

TY 2007 Self Dealing Statement

Name: DUKE UNIVERSITY

EIN: 56-0532129

Line Number	Explanation
2c	<p>TRUSTEE ANNE T. BASS IS THE SPOUSE OF ROBERT M. BASS, WHO SPONSORS OAKHILL CAPITAL PARTNERS LP. OAKHILL CAPITAL PARTNERS LP PROVIDED INVESTMENT MANAGEMENT SERVICES TO DUKE UNIVERSITY. TRUSTEE FRANK EMORY, JR. IS A PARTNER FOR HUNTON & WILLIAMS LLP. DUKE UNIVERSITY PURCHASED LEGAL SERVICES FROM HUNTON & WILLIAMS LLP. TRUSTEE THOMAS GORRIE WAS CORPORATE VICE PRESIDENT OF JOHNSON & JOHNSON, BUT RETIRED DURING REPORTING PERIOD. DUKE UNIVERSITY PURCHASED GOODS FROM JOHNSON & JOHNSON. TRUSTEE BRUCE KARSH IS THE PRESIDENT OF OAKTREE CAPITAL MANAGEMENT, LLC AND CHAIR OF DUMAC, LLC. DUMAC, LLC'S MAJORITY OWNER IS DUKE UNIVERSITY. DUMAC, LLC MANAGES DUKE UNIVERSITY'S INVESTMENTS. DUKE UNIVERSITY MAKES TRANSFERS TO DUMAC, LLC TO FUND ITS PROPORTIONAL SHARE OF ACTIVITIES WITH DUMAC, LLC. OAKTREE CAPITAL MANAGEMENT, LLC PROVIDED INVESTMENT MANAGEMENT SERVICES TO DUKE UNIVERSITY. THERE HAVE NOT BEEN ANY TRANSFERS TO OAKTREE SINCE BRUCE KARSH BECAME A TRUSTEE OF DUKE UNIVERSITY. TRUSTEE ELIZABETH KISS PROVIDED SERVICES AS AN INDEPENDENT CONTRACTOR TO DUKE PRESS. TRUSTEE CAROL LOUISE ANSPACH KOHN IS A CO-DIRECTOR OF VALERIE WILSON TRAVEL, INC. DUKE UNIVERSITY PURCHASED SERVICES FROM VALERIE WILSON TRAVEL, INC. TRUSTEE JOHN J. MACK IS THE CHIEF EXECUTIVE OFFICER OF MORGAN STANLEY. MORGAN STANLEY IS ONE OF THE SEVERAL COUNTER PARTIES FOR CERTAIN FINANCIAL TRANSACTIONS OF DUKE UNIVERSITY. TRUSTEE UWE E. REINHARDT IS A DIRECTOR OF BOSTON SCIENTIFIC. DUKE UNIVERSITY PURCHASED MEDICAL SUPPLIES AND EQUIPMENT FROM BOSTON SCIENTIFIC. TRUSTEE DAVID M. RUBENSTEIN IS THE MANAGING DIRECTOR OF THE CARLYLE GROUP. THE CARLYLE GROUP PROVIDED INVESTMENT MANAGEMENT SERVICES TO DUKE UNIVERSITY. TRUSTEE ALAN D. SCHWARTZ IS THE PRESIDENT AND CO-CHIEF OPERATING OFFICER AT THE BEAR STERNS COMPANIES, INC. THE BEAR STERNS COMPANIES, INC. IS ONE SEVERAL COUNTER PARTIES FOR CERTAIN FINANCIAL TRANSACTIONS OF DUKE UNIVERSITY. CHANCELLOR OF HEALTH AFFAIRS VICTOR J. DZAU, MD IS A BOARD MEMBER OF GENZYME CORPORATION. DUKE UNIVERSITY PURCHASED MEDICAL PRODUCTS AND SERVICES FROM GENZYME CORPORATION. CHANCELLOR OF HEALTH AFFAIRS VICTOR J. DZAU, MD IS A BOARD MEMBER OF MEDTRONIC INC. DUKE UNIVERSITY PURCHASED MEDICAL PRODUCTS AND SERVICES FROM MEDTRONIC INC. PROVOST PETER H. LANGE IS A BOARD MEMBER OF RTI INTERNATIONAL. DUKE UNIVERSITY PURCHASED CHEMICAL ANALYSIS AND