollar General	800.00
08/30/12	GALLAGHER BASSETT SERVICES INC FOR WHIRLPOOL CORPORATION	395.00
08/30/12	GUIDEPOINT GLOBAL	40.00
08/30/12	INTEGRITY MEDICOLEGAL ENTERPRISES	500.00
08/30/12	The Cincinnati Insurance Company	395.00
08/30/12	Tyson	750.00
08/30/12	Tyson	500.00
09/03/12	Interest Deposit	44.89
09/09/12	Advance Medical Inc.	500.00
09/09/12	BAKER & ENRIGHT	8,340.00
09/09/12	CHC Workers Compensation	395.00
09/09/12	IMWCA	375.00
09/09/12	INTEGRA	851.80
09/09/12	SECURA	395.00
09/09/12	SELECTIVE	395.00
09/09/12	The Cincinnati Insurance Company	1,200.00
09/09/12	TORNIER, INC	250.00
09/09/12	WALKER, BILLINGSLEY & BAIR	1,000.00
09/09/12	ZURICH	395.00
09/30/12	Interest Deposit	39.31
10/04/12	Advance Medical Inc.	500.00
10/04/12	Advance Medical Inc.	500.00
10/04/12	EMC Insurance Companies	950.00
10/04/12	GALLAGHER BASSETT SERVICES INC FOR HON INDUSTRIES	1,200.00
10/04/12	INTEGRITY MEDICOLEGAL ENTERPRISES	750.00
10/04/12	MDLinx	30.00
10/04/12	The Cincinnati Insurance Company	750.00
10/04/12	Tyson	500.00
10/04/12	WALKER, BILLINGSLEY & BAIR	25.00
10/04/12	WALKER, BILLINGSLEY & BAIR	175.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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10/21/12	Advance Medical Inc.	500.00
10/21/12	Extremity Medical	607.94
10/21/12	First Comp	363.40
10/21/12	First Comp	395.00
10/21/12	Liberty Mutual	395.00
10/21/12	TRAVELERS	500.00
10/31/12	Interest Deposit	46.94
11/07/12	Accident Fund	395.00
11/07/12	Advance Medical Inc.	500.00
11/07/12	GALLAGHER BASSETT SERVICES INC.	395.00
11/07/12	JACOBSON AND SORKIN, LTD	350.00
11/07/12	JAMES M HOOD	395.00
11/07/12	SHUTTLEWORTH & INGERSOLL, PLC	197.00
12/02/12	Interest Deposit	49.40
12/03/12	Advance Medical Inc.	500.00
12/03/12	GALLAGHER BASSETT SERVICES INC.	395.00
12/03/12	Gerson Lehrman Group	40.00
12/03/12	LUNDELL & LOFGREN PC	1,800.00
12/03/12	NALEAN & NALEAN ATTORNEYS AT LAW	395.00
12/03/12	Sedgewick Claims Management Services, Inc	500.00
12/03/12	Tyson	500.00
12/03/12	Tyson	395.00
12/03/12	Tyson	1,000.00
12/03/12	WESTFIELD	395.00
12/26/12	BAKER & ENRIGHT	395.00
12/26/12	Claims Management, Inc	395.00
12/26/12	INTEGRITY MEDICOLEGAL ENTERPRISES	750.00
12/26/12	Liberty Mutual	395.00
12/26/12	PEDDICORD, WHARTON, SPENCER, HOOK, BARRON AND WEGMAN, LLP	125.00
12/26/12	Sedgewick	750.00
12/26/12	Sedgewick Claims Management Services, Inc	395.00
12/26/12	SFM Select Insurance Company	395.00
12/26/12	The Cincinnati Insurance Company	375.00
12/26/12	The Hartford	395.00
12/26/12	TRAVELERS	395.00
12/26/12	Tyson	500.00
12/31/12	Interest Deposit	46.14
01/05/13	Advance Medical Inc.	500.00
01/05/13	Advance Medical Inc.	500.00
01/05/13	BRADSHAW, FOWLER, PROCTOR & FAIRGRAVE, PC	750.00
01/05/13	FARA	395.00
01/05/13	GuideOne Insurance	395.00
01/05/13	Liberty Mutual	395.00
01/05/13	TRAVELERS	750.00
01/05/13	Tyson	395.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

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01/05/13	Tyson	395.00
01/05/13	UNITED FIRE GROUP	395.00
01/23/13	Accident Fund	395.00
01/23/13	CORVEL	395.00
01/23/13	DEPOSITORS INSURANCE COMPANY	395.00
01/23/13	ESIS	395.00
01/23/13	POTHITAKIS	225.00
01/23/13	RJK, INC	395.00
01/23/13	Sedgewick Claims Management Services, Inc	395.00
01/23/13	TRAVELERS	395.00
01/23/13	Tyson	500.00
01/23/13	Tyson	395.00
01/23/13	United Heartland	500.00
01/23/13	United Heartland	395.00
01/31/13	Interest Deposit	51.31
02/03/13	Advance Medical Inc.	500.00
02/03/13	GALLAGHER BASSETT SERVICES INC.	395.00
02/03/13	GALLAGHER BASSETT SERVICES INC.	395.00
02/03/13	GALLAGHER BASSETT SERVICES INC.	395.00
02/03/13	RICHARDS BRANDT MILLER NELSON	3,775.00
02/03/13	Schott, Mauss & Associates, PC	175.00
02/03/13	The Hartford	395.00
02/03/13	Tyson	395.00
02/10/13	BEATTIE LAW FIRM, PC	175.00
02/10/13	BERT WATSON LAW OFFICE	75.00
02/10/13	INTEGRITY MEDICOLEGAL ENTERPRISES	500.00
02/14/13	MCS	320.00
02/14/13	The Cincinnati Insurance Company	600.00
02/16/13	Tyson	600.00
02/28/13	Interest Deposit	57.25
03/06/13	Advance Medical Inc.	500.00
03/06/13	CHC Workers Compensation	800.00
03/06/13	GALLAGHER BASSETT SERVICES INC.	395.00
03/06/13	GALLAGHER BASSETT SERVICES INC.	395.00
03/06/13	Liberty Mutual	395.00
03/06/13	TRAVELERS	395.00
03/24/13	ACUITY	395.00
03/24/13	Advance Medical Inc.	500.00
03/24/13	Advance Medical Inc.	500.00
03/24/13	BITUMINOUS	395.00
03/24/13	CLAIM ACCOUNT	500.00
03/24/13	COLUMBIA	395.00
03/24/13	EMC Insurance Companies	395.00
03/24/13	Gerson Lehrman Group	100.00
03/24/13	GUIDEPOINT GLOBAL	300.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
03/24/13	HUBER, BOOK, CORTESE & LANZ, PLLC	395.00
03/24/13	INTEGRITY MEDICOLEGAL ENTERPRISES	95.00
03/24/13	Safeco Insurance	6,750.00
03/24/13	TRISTAR RISK MANAGEMENT	395.00
03/24/13	Tyson	125.00
03/24/13	United Heartland	395.00
03/29/13	Advance Medical Inc.	500.00
03/29/13	Advance Medical Inc.	500.00
03/29/13	BRIAN D ADAMS/DEBORAH J ADAMS	10,000.00
03/29/13	FITZGIBBONS LAW FIRM, LLC	2,750.00
03/29/13	MMIC Insurance, Inc	2,750.00
03/29/13	TK LAW LLC	1,500.00
03/31/13	Interest Deposit	42.48
04/18/13	Advance Medical Inc.	500.00
04/18/13	Advance Medical Inc.	500.00
04/18/13	Gerson Lehrman Group	60.00
04/18/13	Gerson Lehrman Group	260.00
04/18/13	LEFF LAW FIRM, LLR	125.00
04/27/13	Advance Medical Inc.	500.00
04/27/13	Advance Medical Inc.	500.00
04/27/13	GUIDEPOINT GLOBAL	150.00
04/27/13	Safeco Insurance	197.00
04/30/13	Interest Deposit	32.90
05/17/13	Advance Medical Inc.	500.00
05/17/13	Advance Medical Inc.	500.00
05/17/13	Guidepoint Global	25.00
05/17/13	Leerink Swann	70.00
05/17/13	MDLINX	20.00
05/20/13	Advance Medical Inc	500.00
05/20/13	Gerson Lehrman Group Inc	300.00
05/28/13	Advance Medical Inc	500.00
05/31/13	Interest Deposit	36.76
06/21/13	Advance Medical Inc	500.00
06/21/13	Advance Medical Inc	500.00
06/21/13	Advance Medical Inc	500.00
06/21/13	Guidepoint Global	300.00
06/21/13	MMIC Insurance Inc	4,500.00
06/30/13	Interest Deposit	31.50
07/08/13	Advance Medical Inc	500.00
07/08/13	Advance Medical Inc	500.00
07/08/13	Gerson Lehrman Group Inc	50.00
07/08/13	Mayo Foundation for Medical Education and Research	553.60
07/19/13	Gerson Lehrman Group Inc	300.00
07/19/13	Gerson Lehrman Group Inc	340.00
07/19/13	Guidepoint Global	60.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
07/19/13	Preferred Airparts LLC	1,375.00
07/31/13	Interest Deposit	35.50
08/05/13	Advance Medical Inc	500.00
08/05/13	Advance Medical Inc	500.00
08/05/13	E-Rewards INC	15.00
08/05/13	Gerson Lehrman Group Inc	60.00
08/05/13	Leerink Swann	70.00
08/21/13	Advance Medical Inc	500.00
08/21/13	Richards, Randy, Miller, Nelson	4,500.00
09/02/13	Interest Deposit	38.57
09/13/13	Advance Medical Inc	500.00
09/13/13	Advance Medical Inc	500.00
09/30/13	Interest Deposit	33.34
10/10/13	Advance Medical Inc	500.00
10/10/13	Advance Medical Inc	500.00
10/10/13	Advance Medical Inc	500.00
10/10/13	Fitzgibbons Law Firm LLC	2,666.00
10/10/13	Henry & Gloria Hoffman	300.00
10/31/13	Interest Deposit	37.50
12/01/13	Interest Deposit	37.75
12/31/13	Interest Deposit	36.38
01/03/14	Advance Medical Inc	500.00
01/03/14	Fitzgibbons Law Firm LLC	1,777.00
01/21/14	Advance Medical Inc	500.00
01/21/14	Advance Medical Inc	500.00
01/21/14	Fitzgibbons Law Firm LLC	1,382.00
01/21/14	Guidepoint Global	25.00
02/02/14	Interest Deposit	40.01
02/10/14	Falcon Insurance Agency, Inc	4.00
02/10/14	Leerink	70.00
02/10/14	Southern California Society for Surgery of the Hand	1,067.60
02/10/14	Tornier, Inc.	2,037.67
02/18/14	Tornier Inc	596.00
02/20/14	Fitzgibbons Law Firm LLC	2,370.00
03/02/14	Interest Deposit	34.75
03/18/14	Claim Services	296.00
03/18/14	Currie & Liabo Law Firm PLC	1,200.00
03/18/14	Gerson Lehrman Group Inc	75.00
03/18/14	Irish Cheque Issue LTD	50.00
03/18/14	Richards, Brandt, Miller, Nelson	1,850.00
03/18/14	Vumedi Inc	139.41
03/31/14	Interest Deposit	36.70
04/04/14	Fitzgibbons Law Firm LLC	2,187.00
04/28/14	Advance Medical Inc	500.00
04/28/14	Gerson Lehrman Group Inc	435.00

Exhibit E

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
04/28/14	Gerson Lehrman Group Inc	55.00
04/28/14	The James Law Firm	1,300.00
04/29/14	Advance Medical Inc	500.00
04/29/14	Advance Medical Inc	500.00
04/30/14	Interest Deposit	34.42
05/30/14	Advance Medical LLC	500.00
05/30/14	Advance Medical LLC	500.00
05/30/14	Advance Medical LLC	500.00
05/30/14	Fitzgibbons Law Firm LLC	3,060.00
05/30/14	Richards, Brandt, Miller, Nelson	1,850.00
06/01/14	Interest Deposit	31.36
06/23/14	Gerson Lehrman Group Inc	80.00
06/23/14	Guidepoint Global	295.00
06/23/14	Guidepoint Global	25.00
06/30/14	Interest Deposit	29.20
07/03/14	Boucher Law Firm	1,300.00
07/22/14	Gerson Lehrman Group Inc	440.00
07/22/14	Richards, Brandt, Miller, Nelson	493.00
07/31/14	Interest Deposit	31.32
08/06/14	Des Moines Orthopaedic Surgeons	422.22
08/06/14	Gerson Lehrman Group Inc	70.00
08/20/14	Advance Medical Inc	500.00
08/20/14	Gerson Lehrman Group Inc	200.00
09/01/14	Interest Deposit	32.23
09/02/14	Advance Medical Inc	500.00
09/02/14	Guidepoint Global	300.00
09/02/14	Ted R Osburn	2,350.00
09/04/14	Claims Management	600.00
09/04/14	Gerson Lehrman Group Inc	50.00
09/04/14	NA	520.00
09/30/14	Interest Deposit	38.68
10/03/14	Gerson Lehrman Group Inc	50.00
10/27/14	Advance Medical Inc	500.00
10/27/14	Kingsley Law Office	2,450.00
10/27/14	Ted R. Osburn	197.00
11/02/14	Interest Deposit	45.32
11/30/14	Interest Deposit	38.86
12/03/14	Advance Medical Inc	500.00
12/03/14	Advance Medical Inc	500.00
12/03/14	Advance Medical Inc	500.00
12/03/14	Advance Medical Inc	500.00
12/03/14	Advance Medical Inc	500.00
12/03/14	COPI Insurance Company	3,575.00
12/03/14	Gerson Lehrman Group, Inc	225.00

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at Hills Bank
for the period July 1, 1999 through December 31, 2014

Transaction Date	Description/Payer per Bank Statement or Copy of the Check ^	Deposit Amount
12/03/14	McEnrde, Gotsdiner, Brewer & Steinbach, P.C.	175.00
12/03/14	NA	25.00
12/03/14	NA	45.00
12/03/14	NA	75.00
12/03/14	NA	100.00
12/26/14	Advance Medical Inc	500.00
12/26/14	Advance Medical Inc	500.00
12/26/14	Advance Medical Inc	1,000.00
12/26/14	Elite Medical Experts, LLC	2,900.00
12/26/14	Guidepoint Global	300.00
12/26/14	UnityPoint Health	5,321.00
12/30/14	Advance Medical Inc	500.00
12/30/14	Advance Medical Inc	500.00
12/31/14	Interest Deposit	43.58
	Total Deposits	<u>\$ 611,171.89</u>

^ - The Exhibit includes account numbers XXXX154 and XXXX615. The balance of account XXXX154 was transferred to account XXXX615 on February 3, 2009. The transfer is not shown in the Exhibit.

NA - Not available.

Exhibit F

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
01/12/09	280076	01/07/09	Integra LifeSciences	\$ 655.86
01/12/09	280077	01/07/09	Integra LifeSciences	840.27
02/11/09	41106	02/06/09	Ascension Orthopedics, Inc.	903.63
05/04/09	41804	04/24/09	Ascension Orthopedics, Inc.	4,600.00
05/04/09	2143	04/24/09	Extremity Medical, LLC	1,500.00
05/04/09	30750	04/29/09	Tornier, Inc.	1,750.00
09/14/09	33125	09/03/09	Tornier, Inc.	7,000.00
09/24/09	043033	09/18/09	Ascension Orthopedics, Inc.	10,450.00
10/08/09	296424	10/02/09	Integra LifeSciences	5,560.45
10/28/09	2408	10/14/09	Extremity Medical, LLC	10,440.00
10/28/09	297325	10/15/09	Integra LifeSciences	25,875.00
11/02/09	33798	10/23/09	Tornier, Inc.	8,375.00
11/04/09	043399	10/30/09	Ascension Orthopedics, Inc.	11,550.00
11/06/09	298069	10/29/09	Integra LifeSciences	8,892.34
11/19/09	298882	11/13/09	Integra LifeSciences	6,875.00
11/27/09	043633	11/20/09	Ascension Orthopedics, Inc.	1,500.00
12/14/09	043759	12/04/09	Ascension Orthopedics, Inc.	646.71
12/14/09	2472	12/03/09	Extremity Medical, LLC	2,175.00
01/13/10	301754	01/05/10	Integra LifeSciences	5,000.00
01/13/10	34721	01/08/10	Tonier, Inc.	8,375.00
01/26/10	044246	01/22/10	Ascension Orthopedics, Inc.	12,320.00
02/01/10	2575	01/25/10	Extremity Medical, LLC	3,504.44
02/01/10	34831	01/25/10	Tornier, Inc.	6,250.00
02/10/10	044367	02/05/10	Ascension Orthopedics, Inc.	13,073.28
02/10/10	303522	02/04/10	Integra LifeSciences	10,339.23
02/10/10	303521	02/04/10	Integra LifeSciences	14,201.15

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
02/22/10	2599	02/12/10	Extremity Medical, LLC	1,650.00
03/23/10	2659	03/12/10	Extremity Medical, LLC	9,075.00
04/27/10	35746	04/22/10	Tornier, Inc.	9,000.00
05/21/10	309649	05/17/10	Integra LifeSciences	13,296.30
05/24/10	309648	05/17/10	Integra LifeSciences	8,799.13
05/26/10	2786	05/17/10	Extremity Medical, LLC	1,500.00
08/13/10	312647	08/02/10	Integra LifeSciences	8,823.43
08/24/10	2988	08/16/10	Extremity Medical, LLC	4,125.00
08/31/10	37084	08/26/10	Tornier, Inc.	3,500.00
09/07/10	3038	08/27/10	Extremity Medical, LLC	2,932.10
09/21/10	314354	09/16/10	Integra LifeSciences	4,932.59
09/28/10	3105	09/24/10	Extremity Medical, LLC	1,532.89
09/29/10	46863	09/24/10	Ascension Orthopedics, Inc.	15,064.00
11/08/10	37752	10/28/10	Tornier, Inc.	7,625.00
11/09/10	316081	11/01/10	Integra LifeSciences	8,831.31
11/23/10	047434	11/12/10	Ascension Orthopedics, Inc.	1,212.02
12/06/10	317309	12/01/10	Integra LifeSciences	19,417.38
12/22/10	047626	12/03/10	Ascension Orthopedics, Inc	10,500.00
01/06/11	3326	12/29/10	Extremity Medical, LLC	1,500.00
02/14/11	3394	01/28/11	Extremity Medical, LLC	7,950.00
02/14/11	38609	01/28/11	Tornier, Inc.	2,000.00
02/22/11	319745	02/02/11	Integra LifeSciences	10,388.61
02/22/11	320363	02/15/11	Integra LifeSciences	20,735.00
02/24/11	048452	02/18/11	Ascension Orthopedics, Inc.	22,129.00
03/01/11	3477	02/23/11	Extremity Medical, LLC	520.83
03/14/11	320841	03/01/11	Integra LifeSciences	8,471.83

Exhibit F

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
03/28/11	3524	03/18/11	Extremity Medical, LLC	2,850.00
05/03/11	39451	04/29/11	Tornier, Inc.	1,250.00
05/12/11	323062	05/03/11	Integra LifeSciences	9,045.54
05/23/11	323661	05/16/11	Integra LifeSciences	15,214.21
05/31/11	3690	05/15/11	Extremity Medical, LLC	1,650.00
06/06/11	3734	05/25/11	Extremity Medical, LLC	595.05
06/06/11	39702	05/26/11	Tornier, Inc.	45,128.82
06/14/11	049694	06/03/11	Ascension Orthopedics, Inc	3,500.00
06/21/11	3773	06/15/11	Extremity Medical, LLC	1,425.00
08/08/11	326488	08/01/11	Integra LifeSciences	9,756.23
08/22/11	40377	08/11/11	Tornier, Inc.	2,125.00
08/29/11	3943	08/18/11	Extremity Medical, LLC	1,200.00
08/31/11	3991	08/25/11	Extremity Medical, LLC	1,235.17
09/16/11	4006	09/06/11	Extremity Medical, LLC	450.00
09/26/11	050881	09/13/11	Ascension Orthopedics, Inc.	10,620.00
10/11/11	051150	09/23/11	Ascension Orthopedics, Inc	4,700.00
10/31/11	329478	10/18/11	Integra LifeSciences	28,330.00
11/08/11	330065	11/02/11	Integra LifeSciences	11,526.55
11/09/11	4170	11/02/11	Extremity Medical, LLC	975.00
11/21/11	330654	11/16/11	Integra LifeSciences	22,290.00
12/09/11	4249	11/28/11	Extremity Medical, LLC	685.93
12/09/11	41323	12/02/11	Tornier, Inc.	2,193.37
01/23/12	4343	01/12/12	Extremity Medical, LLC	600.00
02/06/12	052224	01/27/12	Ascension Orthopedics, Inc	17,743.00
02/23/12	334066	02/15/12	Integra LifeSciences	16,648.34
03/06/12	4479	02/28/12	Extremity Medical, LLC	1,657.53

