

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

RECEIVED
SECRETARY OF THE SENATE
PUBLIC RECORDS

03 AUG -4 PM 1:50

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required To Complete This Page

| | | | |
|--|----------------|-------------------|----------------|
| 1. Registrant Name The Trustees of Columbia University in the City of New York | | | |
| 2. Address <input checked="" type="checkbox"/> Check if different than previously reported 535 West 116th Street, 302 Low Library | | | |
| 3. Principal Place of Business (if different from line 2) City: New York State/Zip (or Country) New York, 10027 | | | |
| 4. Contact Name | Telephone | E-mail (optional) | 5. Senate ID # |
| Ellen S. Smith | (212) 854-3394 | ess9@columbia.edu | 388 |
| 7. Client Name: <input type="checkbox"/> Self | | | 6. House ID # |
| Self | | | 3088 |

TYPE OF REPORT 8. Year 2003 Midyear (January 1-June 30) OR Year End (July 1-Dec)

9. Check if this filing amends a previously filed version of this report

10. Check if this is a Termination Report ⇨ Termination Date _____

11. No Lobbying

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

| 12. Lobbying Firms | 13. Organizations |
|--|---|
| INCOME relating to lobbying activities for this reporting period was: | EXPENSES relating to lobbying activities for this reporting period were: |
| Less than \$10,000 <input type="checkbox"/> | Less than \$10,000 <input type="checkbox"/> |
| \$10,000 or more <input type="checkbox"/> ⇨ \$ _____ Income (nearest \$20,000) | \$10,000 or more <input checked="" type="checkbox"/> ⇨ \$ <u>100,000</u> Expenses (nearest \$20,000) |
| Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client). | 14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description of |
| | <input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definition |
| | <input type="checkbox"/> Method B. Reporting amounts under section 60 Internal Revenue Code |
| | <input type="checkbox"/> Method C. Reporting amounts under section 16 Internal Revenue Code |

Signature _____

Printed Name and Title

Emily Lloyd, Executive Vice President

Registrant Name Columbia University Client Name Self

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

535 West 116th Street, 302 Low Library

21. Client new principal place of business (if different from line 20)

City New York

State/Zip (or Country) New York, 10027

22. New general description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

ISSUE UPDATE

24. General lobbying issues previously reported that no longer pertain

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

| Name | Address | Principal Place of Business (city and state or country) |
|------|---------|---|
| | | |

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

FOREIGN ENTITIES

27. Add the following foreign entities

| Name | Address | Principal place of business (city and state or country) | Amount of contribution for lobbying activities | Overseas |
|------|---------|---|--|----------|
| | | | | |

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, affiliated organization

Signature _____

Date _____

6
6
6
6
2
4
1
6
6
6

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code APP (one per page)

16. Specific lobbying issues

H.R.2673/S.1427 – USDA Appropriations for FY2004

H.R.2799 – Commerce, Justice and State Appropriations for FY2004

H.R.2658/S.1382 – Defense Appropriations for FY2004

H.R.2754/S.1424 – Energy and Water Appropriations for FY2004

H.R.2800/S.1426 – Foreign Operations Appropriations for FY2004

H.R.2555 – Homeland Security Appropriations for FY2004

H.R.2691/S.1391 – Interior Appropriations for FY2004

H.R.2660S.1356 – Labor, Health and Human Services, and Education Appropriations for FY2004

Issues Related to Science Funding and Education Funding Check if None

17. House(s) of Congress and Federal agencies contacted

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

00000241637

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant is lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code BUD (one per page)

16. Specific lobbying issues

H.Con.Res.95 – Budget Resolution for FY2004

S.Con.Res.23 – Budget Resolution for FY2004

Health, education, tax, science issues of importance to universities.

17. House(s) of Congress and Federal agencies contacted

Check if None

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____ Date _____

Registrant Name Columbia University

Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbied on behalf of the client during the reporting period. Using a separate page for each code, provide information as needed. Attach additional page(s) as needed.

