

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 <u>you or the entity you represent have received</u> on or after October 1, 2013: <i>see attached</i>		
6. Please list any foreign government payments that <u>you or the entity you represent have received</u> on or after October 1, 2013: <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</i> <i>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, 2013, 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.

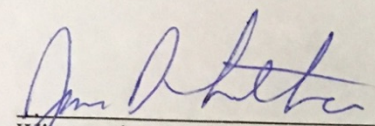
Signature: *James D. Luther* Date: *5/20/17*

Enclosure 4

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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

5/20/17  
\_\_\_\_\_  
Date

**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**  
(360,711.05) **CSL LIMITED Total**  
(3,507,667.57) **DR REDDYS LABORATORIES SA Total**  
(832,491.00) **HUNT OIL EXPLORATION & PRODUCTION Total**  
(1,433,095.00) **OAK FOUNDATION Total**  
(654,003.00) **RWANDA MINISTRY OF HEALTH Total**  
(16,696,513.08) **SANOFI-AVENTIS RECHERCHE Total**  
(496,099.44) **UNIVERSITY OF BRITISH COLUMBIA Total**  
4,435,507.00 **University of Nazarbayev**  
1,500,000.00 **Tor Peterson**  
619,294.00 **Guido Matton**

**Dec-14** Country  
Sweden  
Australia  
India  
Peru  
Switzerland  
Rwanda  
France  
British Columbia  
Kazakstan  
Switzerland  
Belgium

Jul-15

<b>Row Labels</b>	<b>Country</b>	<b>Amount</b>
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
<b>University of Nazarbayev</b>	Kazakstan	3,883,059
Tor Peterson	Switzerland	1,500,000



Row Labels	Country			Date
ASTRAZENECA AB R&D MOLANDAL	Sweden	4,744,332	Company	7/1/15 - 12/31/15
DR REDDYS LABORATORIES SA	India	444,170	Company	7/1/15 - 12/31/15
HAMILTON HEALTH SCIENCES	Canada	436,350	Company	7/1/15 - 12/31/15
HUNT OIL EXPLORATION & PRODUCTION	Peru	354,062	Company	7/1/15 - 12/31/15
KILIMANJARO CHRISTIAN MEDICAL CTR	Tanzania	450,222	Company	7/1/15 - 12/31/15
SANOFI-AVENTIS RECHERCHE	France	25,458,640	Company	7/1/15 - 12/31/15
University of Nazarbayev	Kazakstan	3,883,059	Company	7/1/15 - 12/31/15
Patrick Deane	France	300,000	Individual	7/17/15
3R International Co., Ltd.	Uganda	300,000	Company	7/1/15 - 12/31/15
Total		36,370,835		

<b>Name</b>	<b>Amount</b>	<b>Country</b>	<b>Type</b>	<b>Date</b>
SANOFI-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