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
03/06/12	334602	03/01/12	Integra LifeSciences	4,000.00
03/07/12	052493	03/03/12	Ascension Orthopedics, Inc	6,100.00
03/26/12	4486	03/05/12	Extremity Medical, LLC	450.00
04/23/12	4573	04/06/12	Extremity Medical, LLC	1,125.00
05/07/12	4623	04/27/12	Extremity Medical, LLC	1,081.20
05/07/12	336897	05/01/12	Integra LifeSciences	2,224.04
05/09/12	42732	05/04/12	Tornier, Inc.	1,250.00
05/17/12	337422	05/07/12	Integra LifeSciences	5,510.00
06/04/12	4710	05/29/12	Extremity Medical, LLC	1,390.72
06/15/12	4763	06/15/12	Extremity Medical, LLC	8,400.00
06/19/12	338324	06/05/12	Integra LifeSciences	29,450.00
08/07/12	340805	08/01/12	Integra LifeSciences	28,278.46
08/13/12	053365	08/01/12	Ascension Orthopedics, Inc	959.00
08/16/12	340980	08/16/12	Integra LifeSciences	5,563.72
08/23/12	340882	08/13/12	Integra LifeSciences	4,966.57
09/04/12	4932	08/29/12	Extremity Medical, LLC	1,062.23
11/06/12	44316	11/01/12	Tornier, Inc.	9,771.18
11/30/12	341461	11/07/12	Integra LifeSciences	2,621.97
11/30/12	341447	11/06/12	Integra LifeSciences	6,349.88
11/30/12	44444	11/21/12	Tornier, Inc.	1,875.00
12/04/12	5155	11/30/12	Extremity Medical, LLC	1,669.76
12/31/12	341665	12/19/12	Integra LifeSciences	16,443.55
02/11/13	5316	02/05/13	Extremity Medical, LLC	2,175.00
02/11/13	341884	02/01/13	Integra LifeSciences	10,561.54
03/06/13	342256	03/01/13	Integra LifeSciences	11,625.00
03/20/13	5397	02/27/13	Extremity Medical, LLC	5,010.09

Exhibit F

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
03/25/13	342322	03/15/13	Integra LifeSciences	1,169.80
04/08/13	342426	04/01/13	Integra LifeSciences	666.58
05/09/13	342709	05/01/13	Integra LifeSciences	27,245.00
05/15/13	342874	05/15/13	Integra LifeSciences	507.94
05/15/13	342659	05/29/13	Integra LifeSciences	11,332.84
05/28/13	5589	05/20/13	Extremity Medical, LLC	740.80
06/11/13	5633	05/31/13	Extremity Medical, LLC	3,783.78
08/09/13	343744	08/02/13	Integra LifeSciences	11,623.20
08/28/13	343840	08/20/13	Integra LifeSciences	32,380.00
09/03/13	5846	08/26/13	Extremity Medical, LLC	10,675.00
09/04/13	5878	08/30/13	Extremity Medical, LLC	3,009.53
10/08/13	344103	10/01/13	Integra LifeSciences	1,413.77
10/08/13	344102	10/01/13	Integra LifeSciences	859.60
11/19/13	344459	11/15/13	Integra LifeSciences	9,233.73
12/03/13	6069	11/27/13	Extremity Medical, LLC	3,994.43
12/16/13	6079	12/06/13	Extremity Medical, LLC	1,790.00
01/06/14	344852	01/02/14	Integra LifeSciences	34,248.32
02/07/14	48279	02/03/14	Tornier, Inc.	5,000.00
02/18/14	345071	02/03/14	Integra LifeSciences	6,589.54
03/04/14	6272	02/27/14	Extremity Medical, LLC	4,561.30
03/06/14	345391	03/02/14	Integra LifeSciences	14,010.00
04/21/14	345668	04/15/14	Integra LifeSciences	3,025.00
05/28/14	24440	05/15/14	Integra LifeSciences	6,408.25
06/05/14	6456	05/30/14	Extremity Medical, LLC	4,247.55
06/13/14	6471	06/06/14	Extremity Medical, LLC	2,700.00
06/27/14	25648	06/17/14	Integra LifeSciences	1,136.61

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Certain Deposits to Account at MidWestOne Bank
for the period July 1, 1999 through December 31, 2014

Deposit Date	Check Number	Check Date	Payer Per Copy of Check	Amount
08/15/14	6631	08/05/14	Extremity Medical, LLC	13,835.24
08/25/14	28298	08/15/14	Integra LifeSciences	9,153.01
09/04/14	6696	08/29/14	Extremity Medical, LLC	4,346.07
09/09/14	28759	09/03/14	Integra LifeSciences	11,795.00
09/22/14	29596	09/15/14	Integra LifeSciences	582.20
09/22/14	29595	09/15/14	Integra LifeSciences	561.62
09/23/14	50648	09/18/14	Tornier, Inc.	5,779.34
12/09/14	6941	11/28/14	Extremity Medical, LLC	3,885.64
Total				<u>\$ 1,023,763.12</u>

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Staff

This special investigation was performed by:

Annette K. Campbell, CPA, Director
James S. Cunningham, CPA, Manager
April D. Harbst, Staff Auditor
Melissa Hastert, CPA, Staff Auditor



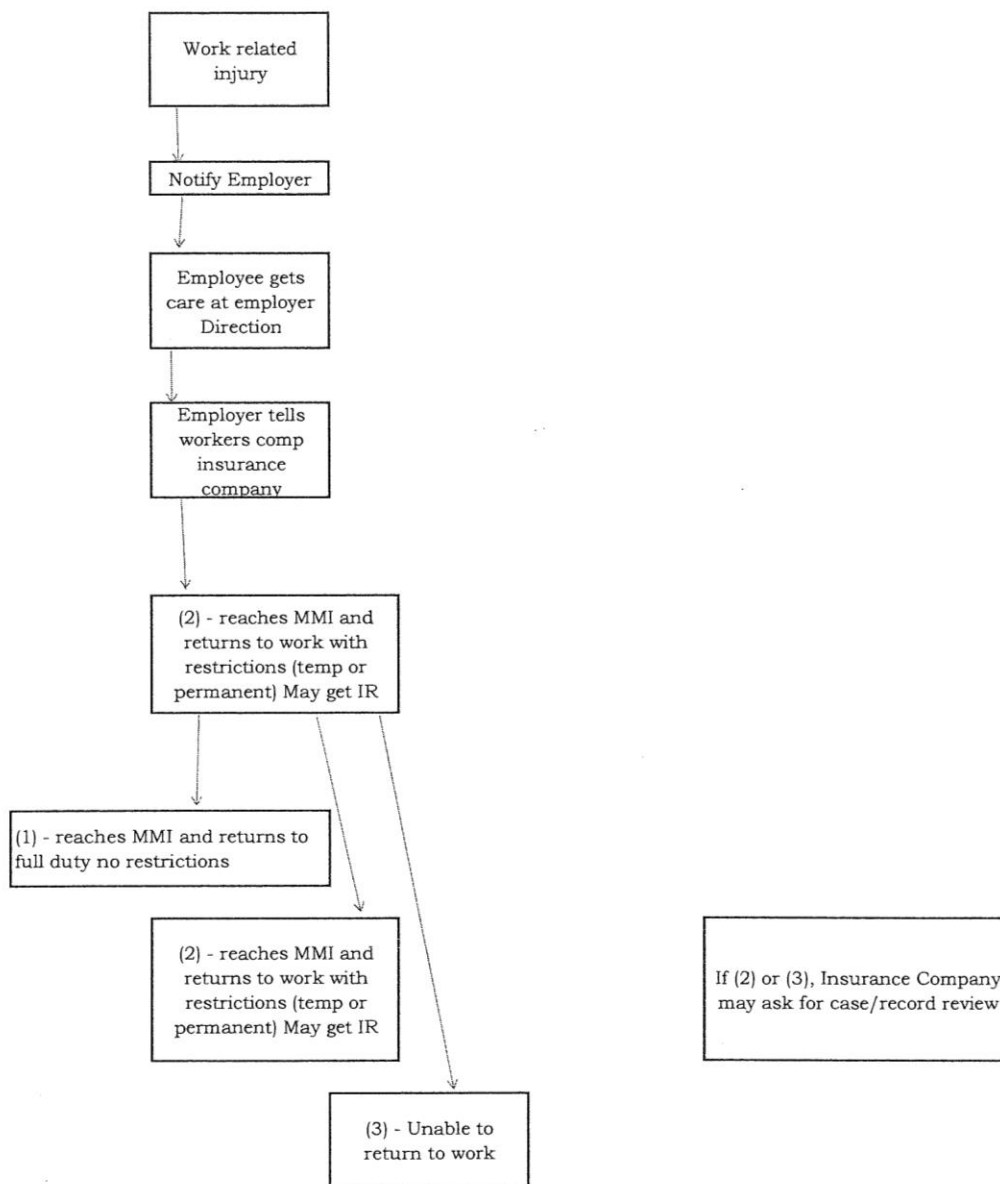
Tamera S. Kusian, CPA
Deputy Auditor of State

Appendices

**Report on Special Investigation
of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation**

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Workers' Compensation Flow Chart



MMI = Maximum medical improvement

IR = Impairment rating

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Page 1 of 1

Jim Cunningham - B Adams and COI Reporting

From: "Clamon, Joseph B" <joseph-clamon@uiowa.edu>
To: "Jim.Cunningham@auditor.state.ia.us" <Jim.Cunningham@auditor.state.ia.us>
Date: 2/19/2015 7:30 AM
Subject: B Adams and COI Reporting

Jim:

As requested we have reviewed the UI Health Care conflicts of interest disclosures from Dr. Brian Adams. In reviewing the list of relationships you provided, the only one we can identify as potentially relating on Dr. Adams's conflicts of interest disclosure is he disclosed that he had a relationship with Tornier from 2004 to 2012. For example, in 2012 he disclosed consulting, travel, and stock options from Tornier. Dr. Adams disclosed he began selling stock options in 2011. We can see from the archiving system that he drafted a disclosure regarding Tornier for 2013, but that he later deleted that submission and did not formally submit any information regarding Tornier for 2013. We cannot tell if any of it was related to the AEQUALIS Study.

In late 2012, the University discovered that Dr. Adams had not disclosed an existing conflict of interest in the then-ongoing Aequalis study and asked Dr. Adams to submit a research conflict disclosure form. Dr. Adams submitted the research disclosure form on November 28, 2012 for the Aequalis study and a management plan was then put in place. He was replaced as the PI in September 2014 by another physician. It is unclear when Dr. Adams acquired the financial interest that led to his being asked to file the research disclosure form in late 2012.

Research relationships may not have met the minimum dollar threshold, which until 2012 was greater than \$10,000. After August 2012, the disclosure threshold went to \$0. Any disclosure over \$5,000 was then reviewed by the Conflict of Interest in Research Committee and appropriate action taken. Regardless, the UI Health Care threshold (non-research related) has always been \$0 (disclosures were required starting in 2009). You may be in a better position to know if the research relationships you are aware of met this research (rather than the UI Health Care) threshold.

We will have comments to the chart and narrative promptly.

Thanks,
joe

Joseph B. Clamon
Associate Vice President for Legal Affairs
University of Iowa Health Care
200 Hawkins Drive, 1349 JCP
Iowa City, Iowa 52242
Phone: (319) 356-4009
Fax: (319) 356-3862

Notice: This UI Health Care e-mail (including attachments) is covered by the Electronic Communications Privacy Act, 18 U.S.C. 2510-2521, is confidential and may be legally privileged. If you are not the intended recipient, you are hereby notified that any retention, dissemination, distribution, or copying of this communication is strictly prohibited. Please reply to the sender that you have received the message in error, then delete it. Thank you.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Copper, Mary

From: Copper, Mary
Sent: Thursday, June 06, 2013 2:05 PM
To: Thoman, Debbie
Subject: list of disclosures since 2009

Debbie, please find the disclosures for Brian Adams:

- 2013- Disclosed consulting with Tornier, Inc., \$3000 in travel for the current year (2013) and \$2000 in travel for 2012, greater than \$5000 in stock options or ownership interest.
- 2012- Disclosed consulting with Tornier, Inc., \$2000 in travel for the current year (2012) and \$2000 in travel for 2011, greater than \$5000.00 in stock options or ownership interest, received \$45129 from dividends or from the sale of stock.
- 2010- Disclosed speaking for the University of Nebraska in 2010, \$1500, nothing disclosed for the anticipated year of 2011.
- 2009- Nothing is disclosed

Thanks,
Mary

C. Mary Copper
Conflict of Interest Office
Compliance Coordinator
Joint Office for Compliance
UI Health Care
384-7312

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure



Personal & Appointment Information

Please fill in all required fields

Last Name

Adams

First Name

Brian

Middle Initial

D

University ID

00046284

Department

Orthopaedic Surgery

Phone

(319) 353-6222

Email

brian-d-adams@uiowa.edu

Please check any entity in which you have a full-time or part-time appointment / employment (check all that apply):

☒ Roy J. and Lucille A. Carver College of Medicine (CCOM)

☒ University of Iowa Hospital and Clinics (UIHC) Including University of Iowa Children's Hospital

☒ UI Physicians (UIP)

☐ Other (please specify)

Please check your appointment / employment status (check all that apply):

☒ Faculty

☐ Adjunct Faculty

☐ Fellow or Resident Physician

☐ Staff

☐ Other (please specify)

Please indicate your professional/educational credentials; if applicable (check all that apply):

☒ MD

☐ PhD

☐ Other (please specify)

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

As you add
entities,
they will
show here.
Click the
corresponding
box to review
or edit
information
about that
specific
entity.

University of Iowa Health Care

Relationships with Outside Entities

Did you have a financial relationship with any person or company that did or sought to do business with University of Iowa Health Care in fiscal year 2009-2010 (July 1, 2009 – June 30, 2010)?

This includes:

Services for which you received payment such as consulting, advisory boards, speaking, product evaluation, service on a Board of Directors, or any position with fiduciary responsibilities, etc.

Payment in currency or in kind including for travel expenses

Royalties and licensing income from intellectual property rights (patents and copyrights)

Educational Scholarships

Gifts

Funding from *industry-sponsored* research contracts **ONLY IF** you participate in purchasing decisions for related products, devices, or services formally or informally on behalf of University of Iowa Health Care. Do NOT include grants from governmental agencies or nonprofit organizations.

Other financial benefits

-or-

Did you receive honoraria from any outside entity such as professional associations or other institutions?

-or-

Did you receive compensation for serving as an expert witness from any outside entity?

☒ Yes

☐ No

Relationships
July 1, 2009 - June 30, 2010

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

In this section, list:

All outside entities with which you had a financial relationship if the entity does or seeks to do business with UI Health Care

All outside entities from which you received honoraria

All outside entities from which you received compensation for serving as an expert witness

Please use the text box at the bottom of the screen to clarify or explain any of your answers.

Start in this section by entering the name of the entity. You will be able to add additional entities at the bottom of this page.

As you add entities, they will show in the left column at the top. Click the corresponding box to review or edit information about that specific entity.

Entity Name:

University of Nebraska

In this section, enter all of your relationships with the entity named above. You can list additional relationships with this entity by clicking the Add Another Relationship button below.

Relationship

Speaker or Presenter

What types of compensation did you receive for this relationship? Check all that apply.

☐ Educational Scholarship

☐ Gift

☒ Honoraria

☐ Royalties

☐ Monetary / Salary

☒ Travel Expenses

☐ Other Compensation

Specify the total value for all the compensation types you checked above in dollars with no punctuation, i.e 10000, not \$10,000

Note: If you are unable to estimate the value, enter 0 and describe the relationship in the text box at the bottom of the screen.

1500

Please check below which UI Health Care activities you participate in that are related to your financial relationship with this entity.

☒ None

☐ Prescribing pharmaceuticals manufactured or distributed by this entity

☐ Using a medical device, implant, or equipment manufactured or distributed by this entity

☐ Evaluating this entity's products or services on behalf of UI Health Care

☐ Making purchasing decisions about this entity's products or services on behalf of UI Health Care

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

As you add
entities,
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show here.
Click the
corresponding
box to review
or edit
information
about that
specific
entity.

[New Item](#)

Relationships with Outside Entities

1. **Do you have or anticipate having a financial relationship with industry?**
Industry is defined as any person or company that produces health care goods and services, or any person or company that does or seeks to do business with UI Health Care for the period (July 1, 2010 – December 31, 2011)?

This includes:

Services for which you may receive payment such as consulting, advisory boards, speaking, product evaluation/development, service on a Board of Directors, or any position with fiduciary responsibilities, etc.

Payment in currency or in kind, including reimbursement for travel expenses, or travel arranged and paid for by industry

Royalties and licensing income from intellectual property rights (patents and copyrights)

Income received from dividends or sales of stock or stock options (do NOT include diversified mutual funds)

Educational Scholarships

Gifts

Funding from *industry-sponsored* research contracts **ONLY IF you are the U of Iowa principal investigator or co-principal investigator of the project.**

DO NOT INCLUDE:

Holding office in, or undertaking an editorial office or duties for a scholarly journal, academic press, or professional organization

Serving as a referee for a scholarly journal or an academic press

Serving on a professional review board or peer review bodies (non-industry, e.g. NIH study section)

Attending or presenting at events sponsored by professional

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

organizations or academic institutions, such as professional meetings, workshops, colloquia, symposia, seminars, or training programs
Visiting other sites in connection with accreditation, audits, sponsored project reviews, or like activities

-or-

Are you receiving or do you anticipate receiving compensation from any outside entity for serving as an expert witness?

- ☐ Yes
☒ No

2. **Do you have any other relationships or participate in any other activities that may create a real or perceived conflict of interest or commitment?**

Your response to this question will NOT be published on the public web site.

Examples:

You have a spouse or partner with an interest in a venture or company that may be perceived as a conflict of interest for you.

You participate in outside non-professional activities where the time devoted to them interferes with your obligations as a UI Health Care employee.

- ☐ Yes
☒ No

If Yes, please describe below:

If you answered "Yes" to Screening question #1 above, please continue on with this section by scrolling down and completing the information below. If you answered "No" to Screening question #1 above, you may go to the Final Step, sign, and submit this Form without answering any other questions.

Relationships
July 1, 2010 - December 31, 2011

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

In this section, list:

All outside entities with which you have or anticipate having a financial relationship if the entity produces health care goods and services, or if the entity does or seeks to do business with UI Health Care

All outside entities from which you anticipate receiving compensation for serving as an expert witness

Please use the text box at the bottom of the screen to clarify or explain any of your answers.

Start in this section by entering the name of the entity. You will be able to add additional entities at the bottom of this page.

As you add entities, they will show in the left column at the top. Click the corresponding box to review or edit information about that specific entity.

Entity Name:

In this section, enter all of your relationships with the entity named above. You can list additional relationships with this entity by clicking the Add Another Relationship button below.

Relationship

Choose...

Please check below which UI Health Care activities you participate in that are related to your financial relationship with this entity.

- ☐ None
- ☐ Prescribing pharmaceuticals manufactured or distributed by this entity
- ☐ Using a medical device, implant, or equipment manufactured or distributed by this entity
- ☐ Evaluating this entity's products or services on behalf of UI Health Care
- ☐ Making purchasing decisions about this entity's products or services on behalf of UI Health Care
- ☐ Other

If you would like to provide additional information about any of your relationships with this entity, please enter that information here.

Submit Your Disclosure

To finalize your Form, type your full name and today's date.

In submitting this form, I certify that I have read the [UI Health Care Conflict of Interest and Conflict of Commitment Policy](#), that I will abide by the rules of the policy, and that the information I have provided is true to the best of my knowledge.

Full Name
Brian Adams
Date
08/14/2010

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

eCOI Printable Report

6/3/12 9:16 AM

Name: Brian Adams

Telephone Number: +1 319 353 6222

Email: brian-d-adams@uiowa.edu

Submitted: 06/03/2012 09:16am

Annual Certification for Brian Adams as of 06/03/2012

The following entity reports include all of my outside activities and financial interests related to my University responsibilities:

Entity

Tornier, Inc.

This statement is true.

By submitting this form, I certify that:

- The above information is submitted by me, not a proxy or surrogate, and is true and complete to the best of my knowledge and understanding.
- I am the person named at the top of this page.
- I have read and agree to comply with the following policies if they apply to me:
 - If I am part of UI Health Care, the [UI Health Care Conflict of Interest and Conflict of Commitment Policy](#)
 - If I am a course director, speaker, or planner of University of Iowa accredited continuing medical education activity, the [Content Validation Guidelines](#)
 - If I participate in research at the University of Iowa, the [UI Policy on Conflict of Interest in Research](#)

Signature: Brian Adams



Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name: Brian Adams

Telephone Number: +1 319 353 6222

Email: brian-d-adams@uiowa.edu

Submitted: 06/03/2012 09:14am

[eCOI Overview](#)

Entity Report

= Required field

1. Are you involved in research?

Yes

Any PHS research?

No

2. Enter the name of the entity with which you have a financial interest or with whom you have engaged in outside activities. In the box below, type the first letters of the entity's name until the correct name appears. If the entity is not on the list, you may type in the full name of the entity.

Tornier, Inc.

Type Of Entity:

for-profit publicly-traded

3. ACTIVITIES WITH AN OUTSIDE ENTITY: Did you perform any outside activities related to your University responsibilities with the entity listed above in the previous calendar year, or do you plan to perform any such activities in the current calendar year?

• DO NOT INCLUDE:

- Activities sponsored by the following entities
 - Non-profit organizations
 - Federal, state, or local government agencies
 - Professional associations
 - Institutions of higher education or research institutes associated with institutions of higher education
- Holding office in or serving as a referee for a scholarly journal or an academic press

• DO INCLUDE:

- Activities such as consulting, service on an advisory board, training, product evaluation/development, expert witness, service on a Board of Directors, any position with fiduciary responsibilities, etc.
- Employment at outside medical centers or other entities where a referral to this entity could generate a benefit to you (for example: you are a health care professional who works part time or moonlights at an outside clinic or hospital; you have your own business that is related to your responsibilities at the University)

Yes

4. STOCK, STOCK OPTIONS, OTHER OWNERSHIP INTERESTS: In the previous calendar year, did you, your spouse, domestic partner, or dependent children have any equity (stock, stock options, or other ownership interest) in the entity listed above?

Yes

5. FAMILY MEMBER COMPENSATION: In the previous calendar year, did your spouse, domestic partner, or dependent children receive any compensation (other than stock dividends or proceeds from the sale of stock) from the entity listed above?

No

6. LICENSING/ROYALTY INCOME: In the previous calendar year, did you, your spouse, or dependent children receive any licensing or royalty income from the entity listed above (either directly from the entity or paid by the entity to the University of Iowa or to a different university and then paid to you) where the field of the patent, patent application, or copyright is related to your University responsibilities?