15. General issue area code CPT (one per page)

16. Specific lobbying issues

H.R.2391 – Cooperative Research and Technology Enhancement Act of 2003

H.R.1417 – Copyright Royalty and Distribution Reform Act of 2003

H.R.2344/S.1191 – Intellectual Property Protection Restoration Act of 2003

H.R.2517 – Piracy Deterrence and Education Act of 2003

H.R.234 – Digital Media Consumers' Rights Act of 2003

Intellectual Property Issues with Relevance to Higher Education

17. House(s) of Congress and Federal agencies contacted

Check if None

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

Registrant Name Columbia University

Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code EDU (one per page)

16. Specific lobbying issues

H.R.2660/S.1356 – Labor, Health and Human Services, and Education Appropriations for FY2004

S.174 – Tuition Assistance for Families Act

S.184 – To amend section 401 (b)(2) of the Higher Education Act of 1965 regarding the Federal Pell Grant maximum amount

S.256 – CARE Act of 2003

S.272 – Charity Aid, Recovery, and Empowerment Act of 2003

S.309 – Aeronautics Research and Development Revitalization Act

S.348 – Make College Affordable Act of 2003

Issues Related to Higher Education Funding

17. House(s) of Congress and Federal agencies contacted

Check if None

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|--|
| Ellen S. Smith | Assistant Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

Registrant Name Columbia University

Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code HCR (one per page)

16. Specific lobbying issues

H.R.2660/S.1356 – Labor, Health and Human Services, and Education Appropriations for FY2004

H.R.328/S.652 – Access to Hospitals Act of 2003

H.R.534/S.245 – Human Cloning Prohibition Act of 2003

H.R.801 – Cloning Prohibition Act of 2003

H.R.916 – Human Cloning Research Prohibition Act

H.R.938 – Human Cloning Prevention Act of 2003

H.R.2356 – Prescription Drug Comparative Effectiveness Act of 2003

S.314 – Foundation for the National Institutes of Health Improvement Act

S.415 – Consumer Involvement in Breast Cancer Research Act Check if None

Issues Related to Research Funding, Health Profession Funding, Community Health Care Funding, Graduate Medical Education, Physician Payment.

17. House(s) of Congress and Federal agencies contacted

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code HS (one per page)

16. Specific lobbying issues

S.6 – Comprehensive Homeland Security Act of 2003

S.28 – To amend provisions of the Homeland Security Act of 2002 relating to the establishment of university-based centers Homeland Security.

S.41 – To strike certain provisions of the Homeland Security Act of 2002 and for other purposes.

S.479 – Protect American Scholarships of 2003

S.589 – Homeland Security Federal Workforce Act

S.910 – Non-Homeland Security Mission Performance Act 2003

Issues Related to Scientific Research

17. House(s) of Congress and Federal agencies contacted

Check if None

U.S. House of Representatives

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code IMM

16. Specific lobbying issues
S. 1749 / H.R. 1885 / H.R. 3525 – Enhanced Border Security Act
S. 1627 – Visa Entry Reform Act

Issues related to international student and scholar visas.

17. House(s) of Congress and Federal agencies contacted Check if None

U.S. House of Representatives
U.S. Senate
Department of Justice

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|--|
| Ellen S. Smith | Assistant Vice President and Director of Government Relation |
| Susan Long | Assistant Director of Governmen Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above Check if None

Signature _____ Date _____

Printed Name and Title Emily Lloyd, Executive Vice President

Form LD-2 (Rev.6/98)

Page 9

Registrant Name Columbia University

Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as required. Attach additional page(s) as needed.

15. General issue area code SCI (Cont.)

16. Specific lobbying issues

H.R.6 – To enhance energy conservation and research and development, to provide for security and diversity in the energy supply for the American people, and for other purposes.

H.R.34 – Energy and Science Research Investment Act of 2003

H.R.125 – To re-establish the Office of Technology Assessment

H.R.238 – Energy Research, Development, Demonstration, and Commercial Application Act of 2003

H.R.283 – Nanoscience and Nanotechnology Advisory Board Act of 2003

H.R.586/S.309 – Aeronautics Research and Development Revitalization Act of 2003

H.R.766 – Nanotechnology Research and Development Act of 2003

Issues Related to Scientific Research and Policy

Check if None

17. House(s) of Congress and Federal agencies contacted

U.S. House of Representatives

U.S. Senate

Office of Science and Technology Policy

Department of Agriculture

Department of Commerce

NOAA

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|---|
| Ellen S. Smith | Assistant Vice President and Director of Government Relations |
| Susan Long | Assistant Director of Government Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

0
0
0
0
4
1
0
4
5

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code SCI (Cont.)

