

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

SECRET/1A

07 FEB

## LOBBYING REPO

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

1. Registrant Name ☒ Organization ☐ Individual

THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK

2. Address ☐ Check if different than previously reported

Address1 535 WEST 116TH ST

Address2 302 LOW LIBRARY

City NEW YORK

State

NY

Zip Code 10027

Cou

3. Principal place of business (if different than line 2)

City

State

Zip Code

Cou

4a. Contact Name

b. Telephone Number

c. E-mail

5. Sen

Ms. ELLEN S. SMITH

(212) 854-3394

ESS9@COLUMBIA.EDU

3858

7. Client Name

☒ Self

6. Hou

THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK

3088

### TYPE OF REPORT

8. Year 2006

Midyear (January 1-June 30) ☐

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 Acti

### INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

#### 12. Lobbying

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000 ☐

\$10,000 or more ☐

\$

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).

#### 13. Organizations

EXPENSE relating to lobbying activities for this were:

Less than \$10,000 ☐

\$10,000 or more ☒

\$ 100,000.00

#### 14. REPORTING

Check box to indica

accounting method. See instructions for descripti

☒ Method A. Reporting amounts using LDA definitic

☐ Method B. Reporting amounts under section 6032 Internal Revenue Code

☐ Method C. Reporting amounts under section 162( Revenue Code

Signature

*Ellen S. Smith*

Date

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**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 requested. Attach additional page(s) as needed.

15. General issue area code

BUD

### Budget/Appropriations

(one per page)

## 16. Specific lobbying issues

HR5672 Science/State/Justice/Commerce; HR5631 Defense; HR5427 Energy & Water; HR5522 Foreign Operations; HHS Homeland Security; HR5386 Interior & Environment; HR5647 Labor/HHS/Education; S3708 Labor/HHS/Education; All relating to science, healthcare and education funding

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

☐ Check if None☒ House☒ Senate

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

[illegible]

**19. Interest of each foreign entity in the specific issues listed on line 16 above**

☒ Check if None



**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 requested. Attach additional page(s) as needed.

15. General issue area code

CPT

Copyright/Patent/Trademark

(one per page)

16. Specific lobbying issues

S. 2686 Communications, Consumer's Choice Act of 2006; H.R. 5252 Communications Opportunity, Promotion, and Enhancement Act of 2006; H.R. 2795 Patent Reform Act of 2005; H.R. 5439 Orphan Works Act of 2006; All provisions relating to intellectual property issues with relevance to higher education

17. House(s) of Congress and Federal agencies

☐ Check if None☒ House☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

☒ Check if None

000032320



**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 requested. Attach additional page(s) as needed.

15. General issue area code

EDU

Education

(one per page)

16. Specific lobbying issues

HR5647 Labor/HHS/Education; H.R. 6138 Third Higher Education Extension Act of 2006; H.R. 609 The college access Opportunity Act; S. 1614 The Higher Education Amendments Act ; All provisions relating to higher education funding and

17. House(s) of Congress and Federal agencies

☐ Check if None

☒ House

☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

☒ Check if None

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**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 requested. Attach additional page(s) as needed.

15. General issue area code ENG Energy/Nuclear (one per page)

16. Specific lobbying issues

HR5427 Energy & Water; All provisions relating to scientific research and education

17. House(s) of Congress and Federal agencies ☐ Check if None ☒ House ☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

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**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 requested. Attach additional page(s) as needed.

15. General issue area code

HCR

Health Issues

(one per page)

16. Specific lobbying issues

H.R. 810 Stem Cell Research Enhancement Act; All provisions relating to scientific and public health research and training and policy

17. House(s) of Congress and Federal agencies

☐ Check if None☒ House☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

☒ Check if None

**Printed Name and Title** ELLEN S. SMITH, ASSISTANT VP AND DIRECTOR OF GOVERNMENT RELATIONS

v5.0.0j

**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 requested. Attach additional page(s) as needed.

15. General issue area code HOM Homeland Security (one per page)

16. Specific lobbying issues

HR5441 Homeland Security Appropriations Act; All provisions relating to scientific research and education

17. House(s) of Congress and Federal agencies ☐ Check if None ☒ House ☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

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**Printed Name and Title** ELLEN S. SMITH, ASSISTANT VP AND DIRECTOR OF GOVERNMENT RELATIONS

v5.0.0]

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15. General issue area code

MED

Medical/Disease Research/Clinical Labs

(one per page)

16. Specific lobbying issues

HR5647 Labor/HHS/Education Appropriations Act; H.R. 4239 Animal Enterprise Terrorism Act; H.R. 6164 NIH Reform 2006; All provisions relating to scientific and public health research and training funding and policy

17. House(s) of Congress and Federal agencies

☐ Check if None☒ House☒ Senate

National Institutes of Health

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

☒ Check if None

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15. General issue area code MMM Medicare/Medicaid (one per page)

16. Specific lobbying issues

HR5647 Labor/HHS/Education Appropriations Act; All provisions relating to financing of hospitals, medical education and physicians

17. House(s) of Congress and Federal agencies ☐ Check if None ☒ House ☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

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v5.0.0j

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15. General issue area code

SCI

Science/Technology

(one per page)

16. Specific lobbying issues

HR5672 Science/State/Justice/Commerce; HR5631 Defense; HR5427 Energy & Water; HR5647 Labor/HHS/Education Labor/HHS/Education; H.R. 5358 Science and Mathematics Education for Competitiveness Act; H.R. 5356 Research for Competitiveness Act;

17. House(s) of Congress and Federal agencies

☐ Check if None☒ House☒ Senate

National Science Foundation; National Oceanic and Atmospheric Administration; U.S. Agency for International Development

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

☒ Check if None

**Printed Name and Title** ELLEN S. SMITH, ASSISTANT VP AND DIRECTOR OF GOVERNMENT RELATIONS

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S. 2802 American Innovation and Competitiveness Act of 2006; All provisions relating to scientific research funding an

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**Printed Name and Title** ELLEN S. SMITH, ASSISTANT VP AND DIRECTOR OF GOVERNMENT RELATIONS

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**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 requested. Attach additional page(s) as needed.

15. General issue area code TRA Transportation (one per page)

16. Specific lobbying issues

HR3058 Trans./Treasury/ Appropriations

17. House(s) of Congress and Federal agencies ☐ Check if None ☒ House ☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Assit. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Gov't Relations Associate

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

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15. General issue area code

TEC

Telecommunications

(one per page)

16. Specific lobbying issues

H.R.5252 Communications Opportunity, Promotion, and Enhancement Act of 2006; Provisions relating to universities.

17. House(s) of Congress and Federal agencies

☐ Check if None

☒ House

☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Asst. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Government Relations Associate

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

☒ Check if None

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**Printed Name and Title** ELLEN S. SMITH, ASSISTANT VP AND DIRECTOR OF GOVERNMENT RELATIONS

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v5.0.0j

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**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 requested. Attach additional page(s) as needed.

15. General issue area code TAX Taxation/Internal Revenue Code (one per page)

16. Specific lobbying issues

H.R.6111 Tax Relief and Health Care Act of 2006; H.R. 4 Pension Protection Act of 2006; All issues relating to higher education and research

17. House(s) of Congress and Federal agencies ☐ Check if None ☒ House ☒ Senate

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

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Ellen S.	Smith		Asst. VP and Director of Gov't Relations
Nick	Moustakas		Sr. Government Relations Associate

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

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