No

7. Please check which of your University responsibilities are related to this entity (check all that apply):

- participating in research sponsored by this entity or evaluating this entity's products/services in your research
- using or prescribing products, medical devices, implants, or equipment manufactured or distributed by this entity

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Activities with Tornier, Inc.

[eCOI Overview](#)

1. Activity List (check all that apply)

	Performed in the previous calendar year	Performed in the current calendar year
Advisory, Data Monitoring, Scientific Board, Review Panel	Yes	Yes
Paid Authorship		
Editing A Book For A Publishing Company		
Consultant		
Company Founder		
Executive Or Employee		
Expert Witness		
Training/Education Provider		
Training/Education Recipient	Yes	Yes
Product Evaluation/Development		
Board Of Directors		
Speaker Or Presenter		
Other - Specify:		

2. UI Health Care employees only: If you have a written document outlining your consulting activities for this entity (contract, agreement, letter) and you have not yet submitted it to the UI Health Care COI Office for review, UPLOAD it here:

3. Were you or will you be compensated (other than travel expenses) for these activities with this entity?

No

4. Did this entity pay your travel expenses related to these activities (either paid the expenses directly or reimbursed you) in the previous calendar year? DO NOT INCLUDE: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid by this entity in the previous calendar year \$2000

5. Has this entity paid your travel expenses or do you anticipate that it will pay your travel expenses in the current calendar year? DO NOT INCLUDE: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid or anticipated in the current calendar year \$2000

Stock, Stock Options, Other Ownership Interests with Tornier, Inc.

[eCOI Overview](#)

1. The aggregated value (you or your family) of the stock, stock options, or other ownership interest in this entity is (choose one):

greater than \$5000

2. In the previous calendar year, did you (individually) earn income from dividends or from the sale of stock from this entity?

Yes

specify the value \$45129

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name: Brian Adams

Telephone Number: +1 319 353 6222

Email: brian-d-adams@uiowa.edu

Submitted: 06/03/2012 09:16am

Annual Certification for Brian Adams

The following reports include all of my outside professional activities, personal considerations, and financial interests related to my University responsibilities or field of expertise:

Entity or Personal Consideration

Tornier, Inc.

This statement is true.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name: Brian Adams

Telephone Number: +1 319 353 6222

Email: brian-d-adams@uiowa.edu

Submitted: 02/14/2013 01:22pm

Annual Certification for Brian Adams

The following reports include all of my outside professional activities, personal considerations, and financial interests related to my University responsibilities or field of expertise:

Entity or Personal Consideration

Tomier, Inc.

This statement is true.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name:

Brian Adams

Telephone Number:

Email:

Submitted:

+1 319 353 6222

brian-d-adams@uiowa.edu

02/14/2013 01:22pm

[eCOI Overview](#)

Entity Report

= Required field

1.

Are you involved in research?

Yes

Any PHS research?

No

2.

Enter the name of the entity with which you have a financial interest or with whom you have engaged in outside activities. In the box below, type the first letters of the entity's name until the correct name appears. If the entity is not on the list, you may type in the full name of the entity.

Tornier, Inc.

Type Of Entity:

for-profit publicly-traded

3.

ACTIVITIES WITH AN OUTSIDE ENTITY: Did you perform any outside professional activities with a non-UI entity in the previous year, or do you plan to perform any such activities in the current calendar year? This refers to outside professional activities in the same field of expertise as your job at the University.

• DO NOT INCLUDE:

- Activities that you perform in your job at the University (For example, this does not include conducting research at the University, even if sponsored by a non-UI entity.)
- Activities with federal, state, or local government agencies
- Activities with U.S. institutions of higher education or research institutes associated with U.S. institutions of higher education
- Holding office in or serving as a referee for a scholarly journal or an academic press

• DO INCLUDE:

- Activities such as consulting, service on an advisory board, training, product evaluation/development, expert witness, service on a Board of Directors, any position with fiduciary responsibilities, etc.
- Employment at outside medical centers or other entities where a referral to this entity could generate a benefit to you (for example: you are a health care professional who works part time or moonlights at an outside clinic or hospital; you have your own business that is related to your responsibilities at the University)

Yes

4.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

STOCK, STOCK OPTIONS, OTHER OWNERSHIP INTERESTS: In the previous calendar year, did you, your spouse, domestic partner, or dependent children have any equity (stock, stock options, or other ownership interest) in the entity listed above?

Yes

5.

FAMILY MEMBER COMPENSATION: In the previous calendar year, did your spouse, domestic partner, or dependent children receive any compensation (other than stock dividends or proceeds from the sale of stock) from the entity listed above?

No

6.

LICENSING/ROYALTY INCOME: In the previous calendar year, did you, your spouse, or dependent children receive any licensing or royalty income from the entity listed above (either directly from the entity or paid by the entity to the University of Iowa or to a different university and then paid to you) where the field of the patent, patent application, or copyright is related to your University responsibilities?

No

7.

Which aspects of your professional role at the University are related to the outside activities with the entity named above? (check all that apply):

☒

- participating in research sponsored by this entity or evaluating this entity's products/services in your research

☒

- using or prescribing products, medical devices, implants, or equipment manufactured or distributed by this entity

eCOI Overview

Activities with Tornier, Inc.

1.

Activity List (check all that apply)

Performed in the previous calendar year Performed in the current calendar year

☒

☒

Advisory, Data Monitoring, Scientific Board, Review Panel • Yes

• Yes

Paid Authorship
Editing A Book For A Publishing Company
Consultant
Company Founder
Executive Or Employee
Expert Witness
Training/Education Provider
Training/Education Recipient

☒

☒

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

• Yes

• Yes

Product Evaluation/Development
Board Of Directors
Speaker Or Presenter
Other - Specify:

2. UI Health Care employees only: If you have a written document outlining your consulting activities for this entity (contract, agreement, letter) and you have not yet submitted it to the UI Health Care COI Office for review, **UPLOAD** it here: (entities in the healthcare industry only; please do not submit agreements with professional organizations or academic institutions, etc.)

3. Did you or will you receive personal compensation (other than travel expenses) for the activities listed above with this entity?

No

	Received in the previous calendar year	Anticipated in the current calendar year
Payment in currency	\$	\$
Paid in stock or stock options		
Educational scholarship	\$	\$
Gift - Specify	\$	\$
Other - Specify	\$	\$

4. Did this entity pay your travel expenses related to these activities (either paid the expenses directly or reimbursed you) in the previous calendar year? **DO NOT INCLUDE**: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid by this entity in the previous calendar year \$2000

5. Has this entity paid your travel expenses or do you anticipate that it will pay your travel expenses in the current calendar year? **DO NOT INCLUDE**: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid or anticipated in the current calendar year \$3000

eCOI Overview

Stock, Stock Options, Other Ownership Interests with Tornier, Inc.

1.

Report on Special Investigation of the
University of Iowa Health Cares
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

The aggregated value (you or your family) of the stock, stock options, or other ownership interest in this entity is (choose one):
greater than \$5000
2.
In the previous calendar year, did you (individually) earn income from dividends or from the sale of stock from this entity?
No

Name:

Brian Adams

Telephone Number:

Email:

Submitted:

+1 319 353 6222

brian-d-adams@uiowa.edu

06/03/2012 09:14am

[eCOI Overview](#)

Entity Report

= Required field

1.
Are you involved in research?
Yes
Any PHS research?
No

2.
Enter the name of the entity with which you have a financial interest or with whom you have engaged in outside activities. In the box below, type the first letters of the entity's name until the correct name appears. If the entity is not on the list, you may type in the full name of the entity.

Tornier, Inc.

Type Of Entity:

for-profit publicly-traded

3.
ACTIVITIES WITH AN OUTSIDE ENTITY: Did you perform any outside activities related to your University responsibilities with the entity listed above in the previous calendar year, or do you plan to perform any such activities in the current calendar year?

- DO NOT INCLUDE:
 - Activities sponsored by the following entities
 - Non-profit organizations
 - Federal, state, or local government agencies
 - Professional associations
 - Institutions of higher education or research institutes associated with institutions of higher education
 - Holding office in or serving as a referee for a scholarly journal or an academic press

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

- DO INCLUDE:
 - Activities such as consulting, service on an advisory board, training, product evaluation/development, expert witness, service on a Board of Directors, any position with fiduciary responsibilities, etc.
 - Employment at outside medical centers or other entities where a referral to this entity could generate a benefit to you (for example: you are a health care professional who works part time or moonlights at an outside clinic or hospital; you have your own business that is related to your responsibilities at the University)

Yes

4.

STOCK, STOCK OPTIONS, OTHER OWNERSHIP INTERESTS: In the previous calendar year, did you, your spouse, domestic partner, or dependent children have any equity (stock, stock options, or other ownership interest) in the entity listed above?

Yes

5.

FAMILY MEMBER COMPENSATION: In the previous calendar year, did your spouse, domestic partner, or dependent children receive any compensation (other than stock dividends or proceeds from the sale of stock) from the entity listed above?

No

6.

LICENSING/ROYALTY INCOME: In the previous calendar year, did you, your spouse, or dependent children receive any licensing or royalty income from the entity listed above (either directly from the entity or paid by the entity to the University of Iowa or to a different university and then paid to you) where the field of the patent, patent application, or copyright is related to your University responsibilities?

No

7.

Please check which of your University responsibilities are related to this entity (check all that apply):

☒

- participating in research sponsored by this entity or evaluating this entity's products/services in your research

☒

- using or prescribing products, medical devices, implants, or equipment manufactured or distributed by this entity

eCOI Overview

Activities with Tornier, Inc.

1.

Activity List (check all that apply)

Performed in the previous calendar year Performed in the current calendar year

☒

☒

Advisory, Data Monitoring, Scientific Board, Review Panel • Yes

• Yes

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Paid Authorship
Editing A Book For A Publishing Company
Consultant
Company Founder
Executive Or Employee
Expert Witness
Training/Education Provider



Training/Education Recipient

• Yes

• Yes

Product Evaluation/Development
Board Of Directors
Speaker Or Presenter
Other - Specify:

2. UI Health Care employees only: If you have a written document outlining your consulting activities for this entity (contract, agreement, letter) and you have not yet submitted it to the UI Health Care COI Office for review, **UPLOAD** it here:

3.

Were you or will you be compensated (other than travel expenses) for these activities with this entity?

No

	Received in the previous calendar year	Anticipated in the current calendar year
Payment in currency	\$	\$
Paid in stock or stock options		
Educational scholarship	\$	\$
Gift - Specify	\$	\$
Other - Specify	\$	\$

4.

Did this entity pay your travel expenses related to these activities (either paid the expenses directly or reimbursed you) in the previous calendar year? **DO NOT INCLUDE**: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,

enter the estimated total amount of your travel expenses paid by this entity in the previous calendar year **\$2000**

5.

Has this entity paid your travel expenses or do you anticipate that it will pay your travel expenses in the current calendar year? **DO NOT INCLUDE**: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,

enter the estimated total amount of your travel expenses paid or anticipated in the current calendar year **\$2000**

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

eCOI Overview

Stock, Stock Options, Other Ownership Interests with Tornier, Inc.

1.

The aggregated value (you or your family) of the stock, stock options, or other ownership interest in this entity is
(choose one):

greater than \$5000

2.

In the previous calendar year, did you (individually) earn income from dividends or from the sale of stock from this
entity?

Yes

specify the value **\$45129**

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name: Brian Adams

Telephone Number: +1 319 353 6222

Email: brian-d-adams@uiowa.edu

Submitted: 02/14/2013 01:22pm

[eCOI Overview](#)

Entity Report

= Required field

1. Are you involved in research?

Yes

Any PHS research?

No

2. Enter the name of the entity with which you have a financial interest or with whom you have engaged in outside activities. In the box below, type the first letters of the entity's name until the correct name appears. If the entity is not on the list, you may type in the full name of the entity.

Tornier, Inc.

Type Of Entity:

for-profit publicly-traded

3. ACTIVITIES WITH AN OUTSIDE ENTITY: Did you perform any outside professional activities with a non-UI entity in the previous year, or do you plan to perform any such activities in the current calendar year? This refers to outside professional activities in the same field of expertise as your job at the University.

• DO NOT INCLUDE:

- o Activities that you perform in your job at the University (For example, this does not include conducting research at the University, even if sponsored by a non-UI entity.)
- o Activities with federal, state, or local government agencies
- o Activities with U.S. institutions of higher education or research institutes associated with U.S. institutions of higher education
- o Holding office in or serving as a referee for a scholarly journal or an academic press

• DO INCLUDE:

- o Activities such as consulting, service on an advisory board, training, product evaluation/development, expert witness, service on a Board of Directors, any position with fiduciary responsibilities, etc.
- o Employment at outside medical centers or other entities where a referral to this entity could generate a benefit to you (for example: you are a health care professional who works part time or moonlights at an outside clinic or hospital; you have your own business that is related to your responsibilities at the University)

Yes

4. STOCK, STOCK OPTIONS, OTHER OWNERSHIP INTERESTS: In the previous calendar year, did you, your spouse, domestic partner, or dependent children have any equity (stock, stock options, or other ownership interest) in the entity listed above?

Yes

5. FAMILY MEMBER COMPENSATION: In the previous calendar year, did your spouse, domestic partner, or dependent children receive any compensation (other than stock dividends or proceeds from the sale of stock) from the entity listed above?

No

6. LICENSING/ROYALTY INCOME: In the previous calendar year, did you, your spouse, or dependent children receive any licensing or royalty income from the entity listed above (either directly from the entity or paid by the entity to the University of Iowa or to a different university and then paid to you) where the field of the patent, patent application, or copyright is related to your University responsibilities?

No

7. Which aspects of your professional role at the University are related to the outside activities with the entity named above? (check all that apply):

- participating in research sponsored by this entity or evaluating this entity's products/services in your research
- using or prescribing products, medical devices, implants, or equipment manufactured or distributed by this entity

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

eCOI Printable Report

Page 2 of 3

Activities with Tornier, Inc.

[eCOI Overview](#)

1. Activity List (check all that apply)

	Performed in the previous calendar year	Performed in the current calendar year
Advisory, Data Monitoring, Scientific Board, Review Panel	Yes	Yes
Paid Authorship		
Editing A Book For A Publishing Company		
Consultant		
Company Founder		
Executive Or Employee		
Expert Witness		
Training/Education Provider		
Training/Education Recipient	Yes	Yes
Product Evaluation/Development		
Board Of Directors		
Speaker Or Presenter		
Other - Specify:		

2. UI Health Care employees only: If you have a written document outlining your consulting activities for this entity (contract, agreement, letter) and you have not yet submitted it to the UI Health Care COI Office for review, UPLOAD it here: (entities in the healthcare industry only; please do not submit agreements with professional organizations or academic institutions, etc.)

3. Did you or will you receive personal compensation (other than travel expenses) for the activities listed above with this entity?

No

4. Did this entity pay your travel expenses related to these activities (either paid the expenses directly or reimbursed you) in the previous calendar year? DO NOT INCLUDE: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid by this entity in the previous calendar year \$2000

5. Has this entity paid your travel expenses or do you anticipate that it will pay your travel expenses in the current calendar year? DO NOT INCLUDE: travel to an investigator's meeting where the travel is included in the research agreement with the University; travel to receive training on equipment where the travel expenses are included in the purchase agreement with the University

Yes

If yes,
enter the estimated total amount of your travel expenses paid or anticipated in the current calendar year \$3000

Stock, Stock Options, Other Ownership Interests with Tornier, Inc.

[eCOI Overview](#)

1.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

... The aggregated value (you or your family) of the stock, stock options, or other ownership interest in this entity is (choose one):
greater than \$5000

2. In the previous calendar year, did you (individually) earn income from dividends or from the sale of stock from this entity?

No

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Copper, Mary

From: Copper, Mary
Sent: Friday, June 28, 2013 10:17 AM
To: Adams, Brian
Subject: RE: eCOI disclosure, management plans and contracts

Can you call me at 4-7312 to discuss or set a time to meet?

Mary Copper

From: Adams, Brian
Sent: Thursday, June 27, 2013 5:44 PM
To: Copper, Mary
Subject: RE: eCOI disclosure, management plans and contracts

I only have a research contract with Tornier that was processed through the U of I. I have no consulting contract nor am I seeking one.

Brian Adams

From: Copper, Mary
Sent: Thursday, June 27, 2013 12:41 PM
To: Adams, Brian
Cc: Swenning, John D; Thoman, Debbie
Subject: FW: eCOI disclosure, management plans and contracts

Hello Dr. Adams,

In accordance with COI policy, your consulting relationship with Tornier, Inc. (see e-mail below), requires that a time-limited contract be in place, that it be approved by your DEO, then forwarded to the Conflict of Interest Office for review and approval. To date we have not received the contract for this relationship. If this is a continuing relationship, you would need to send the contract to coi@healthcare.uiowa.edu and to Dr. Buckwalter so he may approve this activity.

Thanks,
Mary

C. Mary Copper
Conflict of Interest Office

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Compliance Coordinator
Joint Office for Compliance
UI Health Care
384-7312

From: Copper, Mary
Sent: Tuesday, April 30, 2013 11:54 AM
To: Adams, Brian
Subject: eCOI disclosure, management plans and contracts

Hello Dr. Adams,

Thank you for submitting your 2013 eCOI disclosure form. We already have a plan on file for your relationship, so you will not need to sign and return another one. However, I am attaching an electronic copy of the plan that we have on file (below) for your convenience and review.

Adams, Brian	Tornier, Inc.	Complete	02/14/2013	\$0.00	\$0.00
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Also, please remember to send to our office any new contracts, renewals or amendments that you may have received. I am also attaching for your convenience a template of the contract issues that we look for in our reviews.

Please do not hesitate to call if I can answer any questions or be of any assistance.

<< File: Adams, Brian 2plan.doc >> << File: Consulting template.docx >>

Thanks,
Mary

C. Mary Copper
Conflict of Interest Office
Compliance Coordinator
Joint Office for Compliance
UI Health Care
384-7312

Policy excerpt pertaining to consulting:

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Name: Brian Adams

Telephone Number: +1 319 353 6222
Email: brian-d-adams@uiowa.edu
Submitted: 04/27/2014 12:38pm

Annual Certification for Brian Adams

I have no financial interests, outside professional activities, or other relationships related to my University responsibilities to disclose.

By submitting this form, I certify that:

- The above information is submitted by me, not a proxy or surrogate, and is true and complete to the best of my knowledge and understanding.
- I am the person named at the top of this page.
- I have read and agree to comply with the following policies if they apply to me:
 - If I am part of UI Health Care, the [UI Health Care Conflict of Interest and Conflict of Commitment Policy](#)
 - If I am a course director, speaker, or planner of University of Iowa accredited continuing medical education activity, the [Content Validation Guidelines](#)
 - If I participate in research at the University of Iowa, the [UI Policy on Conflict of Interest in Research](#)
 - If I am a full-time faculty member or an administrator with a faculty appointment, the [UI Conflict of Commitment Policy](#)
 - For all UI employees, the [UI Conflict of Interest in the Workplace Policy](#)

Signature: Brian Adams

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Jim Cunningham - eCOI instructions

From: "Krutzfeldt, Denise L" <denise-krutzfeldt@uiowa.edu>
To: "Krutzfeldt, Denise L" <denise-krutzfeldt@uiowa.edu>
Date: 12/19/2014 3:52 PM
Subject: eCOI instructions

From: Conflict of Interest
Sent: Tuesday, February 04, 2014 10:35 AM
Subject: Annual Disclosure of Outside Professional Activities and Interests: Due April 30, 2014

Subject: Annual Disclosure of Outside Professional Activities and Interests: Due April 30, 2014

To: Select UI Faculty and Staff
From: P. Barry Butler, Executive Vice President and Provost
Susan C. Buckley, Vice President for Human Resources
Dan Reed, Vice President for Research and Economic Development
Jean Robillard, Vice President for Medical Affairs
Subject: Annual Disclosure of Outside Professional Activities and Interests: Due April 30, 2014
Date: February 4, 2014

You are receiving this email as a UI employee who is required to complete an "Annual Disclosure of Outside Professional Activities and Interests" through the online [eCOI disclosure system](https://ecoi.uiowa.edu) by April 30, 2014: <https://ecoi.uiowa.edu>.

To ensure that UI academic, health care, business, research, and teaching endeavors are free of potential or actual conflicts of interest, the [UI Conflicts of Commitment and Interest](#) and [UI Health Care Conflict of Interest and Conflict of Commitment](#) policies require that key UI faculty and staff members complete an annual disclosure of outside professional activities and interests. While very few activities that represent, or appear to represent, a conflict are actually prohibited; disclosure allows for potential and actual conflicts to be reviewed and managed appropriately.

Completion of the eCOI "Annual Disclosure of Outside Professional Activities and Interests" fulfills the annual reporting requirements of the following UI policies:

- Policy on [Conflicts of Interest in Research](#),
- Policy on [Conflicts of Interest in the Workplace](#),
- Policy on [Conflicts of Commitment](#),
- [UI Health Care Conflicts of Interest Policy](#), and
- [Accreditation requirements for Continuing Medical Education](#).

Who is required to complete an eCOI Annual Disclosure?

- 1) All UI employees engaged in research, which is defined as being named as "key personnel" on a UI routing form submitted to Sponsored Programs or an IRB application.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

- 2) All UI Health Care employees with 50% or greater appointments, including faculty, P&S and SEIU staff, and Merit Exempt employees.
- 3) Faculty and Staff members with 50% or greater appointments in the following categories:
 - a. Regular Faculty (tenure-track, tenured, clinical-track, research-track),
 - b. P&S compensated at Pay Levels 7 and above (see ePersonnel File in UI Employee Self Service for Pay Level), and
 - c. Executive Classifications (e.g., President, Provost, Vice Presidents), and
 - d. Administrators with Faculty Appointments (e.g., Deans, Associate Provosts, Directors).

eCOI Annual Disclosure Instructions: To complete your Annual Disclosure, log in to the eCOI online disclosure system at <https://ecoi.uiowa.edu>. Use your HawkID to log on (do not use a HealthCareID). Once in the system, you will be asked a series of screening questions to determine if you have any outside professional activities, financial interests, or other considerations related to your University responsibilities or in the same field of expertise as your position at the University. If you have nothing to disclose, completion of the Annual Disclosure and Certification will take less than five minutes.