16. Specific lobbying issues

H.R.824 – Research on High-Performance Networking for Science Education Act

H.R.852 – Environmental Health Research Act of 2003

H.R.1085 – NASA Flexibility Act of 2003

H.R.1645 – To establish a research, development, and demonstration program in genetics, protein science, and computation of microbes and plants to support the energy and environmental mission of the Department of Energy.

H.R.1774 – Freedom Act

H.R.1777 – To provide for the establishment at the Department of Energy of a program for hydrogen fuel cell vehicles and infrastructure, and for other purposes.

Issues Related to Scientific Research and Policy

Check if None

17. House(s) of Congress and Federal agencies contacted

U.S. House of Representatives

U.S. Senate

Office of Science and Technology Policy

Department of Agriculture

Department of Commerce

NOAA

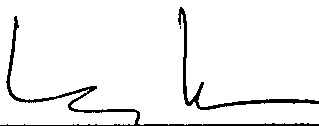
18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|--|
| Ellen S. Smith | Assistant Vice President and Director of Government Relation |
| Susan Long | Assistant Director of Governmen Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature



Date

7/30/03

Registrant Name Columbia University

Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant is lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code SCI (one per page)

16. Specific lobbying issues

S.139 – Climate Stewardship Act of 2003

S.189 – 21st Century Nanotechnology Research and Development Act

S.309/H.R.586 – Aeronautics Research and Development Revitalization Act of 2003

S.600 – Fusion Development Act of 2003

S.610 – NASA Workforce Flexibility Act of 2003

S.915 – Energy and Science Research Investment Act of 2003

S.1047 – Department of Defense Authorization Act for FY2004

S.1049 – Department of Energy National Security Act for FY2004

Issues Related to Scientific Research and Policy

Check if None

17. House(s) of Congress and Federal agencies contacted

U.S. House of Representatives

U.S. Senate

Office of Science and Technology Policy

Department of Agriculture

Department of Commerce

NOAA

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|--|
| Ellen S. Smith | Assistant Vice President and Director of Government Relation |
| Susan Long | Assistant Director of Governmen Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above

Check if None

Signature _____

Date _____

00000241647

Registrant Name Columbia University Client Name Self

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as Attach additional page(s) as needed.

15. General issue area code TAX (one per page)

16. Specific lobbying issues

- H.R.129 – Income tax deduction for college tuition
- HR.442 – HOPE tax credit to cover fees, books, supplies and equipment
- H.R.826 – To repeal limits that apply to higher education tuition deduction
- H.R.2150 – HOPE and lifetime learning tax credits refundable
- S.174 – To increase higher education deduction to \$ 12,000
- S.348 – To increase higher education deduction to \$ 12,000
- H.R.1304 – To convert SLID into a credit equal to one-half of student loan interest paid
- H.R.7 – Charitable Giving Act of 2003

Tax issues of relevance to not-for-profit institutions and to students. Check if None

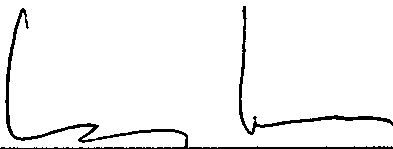
17. House(s) of Congress and Federal agencies contacted

- U.S. House of Representatives
- U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | Covered Official Position (if applicable) |
|-----------------|--|
| Ellen S. Smith | Assistant Vice President and Director of Government Relation |
| Susan Long | Assistant Director of Governmen Relations |
| Catherine Dente | Government Relations Associate |
| | |
| | |
| | |
| | |
| | |

19. Interest of each foreign entity in the specific issues listed online 16 above Check if None

Signature 

Date 7/31/03

Printed Name and Title Emily Lloyd, Executive Vice President

Form LD-2 (Rev.6/98)

Page 14