

**Committee on Science, Space, and Technology
U.S. House of Representatives
Witness Disclosure Requirement - "Truth in Testimony"
Required by House Rule XI, Clause 2(g)(5)**

1. Your Name: <i>James D. Luther</i>		
2. Are you testifying on behalf of the Federal, or a State or local government entity?	Yes	No <input checked="" type="checkbox"/>
3. Are you testifying on behalf of an entity that is not a government entity?	Yes <input checked="" type="checkbox"/>	No
4. Other than yourself, please list which entity or entities you are representing: <i>Duke University / Council on Governmental Relations</i>		
5. Please list any Federal grants, cooperative agreements, or contracts (including subgrants or subcontracts) that you or the entity you represent have received on or after October 1, 2012: <i>see attached</i>		
6. Please list any foreign government payments that you or the entity you represent have received on or after October 1, 2012: <i>see attached</i>		
7. If your answer to the question in item 3 in this form is "yes," please describe your position or representational capacity with the entity(ies) you are representing: <i>Duke University: Assoc. VP Finance COGR: Chair of Board</i>		
8. If your answer to the question in item 3 is "yes," do any of the entities disclosed in item 4 have parent organizations, subsidiaries, or partnerships that you are not representing in your testimony?	Yes	No <input checked="" type="checkbox"/>
9. If the answer to the question in item 3 is "yes," please list any Federal grants, cooperative agreements, or contracts (including subgrants or subcontracts) that were received by the entities listed under the question in item 4 on or after October 1, 2012, that exceed 10 percent of the revenue of the entities in the year received, including the source and amount of each grant or contract to be listed: <i>N/A</i>		

I certify that the above information is true and correct.

Signature: *James D. Luther*

Date: *9/20/16*

Attachments and Supporting Materials – Truth in Testimony

5. Please list any Federal Grants, cooperative agreements, or contracts (including subgrants or subcontracts) that you or the entity that you represent have received on or after October 1, 2012:

<https://finance.duke.edu/resources/docs.php>

See the following in link above for details:

Fiscal Year 2014/2015 OMB Circular A-133 Reports (pdf)

Previous Years A-133 Reports

Fiscal Year 2013/2014 OMB Circular A-133 Reports (pdf)

Fiscal Year 2012/2013 OMB Circular A-133 Reports (pdf)

Fiscal Year 2011/2012 OMB Circular A-133 Reports (pdf)

Amount	Jul-13	Name	Country
	1,879,284	DR REDDYS LABORATORIES LTD	India
	10,482,000	SANOFI-AVENTIS RECHERCHE	France
	13,886,257	ASTRAZENECA AB R&D MOLANDAL	Sweden
	271,412	OAK FOUNDATION	Switzerland
	319,047	RADIATION EFFECTS RESEARCH FNDN	Japan
	4,435,507	University of Nazarbayev	Kazakstan
	310,756	KILIMANJARO CHRISTIAN MEDICAL CTR	Tanzania
	275,735	Alcon Laboratories	Switzerland
	270,229	Jacobs Foundation	Switzerland
	1,000,000	Tor Peterson	Switzerland
	255,000	Luis Enrique Alvarez-Ortega	UK
	33,385,227		

January 2014 Amount	Name	Country
1,550,456.61	DR REDDYS LABORATORIES LTD	India
10,089,292.35	SANOFI-AVENTIS RECHERCHE	France
10,724,308.34	ASTRAZENECA AB R&D MOLANDAL	Sweden
276,054.39	F HOFFMANN-LA ROCHE LTD	Switzerland
378,367.50	3IE	India
4,998,718	University of Nazarbayev	Kazakstan
400,000	De Persgroep	Belgium
502,000	Itau Unibanco S.A.	Brazil
356,843	Royal College of Surgeons in Ireland	Ireland
271,365	Jacobs Foundation	Switzerland

Amount	Jul-14	Name	Country
	1,879,284	DR REDDYS LABORATORIES LTD	India
	10,482,000	SANOFI-AVENTIS RECHERCHE	France
	13,886,257	ASTRAZENECA AB R&D MOLANDAL	Sweden
	271,412	OAK FOUNDATION	Switzerland
	319,047	RADIATION EFFECTS RESEARCH FNDN	Japan
	4,435,507	University of Nazarbayev	Kazakstan
	310,756	KILIMANJARO CHRISTIAN MEDICAL CTR	Tanzania
	275,735	Alcon Laboratories	Switzerland
	270,229	Jacobs Foundation	Switzerland
	1,000,000	Tor Peterson	Switzerland
	255,000	Luis Enrique Alvarez-Ortega	UK
	33,385,227		