Deadline: You are required to complete the eCOI Annual Disclosure by **April 30, 2014**. You will use this same eCOI reporting system to keep your disclosures updated throughout the year if your situation changes.

For more information about the eCOI Annual Disclosure or specific policies, please contact:

- **Faculty-related Questions:** Diane Finnerty, Office of the Provost, 335-3991 or email: faculty@uiowa.edu. Website: <http://provost.uiowa.edu/conflicts-commitment-and-interest>.
- **Research-related Questions:** Charlotte Talman, 335-8892, or Martha Hedberg, 384-4256, Conflict of Interest in Research Office, or email: coi-research@uiowa.edu. Website: <http://coi.research.uiowa.edu/>.
- **UI Health Care Questions:** UI Health Care Conflict of Interest Office at 384-5252 or e-mail: coi@healthcare.uiowa.edu. Website: <http://www.uihealthcare.org/ConflictofInterest/>.
- **Staff and Executive Questions:** Judie Hermesen, University Human Resources, 335-3553 or email: HR-help@uiowa.edu. Website: <http://provost.uiowa.edu/conflicts-commitment-and-interest>, and
- **Continuing Medical Education Questions:** Division of Continuing Medical Education, 335-8599. Website: <http://www.medicine.uiowa.edu/cme>.

Thank you for your assistance in ensuring that UI academic, health care, business, research, and teaching endeavors are free of potential or actual conflicts of interest. For information about additional Conflicts of Commitment and Interest policies at the University of Iowa, please see

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Conflict of Interest/Commitment Disclosure

Management Plan

UI Health Care Conflict of Interest / Conflict of Commitment Policy

Employee Name: Brian Adams, MD

Department: Orthopaedic Surgery

Position Title: Professor

Outside Entity Name: Tornier, Inc

Relationship #1: Receives or anticipates receiving income from ownership in company stocks

Management Plan for this Relationship:

Dr. Adams will not be permitted to serve on a UI Health Care purchasing or product evaluation committee when Tornier, Inc. products and services or related products and services are being discussed.

I have sold all stocks (Tornier) as of 2011. H

Relationship #2: Has or anticipates having a consulting relationship with industry, including membership on an advisory, data monitoring, or scientific board

My current relationship for consulting relates only to ongoing clinical research

Management Plan for this Relationship: under the direction of the U of I.

Any additional relationship for consulting with Tornier will be in forthcoming agreement


- 1) Dr. Adams' speeches must include a clear disclosure that he is a paid consultant for Tornier, Inc. *H*
2. Dr. Adams will not be permitted to serve on a UI Health Care purchasing or product evaluation committee when Tornier, Inc. products and services or related products and services are being discussed.
3. Dr. Adams may not use UI Health Care resources in connection with his consulting activities.
4. Dr. Adams must have a time-limited contract for this consulting relationship which outlines specific deliverables, tasks, responsibilities, and compensation that are consistent with the expertise provided.
5. Before Dr. Adams engages in this activity, the time-limited contract must be approved by his DEO and submitted to the Conflict of Interest Office by 07/14/2012 for review and approval.

Any additional requirements that exist within the employee's department must also be followed.

This Management Plan will be in effect until the relationship changes. If the relationship changes, the employee must complete a new External Relationships Disclosure Form.

Employee Approval

I agree to abide by the Management Plan described above.


Brian Adams, MD

Date: 9/23/12

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation


Dr. Adams' Conflict of Interest/Commitment Disclosure

Department Approval

Joseph A. Buckwalter, MS, MD
Professor and Head, Orthopaedic Surgery

Date: _____

Institutional Approval



Jennifer Niebyl, MD or Deborah Thoman, MA, RHIA, CHP
on behalf of Jean Robillard, MD
Vice President for Medical Affairs

Date: 6/18/12

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

CONTRACT IN REGARD TO PRIVATE MEDICAL PRACTICE
BY CLINICAL FACULTY MEMBERS OF THE
COLLEGE OF MEDICINE
OF THE UNIVERSITY OF IOWA

As a part of the contract with the Iowa State Board of Regents, by which I have been appointed as a member of the faculty of the College of Medicine at the University of Iowa and will engage in private medical practice, I hereby agree with the Iowa State Board of Regents that my private medical practice shall be upon the following basis:

1

That my teaching in the College of Medicine and my duties at the University Hospital for the care of indigent as well as private patients as required by the Dean of the College of Medicine, the Faculty Practice Plan Board, and my department shall have first call upon my services.

2

That my clinical practice shall be limited to intramural and extramural College of Medicine-sponsored programs.

3

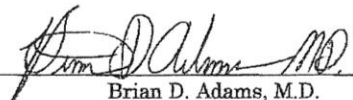
That I will follow the Patient Care Policy of the College of Medicine Medical Faculty Practice Plan by providing personal and identifiable services to all patients for whom I am responsible. That my activities in the practice of medicine hereunder will be covered by the professional liability protection provided by the College of Medicine Medical Faculty Practice Plan.

4

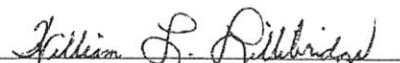
That I will participate in the College of Medicine Medical Faculty Practice Plan and the implementation thereof, and will fully account for all fees received by me from private practice and deposit the same as a part of said Plan to be administered and distributed according to the terms thereof, and that only such amount of money as is distributed to me under such Plan will be my own funds from private practice.

The terms and provisions of the University of Iowa College of Medicine Medical Faculty Practice Plan as the same now exists and as it may be amended from time to time are incorporated into this contract, and by this reference made a part hereof as if set forth in full herein.

Dated at Iowa City, Iowa, this 20th day of April, 19 93.


Brian D. Adams, M.D.


Department Head


For the Faculty Practice Plan

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

THE UNIVERSITY OF IOWA CARVER COLLEGE OF MEDICINE
UNIVERSITY OF IOWA PHYSICIANS Bylaws

ADOPTED SEPTEMBER 7, 1994
REVISED SEPTEMBER 18, 1995
REVISED JULY 1, 2001
REVISED 2005
Amended June, 2006
Revised May 2009
Approved: January 2010

I

INTRODUCTION

The Carver College of Medicine (CCOM) University of Iowa Physicians (to be designated as UIP formerly known as the "Faculty Practice Plan" and "University of Iowa Medical Services Plan") was established by the Board of Regents, State of Iowa (then the "Iowa State Board of Education") in 1946. It has been, and continues to be, a Carver College of Medicine endeavor, and participation therein constitutes a condition of employment for certain clinical faculty. It is subject to the organizational structure of that faculty within the framework of the University under the continuing authority of the President granted by the Board of Regents.

University of Iowa Physicians (UIP) bylaws, amended and restated in its entirety herein, represents operational and organizational structure changes consistent with the changing times regarding third party payors, governmental regulations, contractual arrangements with managed care health plans, and other issues. Management of the total clinical physician enterprise has become an essential feature of academic health systems. There is no change in UIP's dedication to teaching and to the care of indigent patients.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

II

STATEMENT OF PURPOSE

The CCOM University of Iowa Physicians (UIP) is established to coordinate and develop the physician clinical enterprise in a group practice setting within the clinical teaching and academic environment of The University of Iowa. The purpose of UIP is to maintain an efficient professional clinical enterprise which assists the CCOM (a) in meeting its primary goals of teaching, research and patient care; (b) in the recruitment and retention of a medical faculty of high quality; (c) in providing faculty incomes which are competitive with the incomes of faculty members in the same disciplines at comparable medical centers in the United States; and (d) in providing financial stability for the faculty by ensuring appropriate charges are made and compensation received for health care services rendered; and in providing governance organization and operations to ensure optimal management of the group practice in its delivery of health care. To carry out this purpose, individual participants in UIP have delegated authority to UIP to enter into contracts and agreements with patients, third party payors and others to facilitate the provision of health care services provided by clinical faculty members and other participants under UIP.

The provisions of UIP are not to be applied or construed to influence the medical decisions and judgments of clinical faculty members in providing health care services to patients, nor shall they be applied or construed to impede or impinge upon any aspects of the traditional relationship recognized to exist between a patient and his or her physician.

For purposes of clinical income management governed by UIP, all contracts for the clinical practices of participants under UIP will be negotiated and managed by UIP.

Patients of UIP are the personal and identifiable responsibility of a particular clinical faculty member, other participant under UIP, or other provider approved to practice in the facilities of the University. Such personal and identifiable provision of service is coordinated with the educational programs for students, residents, and fellows.

The clinical faculty members are organized in specialty groups for practice which are identical to the academic and administrative clinical units (departments and other such programs as identified by the UIP Board). Each clinical unit participates in UIP. The head of a department is the administrative leader of both the patient care and academic programs of that unit. Subject to the approval of the UIP Board, each clinical department or program shall develop and maintain policies, practices, procedures and rules pertaining to the generation, billing, collection, reporting and fiscal management of clinical income derived from the clinical practice conducted by such unit.

All clinical faculty members of the CCOM must participate in the clinical practice of their respective units as determined by their respective departmental or program practice policies, procedures and rules.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

UIP recognizes that as an entity of the CCOM its primary partner in the delivery of clinical services is the University of Iowa Hospitals and Clinics under the umbrella of UI Health Care. As such, one of its primary guiding philosophies is to ensure a continuing relationship with the University of Iowa Hospitals and Clinics that is intended to support the joint tripartite missions of education, research and patient care.

Furthermore, it is recognized that UIP has exclusive purview over matters related to clinical practice negotiated fees, billing, collection and distribution of physician service revenue; the Carver College of Medicine has exclusive purview over the determination of physician salaries.

III

OPERATIONAL POLICIES AND PROCEDURES

The following policies and procedures shall be applicable to the generation, billing, collection, reporting and fiscal management of clinical income:

A. DEFINITIONS.

Membership in UIP

1. "Clinical faculty member" shall mean (1) a tenure-track salaried member of the faculty of the CCOM, or a non tenure-track salaried member of the professorial faculty of the CCOM, who (a) holds a license to practice either Medicine and Surgery or Dentistry in the State of Iowa; (b) has met the residency and fellowship requirements of the Specialty Board of the discipline in which he or she practices, or can demonstrate equivalent qualifications in that discipline; (c) maintains clinical staff privileges in his or her respective discipline if providing clinical care at the University of Iowa Hospitals and Clinics (UIHC), or at other sites approved by the UIP Board; and (d) who is in good standing with the rules and regulations of UI Health Care and UIP practice standards including, but not limited to, compliance with documentation, HIPPA regulations, and the UI Health Care Conflict of Interest and Commitment Policy and (2) a non physician health care practitioner who is a tenure-track or non tenure-track salaried member of the professorial faculty of the CCOM and who provides health services under the UIP. An individual who ceases to meet the foregoing standards will no longer be a participant under UIP. Notwithstanding the foregoing, a CCOM faculty member, with the approval of his or her department head, may elect to accept a CCOM faculty appointment on academic salary to devote all of his or her time to teaching and research not involving patient care.

Participation in UIP

2. "Participant under UIP" shall mean (1) a clinical faculty member as described above; (2) a CCOM Physician Associate licensed to practice in the State of Iowa who provides health services under UIP; and (3) a non physician non faculty health care practitioner employee licensed to practice in the State of Iowa who provides health care services under UIP.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

3. "Clinical practice" means the act or acts by participants under UIP of providing all forms of health and medical care for patients, including consultations, for which a fee or other compensation for service is customarily charged and received.

4. "Clinical income" means all earnings, fees and other income received from the clinical practice of participants under UIP, including salaries paid by the Veterans Administration for clinical services. Expert witness fees, royalties, honoraria, federal government consulting fees, industry consulting fees (within established University guidelines) and other non clinical income received by participants under UIP are not considered to be clinical income of UIP.

5. The "Academic Service Component" of the compensation of a clinical faculty member is to be compensation for teaching, CCOM administrative responsibilities, and research, in an amount to be determined by the department or program head with the approval of the Dean of the CCOM. The funding sources for the payment of the Academic Service Components shall include but not be limited to (1) University General Funds; (2) CCOM Academic Enrichment Fund allocations; (3) Extramural grants, contracts and gifts; (4) faculty endowments; (5) VA Career Awards; (6) Department Trust Funds; (7) available departmental clinical income generated from the services of participants under UIP; and (8) direct medical education funds provided for education of residents. It is intended that periodic increases in the amount of the Academic Service Component of clinical faculty members' compensation shall be subject to limitations, if any, applicable to University faculty salaries.

6. The "Clinical Service Component" of the compensation of a clinical faculty member is to be performance-based variable compensation for clinical services and clinical administrative responsibilities, in an amount to be determined by the department head or program director according to a UIP approved compensation plan with the approval of the Dean of the CCOM. The funding sources for the payment of the Clinical Service Components shall be the available departmental or program clinical income generated from the services of participants under UIP. Services rendered to indigent patients and Veterans Administration clinical assignments will be given credit in the calculation of Clinical Service Components as care rendered to paying patients. Services rendered to other categories of patients with low collection rates, such as Medicaid patients, will also be considered for credit in the calculation of the Clinical Service Components. UIP approved compensation plans will be reviewed at least every 2 years by each department, its faculty and the Finance Committee of UIP. Prior to implementation, the plan will undergo final approval by the Executive Director of UIP and Dean of the CCOM.

7. "Expert witness fees" are fees received by participants under UIP for services as an expert witness with respect to matters unrelated to clinical practice under UIP or CCOM-sponsored programs. Expert witness fees shall be reported and managed in accordance with the UI Health Care Conflict of Interest and Conflict of Commitment Policy.

8. "Extramural clinical activities" are services by participants of UIP in CCOM-sponsored programs outside of the University. These activities shall be reported

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

and managed in accordance with the UI Health Care Conflict of Interest and Conflict of Commitment Policy.

B. CLINICAL INCOME.

Each clinical department shall have an identified University UIP account to be known as the Department Service Fund. Clinical income generated and received by the clinical practice of participants under UIP is to be credited to the respective Department Service Fund and used in part to pay clinical practice expenses of the department and to fund the Clinical Service Components of the clinical faculty members' total compensation. Income from any extramural clinical activities of participants under UIP is to be handled in the same manner.

Ten percent of the total clinical income of each department or program excluding salaries paid by the Veterans Administration, is to be transferred monthly from each Department Service Fund or relevant program fund to the CCOM Academic Enrichment Fund. The UIP Board will also determine the level of contribution from each department necessary to pay expenses of the UIP Board including contracting, billing, collections, payroll, investments, and other expenditures approved by the Board.

Subject to the annual approval of the UIP Board, each department or program is to establish policies (UIP Compensation Plan) for the calculation of the Clinical Service Component of the compensation of its clinical faculty members.

C. COMPENSATION.

Each clinical faculty member will receive compensation which shall consist of an academic component and a clinical component for their clinical practice. In addition to other factors, the general guideline to be used in determining salaries of clinical faculty members shall be to provide total compensation at a level commensurate with national norms such as the comparative tables published by the Association of American Medical Colleges (AAMC) by rank and specialty.

Compensation for other participants in UIP (CCOM Physician Associates, physician non faculty licensed health care practitioners, and non faculty non physician licensed health care practitioners) shall be based upon factors established by the head of the department or program director in which the participant is employed, in consultation with the UIP Board.

D. THE FOLLOWING MEDICAL SERVICES ARE INCLUDED IN THIS PLAN:

Anesthesiology Service	Orthopaedic Surgery and
Cardiothoracic Surgery Service	Rehabilitation Service
Dermatology Service	Otolaryngology Service
Emergency Medicine Service	Pathology Service
Family Medicine Service	Pediatrics Service
Internal Medicine Service	Psychiatry Service

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with University of Iowa Health Care

University of Iowa Hospital and Clinics
Department of Orthopaedics and Rehabilitation

Dr. Adams' Contract with the University of Iowa Health Care

M. PATIENTS' CHARGES AND COLLECTIONS.

Charges for services to patients and other clinical practice acts shall be initiated by participants under UIP who performs the service subject to departmental or program policies. An adjustment in a charge for services rendered can be made with approval by UIP.

All payments for services of participants under UIP, including payments from or on behalf of patients, will be made directly to the collection service/agency as approved by applicable University rules and regulations, or shall be delivered to the collection service/agency upon receipt if received by a participant under UIP or a clinical department or program.

Checks made payable to an individual participant under UIP are to be promptly endorsed and delivered by the individual to his or her Department Service Fund or appropriate program account. Checks made payable to a clinical department or program do not require the endorsements of individual participants. Checks made payable to a clinical department or program, or endorsed to that department or program by a participant under UIP, are stamped with the following endorsement upon being turned over to the collection service/agency: "Pay to The University of Iowa, Agent, for Deposit in the Department of _____ Service Fund."

N. UNIVERSITY OVERHEAD CHARGE.

The UIP Business Office is to make a monthly charge to each Department Service Fund and appropriate program fund for the reasonable cost of University services to UIP based on a formula to be negotiated from time to time with the University by the Dean of the CCOM and the UIP Board.

O. FISCAL YEAR.

The fiscal year of the Plan shall be from July 1 to June 30, inclusive.

P. PATIENT CARE POLICY.

All patients of the Plan are the responsibility of an attending clinical faculty member or other participant under UIP.

The attending clinical faculty member or the other participant under UIP is responsible for providing professional services and procedures to patients admitted to his or her care, whether inpatient or outpatient. This responsibility is in every way analogous to the responsibilities of any other practicing provider. Attending clinical faculty and other participants under UIP shall bill for services in a manner that is consistent with applicable laws and regulations relating to professional fee reimbursement for all payors.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation
Example Impairment Letters and Related Checks



Department of Orthopaedics and Rehabilitation

*Brian D. Adams, M.D.
Professor
200 Hawkins Drive
Iowa City, IA 52242-1088
319-353-6222 Tel
319-353-6754 Fax
brian-d-adams@uiowa.edu*

June 1, 2010

Michael Coughlin
Allied Insurance
1 Nationwide Gateway, Dept 5574
Des Moines, IA 50391

Re: [REDACTED]
DOB: [REDACTED]

Dear Mr. Coughlin:

This letter is in response to your request for an impairment rating for [REDACTED] regarding her right hand condition, specifically the right carpal tunnel syndrome including its surgical treatment. When I examined her on [REDACTED] I judged that she had reached maximum medical improvement and that she had sustained permanent partial impairment.

Based on 5th Edition AMA guidelines for permanent impairment, I assess a 5% impairment of the right hand, which is equivalent to a 5% impairment of the right upper extremity and a 3% impairment of the whole person.

No further medical or surgical treatment or rehabilitation is indicated related for the left hand. She was released from my care.

Sincerely yours,

Brian D. Adams, M.D.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Impairment Letters and Related Checks

1

10-12K
7/8

CHECK NUMBER
171922503

CHECK DATE
06/10/2010

NATIONWIDE MUTUAL INSURANCE COMPANY
DES MOINES, IA 50391-2004

CLAIM NUMBER [REDACTED] POLICY NUMBER [REDACTED]

IN 8 MONTHS OF CHECK DATE

CHECK AMOUNT
\$395.00

PAY Three Hundred Ninety Five and 00/100 Dollars

PAY TO THE ORDER OF BRIAN ADAMS

[Signature]

[REDACTED]

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Impairment Letters and Related Checks

March 6, 2013

E.J. Kelly
2700 Grand Avenue, Suite 111
Des Moines, IA 50312-5213

Phone 515 244 0111
Fax 515 244 8935

EJKELLY@hhlawpc.com

Re: [REDACTED]
DOB [REDACTED]

Dear Mr. Kelly:

The fee for reviewing the medical record and preparing the enclosed report is **\$395**. Please remit payment in my name, **Brian Adams (EIN # 204693782)**, to the address below:

Brian Adams
3673 Forest Gate Dr NE
Iowa City, IA 52240

Sincerely,



Brian D. Adams, M.D.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation
Example Impairment Letters and Related Checks



Department of Orthopaedics and Rehabilitation

Brian D. Adams, M.D.
Professor
200 Hawkins Drive
Iowa City, IA 52242-1088
319-353-6222 Tel
319-353-6754 Fax
brian-d-adams@uiowa.edu

March 6, 2013

E.J. Kelly
2700 Grand Avenue, Suite 111
Des Moines, IA 50312-5213

Phone 515 244 0111
Fax 515 244 8935

EJKELLY@hhlawpc.com

Re: [REDACTED]
DOB [REDACTED]

Dear Mr. Kelly:

This letter is in response to your request for an impairment rating regarding for his left upper extremity injury, specifically left distal radius fracture treated by another surgeon and partial radial nerve palsy, including surgical treatments, with most recent surgery for left distal radius hardware removal, and tendon transfers (FCR to EDC and EDQ tendon transfer, palmaris longus to EPL tendon transfer) for partial radial nerve palsy.

When I last examined him on [REDACTED] I believe he had reached maximum medical improvement related to his left upper extremity due these conditions and their treatment. I believe he has sustained permanent impairment to the left upper extremity due to the initial nerve injury and wrist fracture.

I found no specific evidence of a substantial left shoulder work related injury that would cause permanent impairment or require work restrictions.

Based on 5th Edition AMA guidelines for permanent impairment (Table 16-3, Table 16-11, Table 16-15) I assess a 28% impairment to the left upper extremity. This is equivalent to a 17% impairment of the whole person.

I believe no further medical, surgical or rehabilitative treatment is indicated for this injury with the subsequent treatments at this time, however he is a risk at some indeterminate time for progression of wrist arthritis due to the original fracture and its surgical treatment by another surgeon.

