

ANNUAL REPORT ON COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES FOR CALENDAR YEAR 2012: INCUMBENTS IN SENIOR MANAGEMENT POSITIONS

Attached is the 2012 annual report of compensated Outside Professional Activities (OPA) for members of the Senior Management Group (SMG).

As stated in the Senior Management Group Outside Professional Activities policy (Regents Policy 7707), approved by the Regents in January 2010:

“...Considerable benefit accrues to the University from Senior Management Group (SMG) members’ association with external educational and research institutions, not-for-profit professional associations, federal, state and local government offices and private sector organizations. Such associations foster a greater understanding of the University of California and its value as a preeminent provider of education, research, public service, and health care. Such associations also may provide a stimulus for economic development and enhanced economic competitiveness.”

Section III.B.3.a. of the policy on Senior Management Group Outside Professional Activities states the limits on compensated OPA:

- i. An SMG member may serve simultaneously on up to three for-profit boards that are not entities of the University of California for which s/he receives compensation and for which s/he has governance responsibilities.
- ii. An SMG member will be required to use his/her personal time to engage in compensated OPA, by either performing such activities outside his/her usual work hours or debiting accrued vacation time consistent with applicable leave policy.
- iii. An SMG member who is appointed at 100 percent time shall not receive additional compensation for any work or services from an entity managed exclusively by the University, regardless of source or type of payment, with the exception of University Extension.

Report Highlights

The attached report reflects the individually-certified declarations of every member of the SMG regarding their compensated OPA that occurred in calendar year 2012. SMG members who left the University before January 1, 2013 and those who served in SMG positions in an acting capacity are not included in this report. Compensated OPA that occurred before 2012 or before the SMG member’s appointment to their SMG position are not included in the report.

Following the individual certification by SMG members, the Chancellors, the Lawrence Berkeley National Laboratory Director and the Division and Department Heads of the Office of the President certified their reports as to the inclusion of all SMG members meeting the aforementioned criteria.

The Office of Ethics, Compliance and Audit Services reviewed this report and coordinated an individual review of the OPA reported by a sample of the SMG members in this report. The Office of Ethics, Compliance and Audit Services also reviewed the OPA reporting process performed by the SMG Coordinators at each location.

Outside Professional Activity Final Report
Senior Management Group (SMG) Compensated Activities
Reporting Year: January 1, 2012 to December 31, 2012
Location: ALL

Employee Name		Location	Working Title												
Name of Org (Prof'l Svc Provided For)	Non- Profit=N Profit=P	Role	Total Time Served (Hrs)*	Time During Bus Hours (Hrs)	Time Outside Bus Hours (Hrs)	Vacation Debited (Hrs)	Cash Comp (\$)	Deferred Comp (\$)	Description Deferred Comp	Other Comp (\$)	Description Of Other Comp	Grant Type	# Granted	Strike Price Per Share(\$)	Comments
ADLER, JOSHUA S			UCSF			Chief Medical Officer, Medical Center									
Hill Physicians Board	P	Board Member	6	6	0	6	\$2,600								
ALIVISATOS, A PAUL			LBNL			Laboratory Director									
Solexant	P	Board Member	9	5	4	5									No common shares granted in 2012 but retains shares granted in prior years.
American Chemical Society	N	Editor	105	8	97	8	\$50,000								
Nanosys	P	Consultant	47	40	7	40	\$50,000								No common shares granted in 2012 but retains shares granted in prior years.
Science Magazine	N	Member	6	6	0	6	\$5,000								
Institute for Science, Engineering & Public Policy	N	Resident Scholar	17	12	5	12	\$3,500								
ARVIN, MARTHA			UCLA			Chief Compliance Officer, UCLA Health Sciences									
LRN Corp.	P	Consultant	6	0	6	0	\$1,500								
Loyola University	N	Adjunct Professor	30	0	30	0	\$13,000								
R & R Consulting	P	Consultant	10	0	10	0	\$5,000								
ICAHN	N	Trainer	20	8	12	8	\$2,500								

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Name of Org	Non-Profit=N	Role	Total Time Served (Hrs)*	Time During Bus Hours (Hrs)	Time Outside Bus Hours (Hrs)	Vacation Debited (Hrs)	Comp (\$)	Comp (\$)	Deferred Comp	Comp (\$)	Of Other Comp	Type	Granted	Price Per Share(\$)	
Joel Rapaport	P	Expert Witness	3	0	3	0	\$750								
BABAKANIAN,EDWARD			UCSD	Chief Information Officer - UCSD Health Sciences											
Gerson Lehrman Group Research Council	P	Consultant	9	0	9	0	\$3,642								
BAGGETT,MARGARITA M			UCSD	Acting Chief Operating Officer and Chief Patient Care Services Officer, UCSD Medical Center											
American Nurses Credentialing Center	P	Consultant	28	24	4	24	\$6,594								
BIRGENEAU,ROBERT J.			UCB	Chancellor											
Tanner Foundation / Lectures on Human Values	N	Board Member	24	24	0	0	\$3,000								Chancellor's participation garners the campus \$54,000; participation on the board is a requirement of the Tanner Lectures.
Cabot Microelectronics Corporation	P	Board Member	48	48	0	48	\$70,000				Stock	2,000	33.89	Additionally, 6,000 stock options were granted at a strike price of \$33.89 per share.	
BLUESTONE,JEFFREY A			UCSF	Executive Vice Chancellor and Provost											
Lycera Emerging Targets Symposium	P	Consultant	8	8	0	8	\$5,000								
Univ of Connecticut-Plenary	N	Speaker	8	8	0	8	\$1,500								

