

LOBBYING REPORT

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

1. Registrant Name:

TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK

2. Address:

535 WEST 116TH STREET 302 LOW LIBRARY, NEW YORK, NY 10027

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

4. Contact Name: ELLEN S. SMITH

Telephone: 2128543394

E-mail (optional): ess9@columbia.edu

Senate ID #: 38585-12

House ID #:

7. Client Name: ☒ Self

TYPE OF REPORT

8. Year 2007 Midyear (January 1 - June 30): ☒ **OR** Year End (July 1 - December 31): ☐

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 Activity: ☐

INCOME OR EXPENSES

Complete Either Line 12 **OR** Line 13

12. Lobbying Firms

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000: ☐

\$10,000 or more: ☐ => Income (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).

13. Organizations

EXPENSES relating to lobbying activities for this reporting period were:

Less than \$10,000: ☐

\$10,000 or more: ☒ => Expenses (nearest \$20,000): 100,000.00

14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

☒ **Method A.** Reporting amounts using LDA definitions only

☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues:

HR 2638, S 1644-Homeland Security Appropriations Act ; HR 2764-State & Foreign Operations Appropriations Act All provisions relating to science, healthcare and education funding ; S. Con. Res. 21-Senate Budget Resolution; H. Con. Res. 99-House Budget Resolution; H.R. 2669-FY08 budget reconciliation bill; H.R. 1591-FY07 emergency supplemental funding bill; HR 3222-Defense Appropriations Act ; HR 3043, S 1710-Labor, HHS, Education Appropriations Act; HR 3093, S 1745-Commerce, Justice, Science Appropriations Act; HR 2641, S 1751-Energy & Water Appropriations Act;HR 2643, S 1696-Interior and Env. Appropriations Act;

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

HOUSE OF REPRESENTATIVES
SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues:

H.R. 1908, S. 1145-The Patent Reform Act of 2007; S. 1762-Higher Education Access Act of 2007 All provisions relating to intellectual property issues with relevance to higher education

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues:

H.R. 2669-College Cost Reduction Act of 2007; S. 1762 Higher Education Access Act of 2007; S. Con. Res. 21-Senate Budget Resolution; H. Con. Res. 99-House Budget Resolution; H.R. 2669-FY08 budget reconciliation bill All provisions relating to student aid and university operations

17. House(s) of Congress and Federal agencies contacted:
HOUSE OF REPRESENTATIVES
SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK Client Name: Self

LOBBYING ACTIVITY.

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15. General issue area code: ENG (one per page)

16. Specific lobbying issues:

HR 2641, S 1751-Energy & Water Appropriations Act; S. 76 -America COMPETES Act; H.R. 3221 - New Direction for Energy Independence, National Security and Consumer Protection Act; H.R. 2776 - Renewable Energy and Energy Conservation Tax Act of 2007; H.R.6-Creating Long-Term Energy Alternatives for the Nation (CLEAN Energy) Act of 2007 All provisions relating to scientific research and education

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues:

HR 3043, S 1710, Labor, HHS, Education Appropriations Act; H.R. 3162, Children's Health and Medicare Protection Act All provisions relating to scientific and public health research and training funding and policy

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues:

HR 2638, S 1644, Homeland Security Appropriations Act All provisions relating to scientific research and education

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK 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 requested. Attach additional page(s) as needed.

15. General issue area code: MED (one per page)

16. Specific lobbying issues:

HR 3043, S 1710, Labor, HHS, Education Appropriations Act; S. 5, Stem Cell Research Enhancement Act All provisions relating to scientific and public health research and training funding and policy

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

HOUSE OF REPRESENTATIVES

Natl Institutes of Health (NIH)

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

19. Interest of each foreign entity in the specific issues listed on line 16 above. **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: SCI (one per page)

16. Specific lobbying issues:

HR 2641, S 1751, Energy & Water Appropriations Act; HR 2643, S 1696, Interior and Env. Appropriations Act; HR 2638, S 1644, Homeland Security Appropriations Act. All provisions relating to scientific research funding and policy. H.R. 363 Sowing the Seeds through Science and Engineering Act; S. 76, America COMPETES Act; H.R. 362, 10,000 Teachers, 10 Million Minds Science and Math Scholarship Act"; H.R. 1867 National Science Foundation Reauthorization Bill; HR 3222, Defense Appropriations Act; HR 3043, S 1710, Labor, HHS, Education Appropriations Act; HR 3093, S 1745, Commerce, Justice, Science Appropriations Act;

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

HOUSE OF REPRESENTATIVES

Natl Institutes of Health (NIH)

Natl Oceanic & Atmospheric Administration (NOAA)

Natl Science Foundation (NSF)

Office of Management & Budget (OMB)

Office of Science & Technology Policy (OSTP)

SENATE

White House Office

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Registrant Name: TRUSTEES OF COLUMBIA UNIV IN THE CITY OF NEW YORK Client Name: Self

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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 (one per page)

16. Specific lobbying issues:

Tax provisions relating to higher education and not-for-profit organizations.

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: SMITH, ELLEN S.

Covered Official Position (if applicable): ASST. VP AND DIR. OF GOV'T AFFAIRS

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

Signature: ON FILE Date: Aug 09, 2007

Printed Name and Title: ELLEN S. SMITH, ASSISTANT VICE PRESIDENT AND DIRECTOR

Information Update Page:

Complete ONLY where registration information has changed.

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 organization(s)

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

28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization

Signature: ON FILE Date: Aug 09, 2007

Printed Name and Title: -