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Impairment Letters and Related Checks

I recommend the following permanent restrictions for use the left hand and upper limb:

1. no lifting over 5 pounds with left right hand, with a frequency of occasional
2. no lifting over 30 pounds with two hands, with a frequency of occasional
3. no restrictions on lifting of less than 30 pounds using the left hand
4. fine manipulation with a frequency of occasional using the left hand
5. push-pull, grasp, and reaching of all types with a frequency of occasional using the left hand.
6. Avoid prolonged exposure to heat or cold to the holds without appropriate glove protection to left hand.

Sincerely yours,



Brian D. Adams, M.D

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Impairment Letters and Related Checks

EMC Insurance Companies
PO BOX 844
DES MOINES IA 50306-0844

DATE 03/06/2013 L31504508 35-1901 1012

PAY TO: Brian D Adams

THE SUM: THREE HUNDRED NINETY FIVE DOLLARS AND 08 CENTS

PAID FOR: Claim number [REDACTED], Issued at Des Moines - wd
For review of medical records/preparing report.

SENT TO: BODSIC
BRIAN D ADAMS
2672 FOREST GATE DR SE
TOWA CITY IA 52249-7266

*****395.00
VOID AFTER 180 DAYS

LMG Bank, N.A.
St. Joseph, Missouri 64507

Russ B. Kelley

PLEASE DO NOT SIGN DOCUMENT HAS SECURITY FEATURES AND A CRIS WATERMARK. HOLD TO DEBIT TO VIEW

[REDACTED]

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation
Example Prepayment Letter and Related Check

On 4/20/2011 7:34 AM, badams wrote:

Faith,

I was give the records and your cover letter regarding [REDACTED] I see that it was addressed to Dr Lawler. I am her senior partner. Don't know if we have worked together. The WC cases get shared between us as per an internal schedule. If you specifically want to have her consider this case instead of me, please let me know. Otherwise, if I hear from you that I should proceed, I will do a brief review of the case to determine if I can take it on, and to determine the fee schedule for the service.

I will await your response before proceeding,

Brian Adams

bdm.adams@gmail.com

Faith Knight
Faith.J.Knight@EMCIns.com
EMC Risk Services, LLC
800-741-5302 ext. 7424
866-504-6598 Fax

NOTICE: This message (including any attachments) is intended for a specific individual and may contain information that is either confidential or legally protected. If you believe that it has been sent to you in error, please reply to the sender that you have received the message in error, then delete it. If you are not the intended recipient, you are hereby notified that any retention, dissemination, distribution, or copying of this communication is strictly prohibited. Thank you. EMC071856

Brian Adams
bdm.adams@gmail.com

M

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Prepayment Letter and Related Check

e: Donna Evans

Subject: Re: [REDACTED]
From: badams <bdm.adams@gmail.com>
Date: 4/20/2011 6:03 PM
To: Faith Knight <Faith.J.Knight@emcins.com>

April, 20, 2011

Dear Ms. Knight,

Re: [REDACTED]

This letter is in response to your request for an evaluation and potential treatment of [REDACTED]. I have received and performed a first review of the medical records that you sent me regarding the multiple complaints and previous treatments.

Because of the complexity of this case, I would require an additional prepayment of \$500 to review the case in depth and for the additional services that are required for such a case, which includes a review of past medical records and a post evaluation report to answer the questions in your cover letter. A request for an impairment rating following my evaluation would require an additional fee.

Please note there would be additional charges posted and billed to you by the University of Iowa Hospitals and Clinics for the standard facility and physicians services, which typically is approximately \$445 for this type of evaluation. Thus, if the prepayment request in this email is sent to another center, please ensure they are aware of this additional future bill.

For the prepayment of \$500 as requested above, please remit the funds in my name: Brian Adams (EIN# 204 69 3782), to the address below:

Brian Adams

3673 Forest Gate Dr NE

Iowa City, IA 52240

If the above meets with your approval, please respond to me via my email address: bdm.adams@gmail.com and I will proceed to schedule the patient.

Even if you should decide not to proceed, I would also appreciate if you would reply via this email address so that I know we are in communication. You may also reach me at 319 331 6941 to leave a message if you have further questions.

Sincerely,

Brian D. Adams, M.D.

On Apr 20, 2011, at 1:53 PM, Faith Knight wrote:

Dr. Adams,

Please go ahead and proceed with your review of the file to see if you can take it on. We are aware that you are the one reviewing this file and that is fine.

Thank you
Faith

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation


Example Prepayment Letter and Related Check

EMC EMCRisk Services LLC PO BOX 9977 • Des Moines, IA 50317	NO. 0132055	102066 04/28/2011 \$500.00 VOID IF NOT CASHED WITHIN SIX MONTHS
Comment:	BANKERS (MUST COMPAKE DETAILED INFO)	
Pay: Five Hundred and 00/100 Dollars		
To The BRIAN DAVID ADAMS Order Of: 3873 FOREST GATE DR NE IOWA CITY, IA 52240-7908		
<i>Curtis C. [Signature]</i> AUTHORIZED SIGNATURE		
EMC SECURITY FEATURES OF THIS DOCUMENT INCLUDE A MICRO PRINT COLORED LINE, ULTRA THIN VOID PAPER, MICROPRINT, A TRUE WATERMARK, VOID LINE(S) AND A BLUE MICR LINE		
<div style="background-color: black; width: 100px; height: 15px; display: inline-block;"></div> <div style="background-color: black; width: 100px; height: 15px; display: inline-block;"></div> <div style="background-color: black; width: 100px; height: 15px; display: inline-block;"></div>		

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Non-Medical Services Letter and Related Check

E. Marshall Thomas, 1907–1989



ATTORNEYS AT LAW
Est. 1840
www.octhomaslawa.com

Francis J. O'Connor, 1916–1990

April 21, 2011

Dr. Brian Adams M.D.
3673 Forest Gate Dr NE
Iowa City, IA 52240

RE: [REDACTED]


Dear Dr. Adams:

Enclosed you will find the prepayment of \$1,000.00 for your upcoming deposition on May 5, 2011 at the University of Iowa Hospitals and Clinics in the Orthopaedic Department, room 01084 JPP. We have also enclosed a Notice of Deposition to confirm the date, time and location of the event.

Please contact me at 563-557-8400, ext. 222 with any questions or concerns. You may also contact attorney Davin C. Curtiss at 563-557-8400, ext 250. He will be attending your deposition. We thank you for your assistance with this matter.

Sincerely,

O'CONNOR & THOMAS, P.C.



Christa R. Oberbroeckling
Paralegal to Davin C. Curtiss

*Statutory Fees for Reproduction of Records: Iowa Code Section 622.10(3)(d) and 622.10(5)(a) require that fees for copies of any records "be based upon the actual cost of production" as set out in Iowa Administrative Code Section 876-8.9. For your benefit, the statutory guidelines are: "\$20 for 1 to 20 pages, \$20 plus \$1 per page for 21 to 30 pages, \$30 plus \$0.50 per page for 31 to 100 pages, \$65 plus \$0.25 per page for 101 to 200 pages, \$90 plus \$ 0.10 per page for each page for more than 200 pages, and the actual expense of postage. No other expenses shall be allowed."

Christa R. Oberbroeckling | ext. 222 | coberbroeckling@octhomaslawa.com


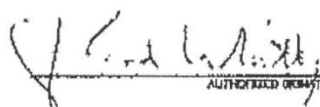
Rushak Building | 700 Locust Street, Suite 200 | Des Moines, Iowa 50301 | Phone 563.557.8400 | Fax 563.556.1867

JOHN G. O'CONNOR	RICHARD K. WHITTY	PAUL J. SIGWARTH †	GREG A. REHME
BRENDAN T. QUINN†	STEPHEN C. KRUMPE *†	PETER D. ARLING *§†	WHITNEY R. JACQUE
A. JOHN ARENZ †‡	JAMES E. GOODMAN, JR. *†	JOSHUA P. WEIDEMANN	STEPHANIE R. FUEGER *†
CHAD C. LEITCH*	DAVIN C. CURTISS *†	CHRISTOPHER C. FRY	CHRISTOPHER M. LUETH

All attorneys licensed in Iowa | * Also licensed in Illinois | † Also licensed in Wisconsin | § Also licensed in Minnesota
 ‡ Certified in Civil Trial Advocacy by National Board of Trial Advocacy | -† Also licensed in U.S. Tax Court

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

Example Non-Medical Services Letter and Related Check

O'CONNOR & THOMAS, P.C. 700 LOCUST ST., SUITE 700 DUBUQUE, IA 52001-6874 563 887 8400		 American Trust & Savings Bank COMMERCIAL, INVESTMENT, & TRUST DUBUQUE, IOWA 52001 45 52 739	80537
		DATE 4/20/2011	AMOUNT \$1,000.00
One Thousand and No/100 Dollars			
PAY TO THE ORDER OF	BRIAN ADAMS M.D. 3673 FOREST GATE DRIVE NE IOWA CITY, IA 52240		
		 AUTHORIZED SIGNATURE	

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Defining Consulting Activities

Re: consulting & study

Subject: RE: consulting & study
From: Kevin Ohashi <kohashi@tornier.com>
Date: 11/9/2009 12:13 PM
To: Brian Adams <bdm.adams@gmail.com>

Dr. Adams,

I will review with the team this week.

Cheers,

KO

Kevin L. Ohashi
Senior Director, Biologics and Clinical Strategy
Tornier, Inc.
650.796.1515
kohashi@tornier.com

From: Brian Adams [mailto:bdm.adams@gmail.com]
Sent: Monday, November 09, 2009 1:09 PM
To: Kevin Ohashi
Subject: consulting & study

Kevin,

Sorry for the delay in getting you the information that we discussed in Chicago regarding what I believe should be considered standard clinical care and what should be considered consulting activity. The following is a list of activities that would be considered consulting since I would not normally engage in these activities to provide care to my patients.

- 1) Assess preoperative radiographs to input classification information required for database
- 2) Complete portions of preoperative and postoperative forms that are beyond the expertise of the research assistant or physician assistant, which is about 20% of the form.
- 3) Perform a quarterly review of the database pertaining to my patients before it is sent to the web for final upload in an effort to optimize the input data by identifying the missing data points and retrieving them as best possible
- 4) Any review of the database pertaining to my patients at the request of Tornier for the purpose of forming a clinical study
- 5) Any formulation of a study, including development, data compilation, data assessment, and formulation of a written manuscript at the request or approval of Tornier
- 6) Any podium or workshop or other educational program presentation of a study concerning the patients in the database at the request of Tornier.

Other consulting activity related to training or presentations or product development would be covered by the consulting agreement in place with Tornier

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Defining Consulting Activities

1st and 2nd qtrs consulting time

Subject: 1st and 2nd qtrs consulting time
From: badams <bdm.adams@gmail.com>
Date: 6/29/2009 9:47 PM
To: Simon Archibald <sarchibald@integra-ls.com>

Simon,

As you requested, I have itemized my consulting time for Integra for Q1 and Q2 2009 based on our current proposal. These are attached with this email. This should bring us up to date.

Hopefully, we can finish up with the new consulting agreement by next week and move on with the project. Please let me know that you received this email.

Brian Adams
bdm.adams@gmail.com

—Attachments:—

Consultant Q1 activity 2009 Integra.xls	20.5 KB
Consultant Q2 activity 2009 Integra.xls	19.0 KB

8/18/2014 7:25 AM

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

Re: Agreement issues

Subject: Re: Agreement issues
From: badams <bdm.adams@gmail.com>
Date: 6/27/2009 8:08 PM
To: "Archibald, Simon" <sarchibald@integra-ls.com>

Simon,
I looked further and I don't think that trying to find the appropriate documents and then interpreting these is timely approach to our situation as this has been going on quite long. In addition, as I mentioned before, if this requires your organization to rethink our other current document, which is quite possible, then we are going to come to a complete standstill. Thus, I think it would be best to have you move forward with the reasoning that I provided. Let me know what your current opinions are before I move ahead with any further searching. I must say I am getting frustrated with this situation and the progress of our seemingly good project - I believe I have been quite understanding thus far but at some point soon we need to come to a conclusion.
Thanks,
Brian

On Jun 23, 2009, at 9:15 AM, Archibald, Simon wrote:

Brian,

This does help me a lot.

One further thing. Does your institution have a "Faculty Handbook" that outlines consulting policies, etc.

Just thought of this last night. When we were bringing on consultants from Duke, the legal team accepted the DUMC faculty handbook in lieu of the schedule II.

Many thanks,

Simon.

Simon J. Archibald, Ph.D.
Chief Scientific Officer
Integra LifeSciences Corporation
315 Enterprise Drive
Plainsboro, NJ 08536
Phone: 609-936-2343
Fax: 609-750-4274
Email: sarchibald@integra-ls.com
Website: www.integra-ls.com
Assistant: Julie Royce, 609-936-2277, jroyce@integra-ls.com
This email and any files transmitted with it are confidential and may be privileged. They are

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

Agreement issues

intended solely for the use of the individual or entity to whom they are addressed. Unless you are the addressee (or authorized to receive for the addressee), you may not use, copy or disclose to anyone the message or any information contained in the message. If you have received the message in error, please advise the sender by reply e-mail @integra-ls.com, and delete the message. The confidentiality of Internet e-mail cannot be guaranteed. Information you send us over Internet e-mail could be viewed by persons other than the intended recipient.

Please consider the environment before printing this e-mail

From: badams [mailto:bdm.adams@gmail.com]

Sent: Monday, June 22, 2009 11:01 PM

To: Archibald, Simon

Subject: Re: Agreement issues

Simon,

Here are my reasons for removing the Schedule II requirement:

- 1) I have an existing agreement with Integra concerning the royalty agreement for the total wrist system in development that would likely have to be rewritten and presented to the institution for review if the current proposal for a Schedule II is required. Since this is an existing agreement between me and Integra that we all acted on in good faith. I do not think it is reasonable to have this agreement changed at this time.
- 2) An institutional review of the agreements would take at minimum several months (probably over a year) of negotiation between Integra and the institution to come to completion which would delay our already very much over do development of this project. We are currently well into the second year of delays in this project which is creating considerable frustration with me and the engineers within Integra and will substantially impact financially on the long term success of the implant that is definitely in need of revision to keep in competitive in the market.
- 3) My position within the institution allows me to act as a consultant to a biotech company and it is my responsibility to inform them of my activities. There is no requirement to have a document such as the proposed Schedule II. I have other existing/active consultantships with biotech companies that have not required a document such as this Schedule II. These agreements have statements such as I have proposed for our agreement in lieu of the proposed Schedule II.

I hope that these reasons help with proceeding to a conclusion and allowing us to proceed on the project.

Please let me know if I can provide other information.

Sincerely,

Brian Adams

On Jun 22, 2009, at 9:32 AM, Archibald, Simon wrote:

Brian,

8/18/2014 2:40 PM

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

: Agreement issues

I understand. What I need is the rationale for not doing the schedule II from your point of view so I can defend it internally. If you can do so by e-mail, I would be more than fine with that.

Many thanks,

Simon.

From: Brian Adams [<mailto:bdm.adams@gmail.com>]
Sent: Monday, June 22, 2009 10:29 AM
To: Archibald, Simon
Subject: Re: Agreement issues

Simon,

I am out of the country till Sunday eve so will need to wait till next week for a phone conf. I can tell you however that requiring a schedule two as it stands whereby it requires their signature will, as I wrote previously, likely be a deal breaker. The hassles and time that will be needed on both of our parts will be incredibly great - we would not be able to move forward for a year - and that's probably an underestimate. I would ask that we come up with an alternative.

Brian

Sent from my iPod

On Jun 22, 2009, at 7:51 AM, "Archibald, Simon" <sarchibald@integra-ls.com> wrote:

Brian,

The legal group is fine with all the edits you made.

There is one thing they are pushing back on, that is the schedule II. Your statement is fine in the contract but they are still requesting the schedule II or some sort of release statement from your institution. Frustrating! We had discussed your reasons for not including the Schedule II. however, can we go over this again by phone preferably.

Are you available either today or tomorrow or Wednesday morning?

Best regards,

Simon.

Simon J. Archibald, Ph.D.
Chief Scientific Officer

8/18/2014 2:40 PM

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

CONSULTING AGREEMENT

THIS CONSULTING AGREEMENT is dated and effective as of counter-signature (the "Effective Date") between Integra LifeSciences Corporation, a corporation incorporated under the laws of the State of Delaware and having a place of business at 311 Enterprise Drive, Plainsboro, New Jersey 08536 (hereinafter referred to as "Integra") and Brian Adams, M.D. (hereinafter referred to as "Consultant").

WHEREAS, Integra has a need for certain specialized services in the Consultant's field, as more particularly expressed in Schedule I, attached hereto and incorporated herein by reference;

WHEREAS, Consultant has expertise in the field of such specialized services and is able to provide the consulting services hereunder;

WHEREAS, Integra desires to hire Consultant as a consultant to Integra and Consultant wishes to be hired as a consultant;

WHEREAS, in consultant's role as Consultant to Integra, Consultant will work closely with Integra materials, proprietary information, Confidential Information (as hereinafter defined) and market strategies and it is therefore considered reasonable and necessary that Consultant not compete with or be employed by a competitor of Integra related to services defined in Schedule I during the Contract Period (as hereinafter defined) and for a period of one (1) year thereafter.

NOW, THEREFORE, in consideration of the mutual covenants herein contained, and intending to be legally bound hereby, the parties agree as follows:

1. **Engagement.** Integra hereby engages Consultant, and Consultant agrees, during the term of this Agreement, to perform such consulting services as may be requested from time to time by Integra or other members of the Integra Group (as hereinafter defined) and the consulting services ("Consulting Services") described in, and upon the terms and conditions set forth in, this Agreement, including Schedule I hereto (collectively, the "Agreement"). Consultant's Consulting Services will be carried out at the facilities of Consultant's principal place of business or at a location otherwise designated by Integra. It is expressly understood that Consultant will arrange the times to render such Consulting Services to meet the requirements of the Integra Group.

2. **Term of Engagement.** The term of this Agreement shall commence on the Effective Date of this Agreement and shall continue until one (1) year thereafter, unless earlier terminated by either party in accordance with the provisions hereof (the "Contract Period"). Integra and Consultant may agree in writing to extend the Contract Period by mutual written agreement, but this Agreement will not automatically renew at the end of the Contract Period absent the express, written agreement of the parties.

3. **Compensation.** Integra shall pay to Consultant, as consideration for the Consulting Services satisfactorily performed in accordance with this Agreement, the compensation set forth in Schedule I to this Agreement, upon the terms and conditions set forth therein. Integra will reimburse Consultant for any actual expenses incurred while rendering Consulting Services under this Agreement provided that such expenses are reasonable and in accordance with Integra's Travel and Expense Guidelines, appropriately documented and approved in advance by Integra. For expenses initially paid by Consultant, Consultant agrees to submit receipts for all possible reimbursements as a condition to such reimbursement and Consultant agrees to adhere to Integra's travel and entertainment guidelines. Consultant and Integra agree that the compensation set forth in this Agreement represents the fair market value for the Consulting Services. Consultant also agrees that the compensation has not been determined

CONFIDENTIAL

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

in a manner that takes into account the volume or value of any business otherwise generated between Consultant and Integra. Finally, neither this Agreement nor the compensation stated herein shall obligate Consultant to purchase, use, recommend, or arrange for the use of any product of Integra or its Affiliates.

4. Performance.

4.1 Best Efforts. Consultant agrees that he will exercise his best skill and judgment in the performance of the Consulting Services, that Consultant and Consultant's employees (if any) who perform Consulting Services shall be experienced and skilled professionals, and that Consultant and Consultant's employees (if any) will devote the necessary resources to perform its obligations hereunder in a timely and efficient manner. Integra and Consultant each agree that they will each proceed on the basis of a relationship of trust, good faith and fair dealing, and that each will take such steps as may reasonably be required to insure that the Consulting Services are provided in a timely, efficient and cost-effective manner. Without limitation, Consultant agrees to share with Integra any and all information and to meet with and report to Integra on at least a monthly basis, and otherwise upon request, concerning the Consulting Services.

4.2 Subcontractors. Consultant shall not have the right to retain subcontractors or professionals engaged by Consultant to participate with him in the performance of the Consulting Services.

4.3 Compliance with Laws. In the performance of Consulting Services hereunder, Consultant shall comply with all applicable laws, regulations, professional and ethical standards, including without limitation, all federal and state securities laws, the Federal Food, Drug and Cosmetic Act, the Medicare and Medicaid provisions of the Federal Social Security Act, and regulations and guidelines under such laws.

4.4 Conflicting Work; Interest in Work Product. Consultant shall not compete with the Integra Group related to services defined in Schedule I in any manner. It is understood that Consultant may be working with others at the same time it is working for Integra hereunder. However, during the Contract Period of this Agreement and for one year thereafter, Consultant shall not engage in any work for others involving the same or similar subject matter as to which Consultant is performing services or undertaking work hereunder, or otherwise performing services for any competitor of the Integra Group. Furthermore, Consultant shall not enter into any agreement, arrangement or understanding that would conflict with this Agreement or prevent Consultant from performing the work hereunder. Consultant's employer (if any) presently has no interest, and during the course of Consultant's performance of his obligations hereunder to Integra, shall not acquire any interest, in the results of the work product or other work conducted by Consultant for the Integra Group, including without limitation, rights to any Inventions (as hereinafter defined), whether or not patentable, and other commercially valuable or Confidential Information (as hereinafter defined), rights to publish work product results, or rights to any payment from any member of the Integra Group or Consultant for the use of any facilities in conducting the Consulting Services or otherwise. ~~Consultant agrees to provide a letter signed by an authorized signatory of its employer in the form set forth in Schedule II within a reasonable time from execution of this Agreement and prior to the performance of any Consulting Services.~~

Consultant represents and warrants that no other entity or individual has any claim to any intellectual property rights to any Inventions created, conceived, invented, developed or reduced to practice by Consultant pursuant to the Agreement.