(15,236,418.06) ASTRAZENECA AB R&D MOLANDAL Total	Dec-14 Country
(360,711.05) CSL LIMITED Total	Sweden
(3,507,667.57) DR REDDYS LABORATORIES SA Total	Australia
(832,491.00) HUNT OIL EXPLORATION & PRODUCTION Total	India
(1,433,095.00) OAK FOUNDATION Total	Peru
(654,003.00) RWANDA MINISTRY OF HEALTH Total	Switzerland
(16,696,513.08) SANOFI-AVENTIS RECHERCHE Total	Rwanda
(496,099.44) UNIVERSITY OF BRITISH COLUMBIA Total	France
4,435,507.00 University of Nazarbayev	British Columbia
1,500,000.00 Tor Peterson	Kazakstan
619,294.00 Guido Matton	Switzerland
	Belgium

Jul-15

Row Labels	Country	Amount
AJINOMOTO CO INC	Japan	350,719
ASTRAZENECA AB R&D MOLANDAL	Sweden	15,726,616
CSL LIMITED	Australia	489,243
DR REDDYS LABORATORIES SA	India	1,708,096
HUNT OIL EXPLORATION & PRODUCTION	Peru	539,464
RWANDA MINISTRY OF HEALTH	Rwanda	1,454,431
SANOFI-AVENTIS RECHERCHE	France	10,914,869
University of Nazarbayev	Kazakstan	3,883,059
Tor Peterson	Switzerland	1,500,000

Row Labels	Country	Date
ASTRAZENECA AB R&D MOLANDAL	Sweden	7/1/15 - 12/31/15
DR REDDYS LABORATORIES SA	India	7/1/15 - 12/31/15
HAMILTON HEALTH SCIENCES	Canada	7/1/15 - 12/31/15
HUNT OIL EXPLORATION & PRODUCTION	Peru	7/1/15 - 12/31/15
KILIMANJARO CHRISTIAN MEDICAL CTR	Tanzania	7/1/15 - 12/31/15
SANOFI-AVENTIS RECHERCHE	France	7/1/15 - 12/31/15
University of Nazarbayev	Kazakhstan	7/1/15 - 12/31/15
Patrick Deane	France	7/17/15
3R International Co., Ltd.	Uganda	7/1/15 - 12/31/15
Total		

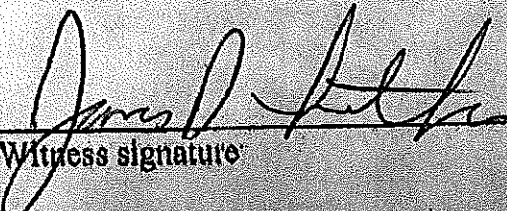
4,744,332	Company
444,170	Company
436,350	Company
354,062	Company
450,222	Company
25,458,640	Company
3,883,059	Company
300,000	Individual
300,000	Company
36,370,835	

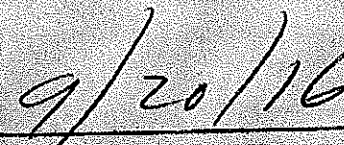
Name	Amount	Country	Type	Date
SANOI-AVENTIS RECHERCHE	17,606,870	France	Company	1/1/2016 - 6/30/16
ASTRAZENECA AB R&D MOLANDAL	3,546,389	Sweden	Company	1/1/2016 - 6/30/16
THERAVANCE BIOPHARMA R&D INC	252,954	Cayman Islands	Company	1/1/2016 - 6/30/16
RWANDA MINISTRY OF HEALTH	366,221	Rwanda	Company	1/1/2016 - 6/30/16
University of Nazarbayev	3,273,460	KZ	Company	1/1/2016 - 6/30/16
Nigel Bolton	800,000	UK	Individual	1/1/2016 - 6/30/16
Louis-Vincent Gave	655,000	Hong Kong	Individual	1/1/2016 - 6/30/16
Tor Carmichael Peterson	500,190	Switzerland	Individual	1/1/2016 - 6/30/16
Yibing Mao	332,000	Hong Kong	Individual	1/1/2016 - 6/30/16
Patrick Deane	300,000	Bolivia	Individual	1/1/2016 - 6/30/16
Alcon Laboratories	275,317	Switzerland	Company	1/1/2016 - 6/30/16

Enclosure 4

False Statements Act Certification

You are specifically advised that providing false information to this Committee/Subcommittee, or concealing material information from this Committee/Subcommittee, is a crime, and you can be punished for that. If you acknowledge this, please sign the bottom of this form and return to the Committee. This form will be made part of the hearing record.


Witness signature


Date