TESTING SERVICES FROM RTI INTERNATIONAL. VICE PRESIDENT OF FINANCE B. HOFLER MILAM'S WIFE, KATHRYN MILAM, PERFORMED WORK FOR DUKE'S NEWS & COMMUNICATIONS AS AN INDEPENDENT CONTRACTOR. VICE PRESIDENT OF STUDENT AFFAIRS LARRY MONETA IS A BOARD MEMBER OF OUTSIDE THE CLASSROOM. DUKE UNIVERSITY CONTRACTED WITH OUTSIDE THE CLASSROOM TO PROVIDE AN ALCOHOL EDUCATIONAL PROGRAM. SENIOR VICE CHANCELLOR FOR ACADEMIC AFFAIRS, R. SANDERS WILLIAMS, MD IS A BOARD MEMBER OF LABCORP. DUKE UNIVERSITY PURCHASED SERVICES FROM LABCORP. IN ALL THE ABOVE NOTED CASES, THE ORGANIZATION UTILIZES MULTIPLE APPROACHES TO ASSURE WE ARE RECEIVING FAIR MARKET VALUE AND BEST PRICE FOR SIMILAR GOODS AND SERVICES MAY WARRANT ADDITIONAL STEPS SUCH AS REQUESTS FOR PROPOSALS FROM MULTIPLE VENDORS. REQUESTS FOR PROPOSALS ARE EVALUATED BY INDIVIDUALS WHO DO NOT HAVE CONFLICTS OF INTEREST WITH THE PROPOSING VENDORS.</p>
2d	<p>SEE STATEMENTS 18-25 FOR COMPENSATION REPORTABLE ON FORM 990, PART V-A TRUSTEE, JACK O. BOVENDER JR.'S DAUGHTER-IN-LAW, SARA MASON BOVENDER, IS EMPLOYED BY DUKE UNIVERSITY. SARA MASON BOVENDER'S COMPENSATION IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C. PRESIDENT RICHARD BRODHEAD'S WIFE, CYNTHIA BRODHEAD, IS EMPLOYED BY DUKE UNIVERSITY. THE COMPENSATION FOR CYNTHIA BRODHEAD IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C. VICE CHANCELLOR FOR CLINICAL RESEARCH DR. ROBERT M CALIFF'S DAUGHTER, SHARON BOOZER, IS EMPLOYED BY DUKE UNIVERSITY. SHARON BOOZER'S COMPENSATION IS REPORTED IN PART II, LINE 25C. VICE PRESIDENT OF HUMAN RESOURCES H. CLINT DAVIDSON, JR.'S DAUGHTERS, LEILA ERIN HAWKINS AND ELIZABETH MEGAN DAVIDSON, ARE EMPLOYED BY DUKE UNIVERSITY. THE COMPENSATION FOR BOTH DAUGHTERS IS INCLUDED IN THE AMOUNT COMPENSATION IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C. PROVOST PETER H. LANGE'S WIFE, LORI LEACHMAN, IS EMPLOYED BY DUKE UNIVERSITY. LORI LEACHMAN'S COMPENSATION IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C. EXECUTIVE VICE PROVOST JAMES S. ROBERTS' WIFE, DEBORAH JAKUBS, IS EMPLOYED BY DUKE UNIVERSITY. DEBORAH JAKUBS' COMPENSATION IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C. VICE CHANCELLOR FOR MEDICAL CENTER ACADEMIC AFFAIRS R. SANDERS WILLIAMS, MD'S SONS, NICHOLAS L. WILLIAMS. AND OWEN B. WILLIAMS, ARE EMPLOYED BY DUKE UNIVERSITY. BOTH SONS' COMPENSATION IS INCLUDED IN THE AMOUNT REPORTED IN PART II, LINE 25C.</p>
2e	<p>SUBSTANTIALLY ALL TRUSTEES CONTRIBUTE TO THE ORGANIZATION.</p>