Consultant agrees to notify Integra in writing before Consultant makes any disclosure or performs or causes to be performed any work for or on behalf of the Integra Group, which appears to threaten or conflict with (a) rights claimed by Consultant in any concept, idea, development, improvement, art, machine, process, method, product, apparatus, compound, formula, share, lifeform, composition of matter or configuration of any kind (collectively, "Other Inventions") conceived by Consultant or others prior to Consultant's engagement by Integra or otherwise outside of the scope of this Agreement, or (b) rights of others arising out of obligations incurred by Consultant prior to this Agreement or otherwise outside the scope of this Agreement. In the

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

absence of any such notice, Integra may assume that no such conflicting Other Inventions exist and Consultant agrees that he will make no claim against Integra with respect to the use of any such Other Inventions in any work which Consultant performs or causes to be performed for or on behalf of the Integra Group.

5. **Warranties.** Consultant represents, warrants and covenants the following:

- (a) He is authorized to enter into this Agreement;
- (b) He has and shall have the unrestricted right to disclose any information he submits to Integra free of all claims of third parties;
- (c) Such disclosures of information to Integra do not and shall not breach or conflict with any confidentiality provisions of any agreement to which Consultant is a party;
- (d) He has not been the subject of a debarment proceeding under 21 U.S.C. §335a; and
- (e) Neither the Consultant's performance of the Consulting Services, nor the assignment of any of Consultant's rights to Integra, conflicts with, or constitutes a breach of or a default under any applicable rule, regulation or rights of Consultant's employer in effect at the time of this Agreement. The rights and services covered by this Agreement are not in violation of any other agreement, contract or other instrument with any other party or of any other lawful restriction of any kind.

6. **Inventions.** For any inventions, discoveries, ideas, improvements, processes, devices, products, know-how, ideas, concepts, designs, prototypes, samples, models, technical information, drawings, specifications, art, machine, method, apparatus, compound, formulation, shape, lifeform, composition of matter or configuration of any kind or the like, which Consultant may conceive, invent, produce or reduce to practice, either alone or jointly with others, arising from work performed under this Agreement or resulting from information supplied to Consultant, directly or indirectly, by any member of the Integra Group or any of its officers, directors, employees or consultants (specifically including any of the above that relates to the application of any technology of the Integra Group) (the "Inventions"), Consultant agrees to the following terms and conditions:

(a) **Invention Disclosure.** Consultant agrees promptly to disclose to Integra in writing any such Inventions.

(b) **Title to Inventions.** The inventorship of any patentable Inventions made or conceived of pursuant to or during this Agreement and related to the Consulting Services shall be determined by the respective mental inventive contribution made to the subject matter of the Invention as claimed in accord with the provisions of Title 35 United States Code et seq. Integra and Consultant further agree:

(i) That all such Inventions and any information with respect thereto shall be Confidential Information within the meaning of and shall be subject to Section 7 below;

(ii) Consultant shall keep accurate and complete records of all Inventions in the form of notes, sketches, drawings, or reports relating thereto, which shall be Integra's property and shall be available to Integra at all times;

(c) **Potential Royalties.** Any Inventions conceived of, invented or developed solely by Consultant pursuant to this Agreement, or jointly by Consultant and Integra, shall be subject to Integra's right of first refusal for assignment of all rights with regard to these Inventions, subject to the royalty rates specified herein. Any Inventions conceived of or invented without any participation or contribution by or on behalf of Consultant shall remain the sole property of Integra, and no obligation shall exist for Integra to pay any royalties to Consultant for such Inventions.

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3

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

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Integra shall inform Consultant of its exercise or decline of the right of first refusal within ninety (90) days of receiving all information regarding an Invention reasonably necessary to evaluate whether to exercise such right. If Integra decides to exercise its right of first refusal, the parties shall thereafter negotiate in good faith an assignment of all of Consultant's rights with regard to an Invention in exchange for a royalty to be paid by Integra to Consultant. The amount of such royalty shall be prorated according to the IP status and intellectual property contribution of Consultant to the products, and will be paid on the net sales revenues for the products that incorporate such intellectual property.

For:

(i) intellectual property that is reduced to practice and commercialized. Consultant shall receive a royalty rate of 1% from Integra for an 18 year period from the date of first commercial sale;

(ii) intellectual property that is reduced to practice and commercialized, and for which a provisional patent application has been filed. Consultant shall receive a royalty rate of 2% from Integra for an 18 year period from the date of filing of such application;

(iii) intellectual property that is reduced to practice, commercialized and receives a United States or international patent. Consultant shall receive a royalty rate of 3% from Integra for the lifetime of any such patent.

The parties shall negotiate in good faith for an assignment of all rights in return for a royalty at a rate as specified above. Any such royalty shall not be paid on any revenues generated from sales of the Invention to Consultant or to any institution with which Consultant is associated.

Preexisting Royalty Agreement. Notwithstanding the foregoing, any invention conceived of or developed by Consultant constituting a Total Wrist Replacement System shall be covered by the existing Development Agreement dated November 5, 2007 between Consultant and Integra.

(d) Patent Applications and Maintenance. Integra shall, in its sole discretion, determine whether to file patent applications in any jurisdiction for any of the Inventions developed solely by Integra or for which Integra has exercised its right of first refusal. Integra, at its expense, will prosecute the patent applications for all such Inventions and maintain all patents that are issued in such countries as it may choose.

(e) Patent Litigation. Integra shall have the right, but not the obligation, to defend or institute litigation in connection with any infringement of any patent or other intellectual property right arising from an Invention under this Agreement, that is developed solely by Integra or for which Integra has exercised its right of first refusal. Consultant agrees to cooperate with Integra as requested by Integra, at Integra's expense, in any such litigation.

Potential Royalties. Any patentable Inventions conceived of, invented or developed solely by Consultant pursuant to this Agreement shall remain the property of Consultant; however, Integra shall have a right of first refusal to negotiate an assignment of all rights with regard to these Inventions, subject to the negotiation of a royalty rate to be paid to Consultant by Integra. Any patentable Inventions conceived of, invented or developed jointly by Consultant and Integra or Integra's employees or agents pursuant to this Agreement shall be jointly owned by Consultant and Integra, and Integra shall have a right of first refusal to negotiate an assignment of all of Consultant's rights with regard to these Inventions, subject to the negotiation of a royalty rate to be paid to Consultant by Integra. Any patentable Inventions conceived of or invented without any participation or contribution by or on behalf of Consultant shall remain the sole property of Integra, and no obligation shall exist for Integra to pay any royalties to Consultant for such Inventions.

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4

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

~~Integra shall inform Consultant of its exercise of the right of first refusal within ninety (90) days of receiving all information regarding an Invention reasonably necessary to evaluate whether to exercise such right. If Integra decides to exercise its right of first refusal, the parties shall thereafter negotiate in good faith an assignment of all of Consultant's rights with regard to an Invention in exchange for a royalty, at a rate not to exceed industry standards, to be paid by Integra to Consultant.~~

~~Notwithstanding the foregoing paragraphs, the ownership and commercialization of any Invention constituting a Total Wrist Replacement System that is conceived of, either jointly by Consultant and Integra or solely by Consultant, shall be governed by the Development Agreement dated November 5, 2007 between Consultant and Integra.~~

~~(d) **Work for Hire; Full Compensation.** Consultant understands and acknowledges that Consultant may from time to time in performing duties for the Integra Group create or contribute to the creation of a copyrightable subject matter and it is understood and agreed that such creative effort on the part of Consultant shall be "work for hire", and all right, title, and interest in such subject matter shall be the sole and exclusive property of Integra or its nominees, including the right to copyright such subject matter in the name of Integra or its nominees. Consultant further agrees that the payments described in this Agreement are full and complete compensation for all obligations assumed by Consultant hereunder and for all Inventions and all patent rights with respect thereto assigned under this Agreement and in full satisfaction of any and all compensation to which Consultant may be entitled by law or otherwise, including but not limited to, the law of the country in which Consultant is resident during any portion of the Contract Period.~~

~~(e) **No Grant of Rights.** Nothing in this Agreement shall be construed to grant Consultant any right or license under any patent or trade secret owned, used or licensed by Integra or any of its Affiliates.~~

(f) **No Analysis for Chemical Composition.** Absent prior written approval, Consultant agrees not to analyze, for chemical composition or structure, any confidential formulation or composition supplied to Consultant by the Integra Group.

7. **Confidentiality.**

7.1. **Confidential Information.** Consultant acknowledges that it may be necessary for Integra to disclose information to Consultant which Integra considers proprietary or confidential in order for Consultant to perform the Consulting Services hereunder. Furthermore, Consultant acknowledges that, in many instances, members of the Integra Group (as hereinafter defined) are bound by contractual or other obligations to hold and use confidential information received from third parties in confidence, and that Consultant's failure to do so may constitute a breach of such obligations. Therefore, Consultant acknowledges and agrees that Consultant's undertakings herein with respect to the use and dissemination of such third party Confidential Information (as hereinafter defined) are made and intended for the benefit not only of the Integra Group but also of all parties that provide the Integra Group with Confidential Information.

"Confidential Information" means all information, data, studies, results of research, specifications and techniques, economics information, business or research strategies, trade secrets, patents, existing and potential customers, suppliers, markets, contracts, prices, products, technologies, know-how, financial or customer or client or prospective client or client lists and printouts, records, materials and other information previously, now or hereafter provided or otherwise disclosed (in oral or written form) by Integra to Consultant or any Consultant employee or agent, and relating to the business, finances, products, processes and/or services of any member of the Integra Group (as hereinafter defined) or of any third party with which any member of the Integra Group has a confidentiality arrangement, agreement or understanding. Confidential Information also includes the terms of this Agreement, Inventions, and the confidential information (including financial information and all other information) of third parties provided to Consultant in order that Consultant can

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

perform the Consulting Services hereunder.

7.2. **Disclosure and Use of Confidential Information.** Consultant and any agents or employees thereof shall not disclose the Confidential Information, and shall use their best efforts and take all reasonable precautions to protect the Confidential Information from disclosure by any others, to persons or entities other than Consultant or Consultant's agents or employees who reasonably require access in order to fulfill the purposes, and who are bound by the terms of, this Agreement. Consultant and its employees, agents, directors and affiliates shall use the Confidential Information solely for the purposes of performing their obligations under, and pursuant to the terms of, this Agreement, and not for any other purpose or in any other manner whatsoever. Consultant shall be responsible for any breach of this Agreement by any of its employees, agents, directors, or affiliates.

7.3. **Return of Confidential Information.** Confidential Information is and shall remain the property of Integra and shall, at Integra's request, forthwith be returned to Integra or be destroyed, together with all copies made by Consultant or by anyone to whom such Confidential Information has been made available by Consultant. Upon request, Consultant shall provide to Integra a certificate as to the return or destruction of such Confidential Information.

7.4. **Required Disclosure.** In the event of any legal action or proceeding or asserted requirement under applicable law or government regulations calling for disclosure of Confidential Information, Consultant shall, sufficiently in advance in order to permit Integra to take steps to prevent such disclosure, notify Integra and prior to any disclosure shall consult with and assist Integra in obtaining a protective order or other appropriate remedy. In any event, Consultant will disclose only that portion of the Confidential Information which is legally required and will use best efforts to assure that confidential treatment is accorded any Confidential Information so disclosed.

7.5. **Exception.** Consultant's obligation of non-disclosure set forth in this Section 7 shall remain in effect except to the extent that Consultant can show by reasonable documentation that the specific portion of such Confidential Information as to which disclosure is sought:

(a) was in the public domain at the time of disclosure to Consultant or at the time it was derived in the course of any research, or after such disclosure or derivation, was made part of the public domain, through no fault of Consultant, by a third party not affiliated with or employed by Consultant who was legally in possession of the data or information and was under no obligation to Integra to maintain such information confidential;

(b) was lawfully in Consultant's possession without restriction at the time of Integra's disclosure; or

(c) was lawfully made available to Consultant without restriction by a third party who was not affiliated with or employed by Consultant and was under no obligation to Integra to maintain the same confidential.

8. **Publication and Public Disclosure Rights.**

8.1 Consultant shall not have the right to publish or otherwise publicly disclose the results of and disseminate information pertaining to any research or Consulting Services conducted by Consultant hereunder, without prior written approval by Integra.

8.2 Integra shall be free to reproduce and publicly circulate complete copies or excerpts of all written reports which Consultant delivers to Integra. Any such reproduction and/or publication shall be entitled to use Consultant's name.

CONFIDENTIAL

6

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

8.3 Consultant shall not use the name of Integra in any publicity, advertising, news release or promotional material without Integra's prior written approval.

8.4 The parties acknowledge that the restrictions contained in this Section 8 are reasonable and necessary to protect the business and interest of the parties, that any violation of these restrictions by a party will cause substantial irreparable injury to the other party, and accordingly that these restrictions may be specifically enforced, in addition to any other remedies that the parties may have at law or in equity.

9. **Indemnification.** Consultant hereby agrees to indemnify the Integra Group and its licensees, officers, directors and shareholders, against any and all claims, actions, proceedings, losses, liabilities and expenses, including reasonable costs of investigation and attorneys' fees, arising directly or indirectly out of (i) any breach of any of Consultant's obligations hereunder or; (ii) any negligence or willful misconduct of Consultant or of any employee, agent, officer or director of Consultant; or (iii) any third party claim for intellectual property rights to any Inventions created, conceived, invented, developed or reduced to practice by Consultant pursuant to the Agreement.

10. **Termination of Engagement.**

10.1 **Bases for Termination.** This Agreement shall terminate prior to the end of the Contract Period at the earlier to occur of the following events:

(a) **Termination by Integra.** Integra may terminate this Agreement at any time upon notice in writing to Consultant upon any of the following events:

- (i) A breach of any of the terms of this Agreement by Consultant.
- (ii) If Consultant is adjudged a bankrupt, or makes an assignment for the benefit of its creditors, or if a receiver, trustee, liquidator, custodian or the like is appointed or takes possession of all or substantially all of Consultant's assets, or if a petition is filed by or against Consultant under any federal or state law concerning bankruptcy, reorganization, insolvency or relief from creditors that is not dismissed within 60 days of filing, or if Consultant is failing to pay its debts as they become due or otherwise becomes insolvent.
- (iii) If Consultant is disabled or otherwise unable to provide the Consulting Services.
- (iv) At any time and for any reason, Integra may terminate this Agreement by giving Consultant thirty (30) days prior written notice of such termination.

(b) **Termination for Cause by Consultant.** Consultant may terminate this Agreement at any time upon notice in writing to Integra upon any of the following events:

- (i) A breach of the Agreement by Integra, which breach remains uncured thirty (30) days after the giving of written notice to Integra.
- (ii) If Integra is adjudged a bankrupt, or makes an assignment for the benefit of its creditors, or if a receiver, trustee, liquidator, custodian or the like is appointed or takes possession of all or substantially all of Integra's assets, or if a petition is filed by or against Integra under any federal or state law concerning bankruptcy, reorganization, insolvency or relief from creditors that is not dismissed within 60 days of filing, or if Integra is failing to pay its debts as they become due or otherwise becomes insolvent.

10.2. **Effect of Termination.** Upon termination or expiration of this Agreement, Consultant agrees to discontinue any further work hereunder, except to the extent that Consultant and Integra may otherwise agree, and the respective rights and obligations of the parties shall terminate; provided that:

CONFIDENTIAL

7

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

(a) Consultant shall be entitled to payment for the Consulting Services satisfactorily provided in accordance with this Agreement, but unpaid as of the date of termination, plus all reasonable costs related to such Consulting Services which have been approved by Integra;

(b) the provisions of Sections 4.4, 5, 6, 7, 8, 9, 10.2 and 11 shall survive the expiration or termination of this Agreement; and

(c) Consultant shall return or destroy (at the option of Integra) any and all documents or other embodiments containing or constituting Confidential Information in its possession or control, without retaining any copies thereof.

11. Miscellaneous.

11.1. Certain Definitions. As used in this Agreement, the following terms shall have the following definitions:

Affiliate means with respect to a party to this Agreement, any corporation, company, partnership, joint venture and/or firm (i) which controls, is controlled by or is under common control with such party, or (ii) in which such party or any parent or subsidiary owns, or has a contractual right to acquire, an equity interest, or (iii) which has been licensed by such party or its parent or subsidiary, or which has retained such party or its parent or subsidiary, to perform research with respect to, or to commercially exploit, such party's or its parent's or subsidiary's technological assets. For purposes of this paragraph, "control" means (i) in the case of corporate entities, direct or indirect ownership of at least twenty-five percent (25%) of the stock or participating shares entitled to vote for the election of directors, and (ii) in the case of non-corporate entities, direct or indirect ownership of at least twenty-five (25%) of the equity interest with the power to participate in the management and policies of such non-corporate entity.

Integra Group means Integra and its Affiliates.

11.2. Governing Law and Jurisdiction. This Agreement, and any Schedules, shall be governed and construed in accordance with the laws of the State of New Jersey, not including the choice of law rules thereof. The parties consent to personal jurisdiction and venue for the courts of New Jersey and the United States District Court for the District of New Jersey, and each party hereby waives the right to a trial by jury in connection with any dispute arising under this Agreement.

11.3. Independent Contractor. In all respects, Consultant shall be deemed an independent contractor to Integra, exercising independent judgment as to the methods and means of providing the Consulting Services. Nothing within this Agreement shall be construed to create a partnership or joint venture between Consultant and Integra, nor shall either party's employees, servants, agents or representatives be considered the employees, servants, agents or representatives of the other. Neither party shall have any express or implied right or authority to assume or create any obligation on behalf of, or in the name of, the other party, or to bind the other party to any contract, agreement or undertaking with any third party. Consultant hereby agrees that Consultant is responsible for all liabilities for income taxes, social security taxes, and all other obligations which would be imposed upon Integra were Consultant to be an employee of Integra rather than an independent contractor. Consultant agrees to indemnify the Integra Group and hold the Integra Group harmless against any and all claims relating to such obligations.

11.4. Waiver. Neither the waiver by either of the parties hereto of a breach of, or a default under, any of the provisions of this Agreement, nor the failure of either of the parties, on one or more occasions, to enforce any of the provisions of this Agreement or to exercise any right or privilege hereunder shall thereafter

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

be construed as a waiver of any subsequent breach or default of a similar nature, or as a waiver of any of such provisions, rights, or privileges hereunder or a release of any rights granted hereunder.

11.5. **Entire Agreement.** This Agreement, including all Schedules and other attachments hereto, and any Non-Disclosure Agreement constitute the entire agreement and understanding between the parties with respect to the subject matter hereof and supersedes any prior or contemporaneous negotiations, agreements, understandings, or arrangements of any nature or kind with respect to the subject matter hereof. Consultant hereby represents and warrants that (i) he is in full compliance with the terms and conditions of all previous agreements with Integra and (ii) he has not disclosed to any third party any Confidential Information.

11.6. **Notices.** All notices, demands, requests or other communications which may be or are required to be given, sent or served pursuant to this Agreement shall be in writing and deemed effective when (a) delivered in person or (b) delivered by recognized overnight courier, or (c) sent by first-class certified or registered mail, return receipt requested, postage pre-paid, or (d) faxed to the numbers set forth below, with receipt confirmed, addressed to the parties at the following addresses, or as any party shall designate by written notice to the other parties:

To Integra: Simon Archibald, Vice President, Clinical Affairs and CSO
Integra Neurosciences
311 Enterprise Drive
Plainsboro, NJ 08536

With a copy to: General Counsel
Integra LifeSciences Corporation
311 Enterprise Drive
Plainsboro, NJ 08536
Phone: 609-275-0500
Fax: 609-275-1082

If to Consultant: Brian Adams, M.D.
3673 Forest Gate Drive
Iowa City, IA 52240

11.7. **Modification.** The provisions of this Agreement may not be changed, altered, modified, amended, rescinded, canceled or waived except by a writing executed by the parties.

11.8. **Assignment.** This Agreement is personal and Consultant shall not assign, subcontract, delegate, or otherwise transfer, in whole or in part, this Agreement or its obligations hereunder except with the prior written consent of Integra. Integra may without consent assign or delegate this Agreement (and/or its rights and responsibilities hereunder), in whole or in part. This Agreement shall be binding upon each party's successors and assigns as permitted hereunder.

11.9. **Third Party Beneficiaries.** Consultant acknowledges and agrees that the Affiliates of Integra are intended third party beneficiaries of this Agreement and all rights and benefits granted to Integra hereunder are intended to and shall run in favor of all such Affiliates, including any person hereinafter acquired by or which acquires Integra, or any of its Affiliates, by merger, sale or exchange of stock, consolidation, purchase of assets or otherwise. Except as stated in the foregoing sentence and in Section 7 (relating to Confidentiality) of this Agreement, it is the explicit intention of the parties hereto that no person or entity other than the parties hereto is or shall be entitled to bring any action to enforce any provision of this Agreement against any of the parties hereto, and that the covenants, undertakings and agreements set forth in this

CONFIDENTIAL

9

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

Agreement shall be solely for the benefit of, and shall be enforceable only by, the parties hereto and their respective successors and assigns as permitted hereunder.

11.10. Validity of Agreement. If any term or provision of this Agreement shall be found to be illegal, invalid or unenforceable, then, such provision shall be construed in such a way as to make it valid and enforceable to the maximum extent possible. The invalidity or unenforceability of any provision of this Agreement shall not affect the remaining provisions of this Agreement, which shall be enforceable to the maximum extent permitted by law.

11.11. Remedies and Equitable Relief. No remedy herein conferred is intended to be exclusive of any other remedy, and each and every such remedy shall be cumulative and shall be in addition to every other remedy given hereunder or now or hereafter existing at law or in equity or by statute or otherwise. Consultant acknowledges that damages alone will not be an adequate remedy for any breach or violation of its obligations hereunder and that, in addition to any other remedies to which Integra may be entitled hereunder or otherwise, Integra shall be entitled to injunctive relief, including specific performance, with respect to such obligations in any court of competent jurisdiction. Consultant acknowledges that the business and products of the Integra Group have worldwide applications and that the restrictions in this Agreement are therefore properly without any geographic limitations. If any of the provisions of this Agreement are held to be in any respect an unreasonable restriction upon Consultant, then they shall be deemed to extend only over the maximum period of time, geographic area, or range of activities as to which they may be enforceable.

11.12. Survival of Obligations. The termination or expiration of this Agreement shall not affect vested rights of any party hereto existing as of the date of such termination or expiration, or other obligations expressly intended to survive the termination or expiration hereof.

11.13. Further Actions. The parties hereto hereby agree to take or cause to be taken such further actions as may be necessary or as may be reasonably requested in order to fully effectuate the purposes, terms, and conditions of this Agreement.

11.14. Headings. Headings are for convenience of reference only, and not for interpreting the provisions of this Agreement.

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10

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

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11.15. Counterparts. This Agreement may be executed in any number of counterparts, and by either party on separate counterpart, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument. This Agreement may be executed and delivered by facsimile or electronic transmission and the parties agree that such facsimile or electronic (pdf) execution and delivery shall have the same force and effect as delivery of an original document with original signatures.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their respective duly authorized representatives.

INTEGRA LIFESCIENCES CORPORATION

By: _____
Name: Simon J. Archibald, Ph.D.
Title: Chief Scientific Officer
Vice President, Clinical Affairs
Date: _____

BRIAN ADAMS, M.D.

Date: _____

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

SCHEDULE I
to
CONSULTING AGREEMENT
between
INTEGRA LIFESCIENCES CORPORATION
and
BRIAN ADAMS, M.D.

This Schedule I amends and supplements the Consulting Agreement to which it is attached (the "Agreement"). Words and terms used herein in capitalized form that are not otherwise defined are used as defined in the Agreement.

1. Fee for Consulting Services. For the Consulting Services satisfactorily provided by Consultant in accordance with this Agreement, Integra shall pay Consultant five hundred US dollars (\$500.00) per hour payable within thirty (30) days of Integra's receipt of documentation from Consultant as provided in Paragraph 3 of this Schedule I. Consultant's compensation for any one calendar day shall not exceed five thousand US dollars (\$5000.00) for ten hours of work.

Consultant represents and warrants that these fees are consistent with amounts charged to other corporate and industrial purchasers of comparable Consulting Services, and represent the fair market value of the services to be provided.

2. Consulting Services to Be Performed. Consultant shall provide the Consulting Services described below to Integra.

Consultant shall:

- a. Work with Integra to support product development initiatives related to a Total Wrist Replacement System ~~fracture fixation and wrist arthritis~~. Product development activities may include but are not limited to: support the development of product requirements, reviewing products as they are developed and released, support verification and/or testing of generated products, and support validation of final products;
- b. Act as a clinical advisor to Integra for existing and potential products related to a Total Wrist Replacement System ~~used in fracture fixation and wrist arthritis~~ and provide on-call advice to Integra clinical, clinical education, sales and marketing personnel about medical issues and products and on-call advice to Integra's customers about product usage and techniques;
- c. Perform such other work related to marketing and product development of an Integra existing and potential Total Wrist Replacement System ~~fracture fixation and wrist arthritis~~ products as may be requested from time to time by Integra;
- d. Provide presentations on behalf of Integra or paid for by Integra of scientific, clinical and/or related professional information; internal presentations to Integra employees, directors, agents, and representatives; or practical demonstrations of Integra Products or other training as may be requested from time to time by Integra;

CONFIDENTIAL

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

- e. Attend and contribute to regular meetings, in person or by phone (at Integra's discretion), with Integra staff to discuss and review issues related the above work responsibilities;
- f. Review technical protocols and adverse event reports;
- g. Assist with regulatory matters and risk analyses;
- h. Report to Integra in a timely manner all results of the work set forth herein.

3. **Documentation of Consulting Services.** Consultant shall maintain proper and complete records of the Consulting Services provided. Such documentation shall include at a minimum a description of the precise services provided, the hours devoted to providing such services, and the dates such services were provided.

Consultant shall provide such documentation to Integra within fifteen (15) days after the end of each calendar quarter of the term of the Agreement. Consultant shall permit a representative of Integra to examine and copy Consultant's books and records relating to Consulting Services performed under this Agreement, at regular intervals during regular business hours, to confirm the amounts paid or to be paid by Integra under this Schedule I.

INTEGRA LIFESCIENCES CORPORATION

By: _____
Name: Simon J. Archibald, Ph.D.
Title: Chief Scientific Officer
Vice President, Clinical Affairs
Date: _____

BRIAN ADAMS, M.D.

Date: _____

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

SCHEDULE H

to CONSULTING AGREEMENT dated as of _____, 2009 between
BRIAN ADAMS, M.D. and
INTEGRA LIFESCIENCES CORPORATION

[Attach executed approval letter from authorized signatory of the employer of Consultant in form set forth below.]

Date: _____

Integra LifeSciences Corporation
311 Enterprise Drive
Plainsboro, New Jersey 08536
Attention: Clinical Affairs and Law Department

Dear Dr. Archibald:

_____ This is to acknowledge that _____ ("Consultant") is authorized by _____ (the "Hospital") to enter into a consulting agreement ("Agreement") with, INTEGRA LIFESCIENCES CORPORATION, on behalf of himself/herself, and such other members of the staff of Hospital as Consultant and INTEGRA LIFESCIENCES CORPORATION may from time to time agree to add to the Agreement (collectively, "Consulting Employees"). I am authorized to execute this letter on behalf of the Hospital.

_____ The Hospital acknowledges and agrees that under the Agreement: (1) Consulting Employees will be performing consulting services, which may include product design, development and evaluation; (2) intellectual property conceived or reduced to practice pursuant to the Consulting Services defined in Schedule 1 of this Agreement during the time a Consulting Employee is working at the Hospital will belong to INTEGRA LIFESCIENCES CORPORATION or its affiliates; and (3) intellectual property conceived or reduced to practice in the course of the Agreement at any other location will also belong to INTEGRA LIFESCIENCES CORPORATION or its affiliates. With respect to the intellectual property identified above, the Hospital's Patent Committee, if any, has waived the Hospital's rights, if any, in favor of the Hospital Employees, who in turn will grant these rights to INTEGRA LIFESCIENCES CORPORATION under the Agreement.

_____ Upon execution and delivery of this letter, Hospital will have no interest, and during the course of Consultant Employees' performance of their respective obligations under the Agreement to INTEGRA LIFESCIENCES CORPORATION, shall not acquire any interest, in the results of the work product or other work conducted by Consultant for the INTEGRA LIFESCIENCES CORPORATION or its affiliates, including without limitation, rights to any inventions (as defined in the Agreement), whether or not patentable, and other commercially valuable or Confidential Information (as defined in the Agreement), rights to publish work product results, or rights to any payment from INTEGRA LIFESCIENCES CORPORATION or any affiliate or Consultant for the use of any facilities in conducting the consulting services or otherwise.

[To be signed by an authorized Hospital signatory, as required under Hospital procedures and any employment agreements between the Hospital and the Consulting Employees]

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Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail and Copy of Agreement Deleting Reference to UIHC

Consulting agreement for Brian Adams.

Subject: RE: Consulting agreement for Brian Adams.
From: "Archibald, Simon" <sarchibald@integra-ls.com>
Date: 8/21/2009 12:26 PM
To: "badams" <bdm.adams@gmail.com>

Brian,

Many thanks for the call. We will get two clean contracts signed and off to you for your signature.

Best regards,

Simon.

Simon J. Archibald, Ph.D.
Chief Scientific Officer
Integra LifeSciences Corporation
315 Enterprise Drive
Plainsboro, NJ 08536
Phone: 609-936-2343
Fax: 609-750-4274
Email: sarchibald@integra-ls.com
Website: www.integra-ls.com

Assistant: Julie Royce, 609-936-2277, jroyce@integra-ls.com

This email and any files transmitted with it are confidential and may be privileged. They are intended solely for the use of the individual or entity to whom they are addressed. Unless you are the addressee (or authorized to receive for the addressee), you may not use, copy or disclose to anyone the message or any information contained in the message. If you have received the message in error, please advise the sender by reply e-mail @integra-ls.com, and delete the message. The confidentiality of Internet e-mail cannot be guaranteed. Information you send us over Internet e-mail could be viewed by persons other than the intended recipient.

Please consider the environment before printing this e-mail

From: badams [mailto:bdm.adams@gmail.com]
Sent: Friday, August 21, 2009 1:15 PM
To: Archibald, Simon
Cc: Sanderson, Steven
Subject: Re: Consulting agreement for Brian Adams.

Simon,

I agree to this agreement document without any changes. I don't know if you want me to sign a copy of this one, or more likely you want to send me two hard copies via fed ex for me to sign and then you could return one signed by both parties back to me. Let me know asap so that we can get going on this project. Very happy of course that we are on track, Brian

On Aug 20, 2009, at 12:59 PM, Archibald, Simon wrote:

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

Consulting agreement for Brian Adams.

Dear Brian,

Please find enclosed the most recent draft of the agreement. The legal team here have accepted that you will not be signing the Schedule II, etc. A few changes have been made in consequence, but I think this fits with what we have discussed so far this year.

I look forward to your review and comments.

Best regards,

Simon.

Simon J. Archibald, Ph.D.
Chief Scientific Officer
Integra LifeSciences Corporation
315 Enterprise Drive
Plainsboro, NJ 08536
Phone: 609-936-2343
Fax: 609-750-4274
Email: sarchibald@integra-ls.com
Website: www.integra-ls.com

Assistant: Julie Royce, 609-936-2277, jroyce@integra-ls.com

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P Please consider the environment before printing this e-mail

From: Kuzinski, Eugene
Sent: Thursday, August 20, 2009 11:34 AM
To: Archibald, Simon
Cc: Paltridge, Bob; Sanderson, Steven
Subject: RE: Consulting agreement for Brian Adams.

Simon – the most recent version is attached showing our tracked changes; please email it over to Adams for his review and signature.

Eugene J. Kuzinski (Gene)

Corporate Counsel

Integra LifeSciences Corporation

109 Morgan Lane

Plainsboro, NJ 08536

P: 609-936-5405

E-mail Showing Changes to Agreement

THIS CONSULTING AGREEMENT, effective upon countersignature (the "Effective Date"), is between Integra LifeSciences Corporation, a corporation incorporated under the laws of the State of Delaware and having a place of business at 311 Enterprise Drive, Plainsboro, New Jersey 08536 (hereinafter referred to as "Integra") and Healthcare Professional (hereinafter referred to as "Consultant").

WHEREAS, Consultant has expertise in the field of such specialized services and is able to provide the consulting services hereunder;

WHEREAS, in consultant's role as Consultant to Integra, Consultant will work closely with Integra materials, proprietary information, Confidential Information (as hereinafter defined) and market strategies and it is therefore considered reasonable and necessary that Consultant not compete with or be employed by a competitor of Integra during the Contract Period (as hereinafter defined) and for a period of one (1) year thereafter.

1. **Engagement.** Integra hereby engages Consultant, and Consultant agrees, during the term of this Agreement, to perform such consulting services as may be requested from time to time by Integra or other members of the Integra Group and the consulting services (“**Consulting Services**”) described in and upon the terms and conditions set forth in this Agreement, including Schedule I hereto (collectively, the “**Agreement**”). Consultant’s Consulting Services will be carried out at the facilities of Consultant’s principal place of business or as otherwise designated by Integra. It is expressly understood that Consultant will arrange the times to render such Consulting Services to meet the requirements of the Integra Group (as hereinafter defined).

3. **Compensation.** As consideration for the Consulting Services satisfactorily performed in accordance with this Agreement, Integra shall pay to Consultant the compensation set forth in Schedule I to this Agreement, upon the terms and conditions set forth therein. Integra will reimburse Consultant for any actual expenses incurred while rendering Consulting Services under this Agreement provided that such expenses are reasonable, appropriately documented and approved in advance by Integra, in accordance with Integra's Travel and Entertainment expense guidelines. Consultant agrees to submit receipts for all possible reimbursements as a condition to such reimbursement. Consultant acknowledges that and agrees that this Agreement and any related information, including payments made and expenses reimbursed hereunder, may be disclosed by Integra to third parties voluntarily or as required by law or regulation.

CONFIDENTIAL

1. Professionalism

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

4. Performance.

4.1 Best Efforts. Consultant agrees that it will exercise its best skill and judgment in the performance of the Consulting Services, that Consultant and Consultant's employees (if any) who perform Consulting Services shall be experienced and skilled professionals, and that Consultant and Consultant's employees (if any) will devote the necessary resources to perform its obligations hereunder in a timely and efficient manner. Integra and Consultant each agree that they will proceed on the basis of a relationship of trust, good faith and fair dealing and that each will take such steps as may reasonably be required to ensure that the Consulting Services are provided in a timely, efficient and cost-effective manner. Without limitation, Consultant agrees to share with Integra any and all information concerning the Consulting Services and to meet with and report to Integra on at least a monthly basis and otherwise upon request.

4.2 Subcontractors. Consultant agrees that Integra shall have the right to approve in advance any and all subcontractors or professionals engaged by Consultant to participate with it in the performance of the Consulting Services. Consultant further agrees not to allow any person to assist or to participate in the consulting work performed hereunder unless and until such person has executed an agreement with Integra, satisfactory in form and substance to Integra, concerning confidentiality and intellectual property and patent rights.

4.3 Compliance with Laws. In the performance of Consulting Services hereunder, Consultant shall comply with all applicable laws, regulations, professional and ethical standards, including without limitation, all federal and state securities laws, the Federal Food, Drug and Cosmetic Act, the Medicare and Medicaid provisions of the Federal Social Security Act and regulations and guidelines under such laws.

4.4 Conflicting Work; Interest in Work Product. Consultant shall not compete with the Integra Group in any manner. It is understood that Consultant may be working with others at the same time it is working for Integra hereunder. However, during the Contract Period of this Agreement and for one (1) year thereafter, Consultant shall not engage in any work for others involving the same or similar subject matter as to which Consultant is performing services or undertaking work hereunder or otherwise performing services for any competitor of the Integra Group. Furthermore, Consultant shall not enter into any agreement, arrangement or understanding that would conflict with this Agreement or which would prevent Consultant from performing the work hereunder. Consultant's employer (if any) presently has no interest, and during the course of Consultant's performance of his obligations hereunder to Integra, shall not acquire any interest, in the results of the work product or other work conducted by Consultant for the Integra Group, including without limitation, rights to any Inventions (as hereinafter defined), whether or not patentable, and other commercially valuable or Confidential Information (as hereinafter defined), rights to publish work product results or rights to any payment from any member of the Integra Group or Consultant for the use of any facilities in conducting the Consulting Services or otherwise. Consultant agrees to provide a letter signed by an authorized signatory of its employer in the form set forth in Schedule II.

Consultant agrees to notify Integra in writing before Consultant makes any disclosure or performs or causes to be performed any work for or on behalf of the Integra Group, which appears to threaten or conflict with (a) rights claimed by Consultant in any concept, idea, development, improvement, art, machine, process, method, product, apparatus, compound, formula, share, life form, composition of matter or configuration of any kind (collectively, "**Other Inventions**") conceived by Consultant or others prior to Consultant's engagement by Integra or otherwise outside of the scope of this Agreement; or (b) rights of others arising out of obligations incurred by Consultant prior to this Agreement or otherwise outside the

CONFIDENTIAL

2

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

scope of this Agreement. In the absence of any such notice, Integra may assume that no such conflicting Other Inventions exist and Consultant agrees that he will make no claim against Integra with respect to the use of any such Other Inventions in any work which Consultant performs or causes to be performed for or on behalf of the Integra Group.

5. **Warranties.** Consultant represents, warrants and covenants the following:

- (a) that it is authorized to enter into this Agreement;
- (b) that it has and shall have the unrestricted right to disclose any information it submits to Integra free of all claims of third parties;
- (c) that such disclosures of information to Integra do not and shall not breach or conflict with any confidentiality provisions of any agreement to which Consultant is a party;
- (d) that it has not been the subject of a debarment proceeding under 21 U.S.C. §335a; and
- (e) that neither the Consultant's performance of the Consulting Services nor the assignment of any of Consultant's rights to Integra conflicts with or constitutes a breach of or a default under any applicable rule, regulation or rights of Consultant's employer in effect at the time of this Agreement. The rights and services covered by this Agreement are not in violation of any other agreement, contract or other instrument with any other party or of any other lawful restriction of any kind.

6. **Inventions.** For any inventions, discoveries, ideas, improvements, processes, devices, products, know-how, ideas, concepts, designs, prototypes, samples, models, technical information, drawings, specifications, art, machine, method, apparatus, compound, formulation, shape, life form, composition of matter or configuration of any kind or the like, which Consultant may conceive, invent, produce or reduce to practice, either alone or jointly with others, arising from work performed under this Agreement or resulting from information supplied to Consultant directly or indirectly by any member of the Integra Group or any of its officers, directors, employees or consultants (specifically including any of the above that relates to the application of any technology of the Integra Group (the "Inventions")), the parties agree to the following terms and conditions:

- (a) **Invention Disclosure.** Consultant agrees promptly to disclose to Integra in writing any such Inventions.
- (b) **Title to Inventions.** In partial consideration for the compensation agreed to hereunder and subject to Section 6(c) below, Consultant hereby irrevocably assigns to Integra its entire right, title and interest in and to any Invention. All Inventions shall be the exclusive property of Integra and in that regard the parties agree:
 - (i) that all such Inventions and any information with respect thereto shall be Confidential Information within the meaning of and shall be subject to Section 7 below;
 - (ii) Consultant shall keep accurate and complete records of all Inventions in the form of notes, sketches, drawings, or reports relating thereto which shall be Integra's property and shall be available to Integra at all times;
 - (iii) Consultant shall execute without charge any foreign or domestic patent applications or assignments or similar documents related to patent prosecution or otherwise necessary or

CONFIDENTIAL

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

desirable to evidence Consultant's assignment of all Inventions, and to provide reasonable cooperation and assistance to Integra (at Integra's expense) in connection with such patent prosecution; and

(iv) Consultant shall agree to refrain from applying for patent protection thereon in the event Integra decides to keep any Inventions secret.

(c) **Patent Applications and Maintenance.** Integra shall, in its sole discretion, determine whether to file patent applications in any jurisdiction for any of the Inventions. Integra, at its expense, will prosecute the patent applications and maintain all patents that are issued in such countries as it may choose.

(d) **Patent Litigation.** Integra shall have the right, but not the obligation, to defend or institute litigation in connection with any infringement of any patent or other intellectual property right arising from an Invention under this Agreement, at its own expense and solely for its own benefit. Consultant agrees to cooperate with Integra as requested by Integra in any such litigation at Integra's expense.

(e) **Work for Hire; Full Compensation.** Consultant understands and acknowledges that in performing duties for the Integra Group, Consultant may from time to time create or contribute to the creation of copyrightable subject matter and it is understood and agreed that such creative effort on the part of Consultant shall be "work for hire," and all right, title and interest in such subject matter shall be the sole and exclusive property of Integra or its nominees, including the right to copyright such subject matter in the name of Integra or its nominees. Consultant further agrees that the payments described in this Agreement are full and complete compensation for all obligations assumed by Consultant hereunder and for all Inventions and all patent rights with respect thereto assigned under this Agreement and in full satisfaction of any and all compensation to which Consultant may be entitled by law or otherwise, including but not limited to, the law of the country in which Consultant is resident during any portion of the Contract Period.

(f) **No Grant of Rights.** Nothing in this Agreement shall be construed to grant Consultant any right or license under any patent or trade secret owned, used or licensed by Integra or any of its Affiliates.

(g) **No Analysis for Chemical Composition.** Absent prior written approval, Consultant agrees not to analyze for chemical composition or structure any confidential formulation or composition supplied to Consultant by the Integra Group.

7. **Confidentiality.**

7.1 **Confidential Information.** Consultant acknowledges that it may be necessary for Integra to disclose information to Consultant which Integra considers proprietary or confidential in order for Consultant to perform the Consulting Services hereunder. Furthermore, Consultant acknowledges that in many instances members of the Integra Group (as hereinafter defined) are bound by contractual or other obligations to hold and to use confidential information received from third parties in confidence, and that Consultant's failure to do so may constitute a breach of such obligations. Therefore, Consultant acknowledges and agrees that Consultant's undertakings herein with respect to the use and dissemination of such third party Confidential Information (as hereinafter defined) are made and intended for the benefit not only of the Integra Group but also of all parties that provide the Integra Group with Confidential Information.

CONFIDENTIAL

4

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

“Confidential Information” means all information, data, studies, results of research, specifications and techniques, economic information, business or research strategies, trade secrets, patents, existing and potential customers, suppliers, markets, contracts, prices, products, technologies, know-how, financial or customer or client or prospective client or client lists and printouts, records, materials and other information previously, now or hereafter provided or otherwise disclosed (in oral or written form) by Integra to Consultant or any Consultant employee or agent, and relating to the business, finances, products, processes and/or services of any member of the Integra Group or of any third party with which any member of the Integra Group has a confidentiality arrangement, agreement or understanding. Confidential Information also includes the terms of this Agreement, Inventions, and the confidential information (including financial information and all other information) of third parties provided to Consultant in order that Consultant can perform the Consulting Services hereunder.

7.2 **Disclosure and Use of Confidential Information.** Consultant and any agents or employees thereof shall not disclose the Confidential Information and shall use their best efforts and take all reasonable precautions to protect the Confidential Information from disclosure by any others to persons or entities other than Consultant or Consultant’s agents or employees who reasonably require access in order to fulfill the purposes of this Agreement and who are bound its terms. Consultant and its employees, agents, directors and affiliates shall use the Confidential Information solely for the purposes of performing their obligations under and pursuant to the terms of this Agreement and not for any other purpose or in any other manner whatsoever. Consultant shall be responsible for any breach of this Agreement by any of its employees, agents, directors or affiliates.

7.3 **Return of Confidential Information.** Confidential Information is and shall remain the property of Integra and shall at Integra’s request forthwith be returned to Integra or be destroyed, together with all copies made by Consultant or by anyone to whom such Confidential Information has been made available by Consultant. Upon request, Consultant shall provide to Integra a certificate as to the return or destruction of such Confidential Information.

7.4 **Required Disclosure.** In the event of any legal action or proceeding or asserted requirement under applicable law or government regulations calling for disclosure of Confidential Information, Consultant shall notify Integra. Prior to any disclosure, Consultant shall consult with and assist Integra in obtaining a protective order or other appropriate remedy sufficiently in advance in order to permit Integra to take steps to prevent such disclosure. In any event, Consultant will disclose only that portion of the Confidential Information which is legally required and will use its best efforts to assure that confidential treatment is accorded any Confidential Information so disclosed.

7.5 **Exception.** Consultant’s obligation of non-disclosure set forth in this Section 7 shall remain in effect except to the extent that Consultant can show by reasonable documentation that the specific portion of such Confidential Information as to which disclosure is sought:

(a) was in the public domain at the time of disclosure to Consultant or at the time it was derived in the course of any research, or after such disclosure or derivation, was made part of the public domain, through no fault of Consultant, by a third party not affiliated with or employed by Consultant who was legally in possession of the data or information and who was under no obligation to Integra to maintain such information confidential;

(b) was lawfully in Consultant’s possession without restriction at the time of Integra’s disclosure; or

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

(c) was lawfully made available to Consultant without restriction by a third party who was not affiliated with or employed by Consultant and who was under no obligation to Integra to maintain the same confidential.

8. **Case Studies and Patient Data.** Any case studies, reports, summaries or other material ("Material") that describe or include Consultant's individual experiences or cases and that are created by Consultant pursuant to this Agreement shall constitute "work for hire," and all right, title, and interest in the Material shall be the sole and exclusive property of Integra or its nominees, including the right to copyright such subject matter in the name of Integra or its nominees. Consultant further agrees that the payments described in this Agreement are full and complete compensation for all obligations assumed by Consultant hereunder and for the creation of the Material.

Consultant agrees that this Agreement grants Integra permission to use the Material or parts of the Material in brochures, catalogs, advertising material or documents prepared by Integra for advertising or promotion, or in any other way, method or manner, in Integra's sole and absolute discretion. Consultant represents and warrants that he has the right to grant Integra the rights contained in this Agreement without obtaining the permission of, or making any payments to, any third party or entity. Consultant further agrees that Integra shall have the right to portray, use and utilize Consultant's name in connection with the Material, in any and all versions and wherever published, republished, displayed, reproduced or used.

Consultant further grants to Integra the irrevocable right and permission to use, reuse, publish and republish, reproduce, modify and display X-Rays, magnetic resonance imaging images, CT scans, and similar medical observation methods and images ("Images"), in whole or in part, that Consultant provides to Integra, and/or that Consultant includes as part of the Material, in any manner or way whatsoever in Integra's sole and absolute discretion, including but not limited to on Integra's website or other websites that advertise, promote or offer Integra's products or services, in whole or in part, individually or in conjunction with likenesses of other persons, and in conjunction with any copyrighted or copyrightable matter, in any and all print, electronic, digital and other media now or hereafter known, for distribution, advertisement, publication, promotion, education, merchandising, and exploitation, and any other purpose whatsoever in connection with Integra's business including, but not limited to, use on posters, mailings, and other promotional or educational materials, and on Integra's web site or other web sites that advertise, promote or offer Integra's products or Services. Consultant agrees to indemnify and hold Integra harmless in the event a third party disputes Integra's right under this Agreement to its use of the Images.

Consultant acknowledges that Integra has no need for patient identifying information and Consultant agrees he will remove all patient identifying information before providing Images or the Material to Integra. Consultant hereby represents and warrants to Integra that he acted consistently with all applicable laws, regulations or directives governing the confidentiality of patient health information when generating the Material, including but not limited to the Health Insurance Portability and Accountability Act ("HIPAA"), ICH E6 guidelines and the Code of Federal Regulations. Consultant further represents and warrants that he obtained informed consent, if required, on an IRB-approved Informed Consent Form template from any patients included in the Material and that he will provide a copy of such Informed Consent Form, in blank, prior to starting work on the Material. Consultant additionally represents and warrants that he has obtained approval from the appropriate Institutional Review Board ("IRB"), if appropriate, and that he will provide documentation of such approval to Integra before starting work on the Material.

Consultant agrees that, upon Integra's request, he will support to have the Material published in a journal that is mutually agreeable to both Consultant and Integra, and that Integra shall have the right to provide input with regard to any such publication. No additional compensation shall be provided to

CONFIDENTIAL

6

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

Consultant by Integra related to any such publication.

9. **Publication and Public Disclosure Rights.**

9.1 Consultant shall not have the right to publish or otherwise publicly disclose the results of and disseminate information pertaining to any research or Consulting Services conducted by Consultant hereunder.

9.2 Integra shall be free to reproduce and publicly circulate complete copies or excerpts of all written reports which Consultant delivers to Integra. Any such reproduction and/or publication shall be entitled to use Consultant's name.

9.3 Consultant shall not use the name of Integra in any publicity, advertising, news release or promotional material without Integra's prior written approval.

9.4 The parties acknowledge that the restrictions contained in this Section 9 are reasonable and are necessary to protect the business and interest of the parties and that any violation of these restrictions by a party will cause substantial, irreparable injury to the other party. Accordingly, the parties further acknowledge that these restrictions may be specifically enforced in addition to any other remedies that the parties may have at law or in equity.

10. **Indemnification.** Consultant hereby agrees to indemnify the Integra Group and its licensees, officers, directors and shareholders against any and all claims, actions, proceedings, losses, liabilities and expenses, including reasonable costs of investigation and attorneys' fees, arising directly or indirectly out of (i) any breach of any of Consultant's obligations hereunder; or (ii) any negligence or willful misconduct of Consultant or of any employee, agent, officer or director of Consultant.

11. **Termination of Engagement.**

11.1 **Bases for Termination.** This Agreement shall terminate prior to the end of the Contract Period at the earlier to occur of the following events:

(a) **Termination by Integra.** Integra may terminate this Agreement at any time upon notice in writing to Consultant upon any of the following events:

- (i) a breach of any of the terms of this Agreement by Consultant;
- (ii) if Consultant is adjudged bankrupt or makes an assignment for the benefit of its creditors, or if a receiver, trustee, liquidator, custodian or the like is appointed or takes possession of all or substantially all of Consultant's assets, or if a petition is filed by or against Consultant under any federal or state law concerning bankruptcy, reorganization, insolvency or relief from creditors that is not dismissed within 60 days of filing, or if Consultant is failing to pay its debts as they become due or otherwise becomes insolvent;
- (iii) if Consultant is disabled or is otherwise unable to provide the Consulting Services; or
- (iv) Integra may terminate this Agreement at any time and for any reason by giving Consultant thirty (30) days prior written notice of such termination.

CONFIDENTIAL

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

(b) Termination for Cause by Consultant. Consultant may terminate this Agreement at any time upon notice in writing to Integra upon any of the following events:

(i) a material breach of the Agreement by Integra, which breach remains uncured thirty (30) days after giving written notice to Integra;

(ii) if Integra is adjudged bankrupt or makes an assignment for the benefit of its creditors, or if a receiver, trustee, liquidator, custodian or the like is appointed or takes possession of all or substantially all of Integra's assets, or if a petition is filed by or against Integra under any federal or state law concerning bankruptcy, reorganization, insolvency or relief from creditors that is not dismissed within 60 days of filing, or if Integra is failing to pay its debts as they become due or otherwise becomes insolvent.

11.2 Effect of Termination. Upon termination or expiration of this Agreement, Consultant agrees to discontinue any further work hereunder except to the extent that Consultant and Integra may otherwise agree and the respective rights and obligations of the parties shall terminate; provided that:

(a) Consultant shall be entitled to payment for the Consulting Services satisfactorily provided in accordance with this Agreement but unpaid as of the date of termination, plus all reasonable costs related to such Consulting Services which have been approved by Integra;

(b) the provisions of Sections 4.4, 5, 6, 7, 8, 9, 10 and 11 shall survive the expiration or termination of this Agreement; and

(c) Consultant shall return or destroy (at the option of Integra) any and all documents or other embodiments containing or constituting Confidential Information in its possession or control, without retaining any copies thereof.

12. Miscellaneous.

12.1 Certain Definitions. As used in this Agreement, the following terms shall have the following definitions:

"Affiliate" means with respect to a party to this Agreement, any corporation, company, partnership, joint venture and/or firm (i) which controls, is controlled by or is under common control with such party; (ii) in which such party or any parent or subsidiary owns or has a contractual right to acquire an equity interest; or (iii) which has been licensed by such party or its parent or subsidiary, or which has retained such party or its parent or subsidiary, to perform research with respect to or to commercially exploit such party's or its parent's or subsidiary's technological assets. For purposes of this paragraph, "control" means (i) in the case of corporate entities, direct or indirect ownership of at least twenty-five (25%) percent of the stock or participating shares entitled to vote for the election of directors; and (ii) in the case of non-corporate entities, direct or indirect ownership of at least twenty-five (25%) percent of the equity interest with the power to participate in the management and policies of such non-corporate entity.

"Integra Group" means Integra and its Affiliates.

12.2 Governing Law and Jurisdiction. This Agreement and any Schedules shall be governed by and construed in accordance with the laws of the State of New Jersey, not including the choice of law rules thereof. The parties consent to personal jurisdiction and venue for the courts of New

CONFIDENTIAL

8

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

Jersey and the United States District Court for the District of New Jersey, and each party hereby waives the right to a trial by jury in connection with any dispute arising under this Agreement.

12.3 **Independent Contractor.** In all respects, Consultant shall be deemed an independent contractor to Integra, exercising independent judgment as to the methods and means of providing the Consulting Services. Nothing within this Agreement shall be construed to create a partnership or a joint venture between Consultant and Integra, nor shall either party's employees, servants, agents or representatives be considered the employees, servants, agents or representatives of the other. Neither party shall have any express or implied right or authority to assume or create any obligation on behalf of or in the name of the other party, or to bind the other party to any contract, agreement or undertaking with any third party. Consultant hereby agrees that Consultant is responsible for all liabilities for income taxes, social security taxes and all other obligations which would be imposed upon Integra were Consultant to be an employee of Integra rather than an independent contractor; Consultant agrees to indemnify the Integra Group and hold the Integra Group harmless against any and all claims relating to such obligations.

12.4 **Waiver.** Neither the waiver by either of the parties hereto of a breach of or a default under any of the provisions of this Agreement, nor the failure of either of the parties on one or more occasions to enforce any of the provisions of this Agreement or to exercise any right or privilege hereunder shall thereafter be construed as a waiver of any subsequent breach or default of a similar nature, or as a waiver of any of such provisions, rights, or privileges hereunder or a release of any rights granted hereunder.

12.5 **Entire Agreement.** This Agreement, including all Schedules and other attachments hereto, constitute the entire agreement and understanding between the parties with respect to the subject matter hereof and supersedes any prior or contemporaneous negotiations, agreements, understandings or arrangements of any nature or kind with respect to the subject matter hereof. Notwithstanding the foregoing, to the extent the parties have entered into a Speakers Bureau Agreement, such Agreement shall not be superseded by this Agreement. Services provided under the Speakers Bureau Agreement shall be compensated in accordance with that Agreement and not under the terms of Schedule 1 attached hereto.

12.6 **Notices.** All notices, demands, requests or other communications which may be or are required to be given, sent or served pursuant to this Agreement shall be in writing and deemed effective when (a) delivered in person or (b) delivered by recognized overnight courier, or (c) sent by first-class certified or registered mail, return receipt requested, postage pre-paid, or (d) faxed to the numbers set forth below, with receipt confirmed, addressed to the parties at the following addresses, or as any party shall designate by written notice to the other parties:

To Integra:	Integra LifeSciences Corporation 311 Enterprise Drive Plainsboro, NJ 08536 Attention: Professional Programs Group With a copy to: General Counsel at the same address Phone: 609-275-0500 Fax: 609-275-1082
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If to Consultant:	[Name and Address of Healthcare Professional]
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CONFIDENTIAL

9

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

12.7 **Modification.** The provisions of this Agreement may not be changed, altered, modified, amended, rescinded, canceled or waived except by a writing executed by the parties.

12.8 **Assignment.** This Agreement is personal and Consultant shall not assign, subcontract, delegate, or otherwise transfer, in whole or in part, this Agreement or its obligations hereunder except with the prior written consent of Integra. Integra may, without consent, assign or delegate this Agreement (and/or its rights and responsibilities hereunder), in whole or in part. This Agreement shall be binding upon each party's successors and assigns as permitted hereunder.

12.9 **Third Party Beneficiaries.** Consultant acknowledges and agrees that the Affiliates of Integra are intended third party beneficiaries of this Agreement and all rights and benefits granted to Integra hereunder are intended to and shall run in favor of all such Affiliates, including any person hereinafter acquired by or which acquires Integra or any of its Affiliates by merger, sale or exchange of stock, consolidation, purchase of assets or otherwise. Except as stated in the foregoing sentence and in Section 7 (Relating to Confidentiality) of this Agreement, it is the explicit intention of the parties hereto that no person or entity other than the parties hereto is or shall be entitled to bring any action to enforce any provision of this Agreement against any of the parties hereto, and that the covenants, undertakings and agreements set forth in this Agreement shall be solely for the benefit of and shall be enforceable only by the parties hereto and their respective successors and assigns as permitted hereunder.

12.10 **Validity of Agreement.** If any term or provision of this Agreement shall be found to be illegal, invalid or unenforceable, then notwithstanding such illegality, invalidity or unenforceability, this Agreement shall remain in full force and effect, and such term or provision shall be deemed to be deleted.

12.11 **Remedies and Equitable Relief.** No remedy herein conferred is intended to be exclusive of any other remedy, and each and every such remedy shall be cumulative and shall be in addition to every other remedy given hereunder or now or hereafter existing at law or in equity or by statute or otherwise. Consultant acknowledges that damages alone will not be an adequate remedy for any breach or violation of its obligations hereunder and that, in addition to any other remedies to which Integra may be entitled hereunder or otherwise, Integra shall be entitled to injunctive relief, including specific performance, with respect to such obligations in any court of competent jurisdiction. Consultant acknowledges that the business and products of the Integra Group have worldwide applications and that the restrictions in this Agreement are therefore properly without any geographic limitations. If any of the provisions of this Agreement are held to be an unreasonable restriction upon Consultant in any respect, then those provisions shall be deemed to extend only over the maximum period of time, geographic area or range of activities as to which they may be enforceable.

12.12 **Survival of Obligations.** The termination or expiration of this Agreement shall not affect vested rights of any party hereto existing as of the date of such termination or expiration, or other obligations expressly intended to survive the termination or expiration hereof.

12.13 **Further Actions.** The parties hereto hereby agree to take or cause to be taken such further actions as may be necessary or as may be reasonably requested in order to fully effectuate the purposes, terms and conditions of this Agreement.

12.14 **Headings.** Headings are for convenience of reference only and not for interpreting the provisions of this Agreement.

CONFIDENTIAL

10

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

12.15 Counterparts. This Agreement may be executed in any number of counterparts and by either party on separate counterpart, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their respective duly authorized representatives.

INTEGRA LIFESCIENCES CORPORATION
("Integra")

By: _____
Name: _____
Title: _____
Date: _____

("Consultant")

By: _____
[Name of Healthcare Professional]
Date: _____

CONFIDENTIAL

11

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

SCHEDULE I

to CONSULTING AGREEMENT between
INTEGRA LIFESCIENCES CORPORATION and [Name of Healthcare Professional]

1. Fee for Consulting Services. For the Consulting Services satisfactorily provided by Consultant in accordance with this Agreement, Integra shall pay Consultant U.S. Dollars (\$) per hour, up to a maximum of U.S. Dollars (\$) per day. A "day" of Consulting Services shall be defined as an eight (8) hour period of Consulting Services performed by Consultant. Consultant shall complete Exhibit A of this Schedule I indicating hours spent and a brief description of the Consulting Services performed. Exhibit A will be reviewed by Integra on a quarterly basis prior to paying consultant for Consulting Services. All fees are payable in arrears within thirty (30) days of Integra's receipt of documentation from Consultant as provided in Paragraph 3 of this Schedule I.

Consultant shall be compensated for all travel time incurred in relation to the Consulting Services at a rate of U.S. Dollars (\$) per hour, beginning when the Consultant leaves his or her home or office, and ending when he or she reaches the final destination for performance of the Consulting Services (and for the return trip thereafter). Consultant shall not be reimbursed for more than eight (8) hours per day of travel time, and when travel and Consulting Services occur on the same calendar day, the total amount of reimbursable and compensable time shall not exceed eight (8) hours in total. Consultant represents and warrants that these fees are consistent with amounts charged to other corporate and industrial purchasers of comparable Consulting Services, and represent the fair market value of the services to be provided.

2. Consulting Services to Be Performed. Consultant shall provide the following Consulting Services:

- a. work with Integra to exchange ideas and information regarding existing and potential products, including but not limited to suggestions regarding the marketing of products and the development of improvements to existing products and new products;
- b. act as a clinical advisor to Integra for existing and potential products and provide on-call advice to Integra clinical, clinical education, sales and marketing personnel about medical issues and products and on-call advice to Integra's customers about product usage and techniques;
- c. perform such other work related to marketing and product development of Integra existing and potential products as may be requested from time to time by Integra;
- d. attend and contribute to regular meetings at mutually agreed locations and times, with Integra staff to discuss and review issues related the above work responsibilities. Consultant shall attend such meetings in person or by telephone at Integra's discretion;
- e. review technical protocols and adverse event reports;
- f. assist with regulatory matters and risk analyses; and
- g. report to Integra in a timely manner all results of the work set forth herein.

Unless directly related to and done in conjunction with the Consulting Services described above,

CONFIDENTIAL

12

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

E-mail Showing Changes to Agreement

Consulting Services do not include: presentations on behalf of Integra or paid for by Integra of scientific, clinical and/or related professional information; clinical product training services, including but not limited to presentation at and participation in training courses sponsored by Integra; internal presentations to Integra employees, directors, agents, and representatives; or practical demonstrations of Integra Products as may be requested from time to time by Integra. Such services may be the subject of a separate agreement with Integra.

3. **Documentation of Consulting Services.** Consultant shall maintain proper and complete records of the Consulting Services provided. Such documentation shall include at a minimum a description of the precise services provided, the hours devoted to providing such services, and the dates such services were provided. Such documentation shall also include a log of telephone calls and other conversations and correspondence.

Consultant shall provide such documentation to Integra within fifteen (15) days after the end of each calendar quarter of the term of the Agreement. Consultant shall permit a representative of Integra to examine and copy Consultant's books and records relating to Consulting Services performed under this Agreement, at regular intervals during regular business hours, to confirm the amounts paid or to be paid by Integra under this Schedule I.

INTEGRA LIFESCIENCES CORPORATION
("Integra")

By: _____
Name: _____
Title: _____
Date: _____

("Consultant")

By: _____
[Name of Healthcare Professional]
Social Security No.: _____
Date: _____

Report on Special Investigation of the
University of Iowa Health Care
Department of Orthopaedics and Rehabilitation

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Exhibit A to Schedule I
Quarterly Hours Report

<hr/>		<hr/>
Consultant		Quarter/Year

Date	Comments/Description*	Time Spent in Hours

Report on Special Investigation of the
University of Iowa Health Care
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Certain Checks Deposited to Hills Bank

VERIFY THE AUTHENTICITY OF THIS MULTI-TONE SECURITY DOCUMENT. THERMOCHROMIC INK SECURE MARK ON BACK, CHANGES COLOR WITH HEAT.

Tyson P.O. BOX 2020 Springdale, ARKANSAS 72765-2020

VOID after 90 Days

CHECK NO. 0010583240

DATE 02/09/2009

J.P. Morgan Chase Bank NA
Syosset, NY 11320
Controlled Check Acct
80-237/270

CHECK AMOUNT *****\$345.00

PAY *** THREE HUNDRED FORTY-FIVE USD and 00/100 ***

TO THE ORDER OF BRIAN DAVID ADAMS
UIHC ORTHOPAEDICS
ADAMS BRIAN
3873 FOREST GATE DR NE
IOWA CITY IA 52240

James Featherby
Treasurer

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

LIPPINCOTT WILLIAMS & WILKINS
A Wolters Kluwer Company
330 Walnut Street
Philadelphia, PA 19106

Me T Bank
Baltimore, MD

ROYALTY CHECK

CHECK NO. 091110

05/23/09 *****\$33.40

PAY THIRTY-THREE DOLLARS AND 40 CENTS *****

TO THE ORDER OF BRIAN D ADAMS
UNIV OF IOWA ORTHOPAEDICS
200 HAWKINS DRIVE
IOWA CITY IA 52242

Boyd F. Rizzo
AUTHORIZED SIGNATURE

5556

SCHAFFER LAW OFFICE
PROF. LLC
PH (605) 274-6760
412 WEST 9TH STREET STE. 1
SIOUX FALLS, SD 57104

FIRST SAVINGS BANK
SIOUX FALLS, SD 57103-1914
78-883-814

05/04/09

PAY TO THE ORDER OF Dr. Brian Adams \$ **1,950.00

One Thousand Nine Hundred Fifty and 00/100 ***** DOLLARS

Dr. Brian Adams
University of Iowa Hospital
200 Hawkins Drive
Iowa City, IA 52242

MEMO [REDACTED] record review/opinion

Michael J. Schaffer