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Lecture/Retreat															
Harvard Distinguished Lecture	N	Speaker	8	8	0	8	\$500								
Mayo Clinic, Minnesota	N	Speaker	8	8	0	8	\$2,000								
Genentech, Inc.	P	Speaker	4	4	0	4	\$1,000								
BLUMENTHAL, GEORGE R			UCSC		Chancellor										
Helius Education	P	Board Member	5	5	0	5						Stock	200,000	.01	
BRENNER, DAVID ALLEN			UCSD		Vice Chancellor - Health Sciences and Dean, School of Medicine										
Bristol Myers Squibb	P	Consultant	8	8	0	8	\$5,170								
Alcoholic Beverage Medical Research Foundation	N	Board Member	8	8	0	8	\$1,000								
Celgene	P	Consultant	16	16	0	16	\$2,000								
Isis Pharmaceuticals	P	Consultant	7	7	0	8	\$1,950								Vacation is taken in eight hour blocks.
University of Kansas Medical Center	N	Speaker and Teacher	16	16	0	16	\$250								
Nitto Denko	P	Consultant	2	0	2	0	\$1,500								
BRESLAUER, GEORGE W			UCB		Executive Vice Chancellor & Provost										
Bellwether Publishers	P	Editor	100	0	100	0	\$52,000								
CLAYMAN, RALPH V			UCI		Dean - School of Medicine										
Journal of Endourology	N	Co-Editor & Founder	100	0	100	0	\$30,000								

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Aspen Urological Conference	N	Visiting Professor	40	0	40	0	\$2,500										
University of Minnesota	N	Visiting Professor	8	0	8	0	\$1,000										
University of British Columbia	N	Visiting Professor	24	0	24	0	\$1,000										
CRICKETTE,GRACE MARGUERITE			UCOP	CHIEF RISK OFFICER													
SingHealth	N	Advisor	50	50	0	50	\$9,000										
CROUGHAN,MARY SHANNA			UCOP	Executive Director, Research Grants Program Office													
Children's Hospital of Philadelphia	N	Consultant	20	20	0	20	\$1,000									Compensation for 2012 service received in 2013 due to a delay in payment.	
University of Pennsylvania	N	Consultant	5	5	0	5	\$500										
DEPAOLO,DONALD J			LBNL	Associate Laboratory Director													
C12 Energy	P	Scientific Advisory Board Member	36	0	36	0	\$5,000					Stock Options	16,000	.19			
DESMOND-HELLMANN,SUSAN D			UCSF	Chancellor													
Proctor and Gamble	P	Committee Member	84	84	0	84	\$110,000					Stock Options	2,329	68.70			
Gates Foundation-Scientific Advisory Board	N	Committee Member	8	8	0	8	\$8,000										

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DRAKE, MICHAEL V			UCI		Chancellor											
Bank of the West	P	Board Member	47	38	9	32	\$113,600								Vacation reported per campus vacation debiting practice. Vacation is taken in eight hour blocks.	
California Healthcare Foundation	N	Board Member	61	51	10	32	\$29,000								Vacation reported per campus vacation debiting practice. Vacation is taken in eight hour blocks.	
Gilead Sciences, Inc.	P	Member, Health Policy Advisory Board	45	16	29	24	\$24,000								Vacation reported per campus vacation debiting practice. Vacation is taken in eight hour blocks.	
Glaucoma Research & Education Group	N	Speaker	1	0	1	0	\$1,000									
ECONOMOU, JAMES S			UCLA		Vice Chancellor - Research											
Kite Pharma	P	Co-Founder and Medical Advisory	150	8	142	8					Stock	200,000	.01			

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		Board Member															
FEINBERG,DAVID T			UCLA			President of UCLA Health System and Chief Executive Officer for the UCLA Hospital System											
OSI Systems, Inc.	P	Board Member	40	30	10	30	\$70,000				Restricted Stock Units	3,500					
Douglas Emmett, Inc.	P	Board Member	20	15	5	15			\$2,000	Stock dividends	Restricted Stock Units	4,306		Total Price for Stock = \$85,000			
Stewart & Lynda Resnick Revocable Trust	P	Consultant	8	0	8	0	\$100,000										
FLEMING,GRAHAM R			UCB			Vice Chancellor - Research											
Institute of Molecular Science Advisory Board	N	Board Member	88	20	68	20	\$1,600										
Competitive Research Programme-Interntl Eval Panel	N	Panel Member - International Evaluation Panel	150	40	110	40	\$18,000										
FOX,MARYE ANNE			UCSD			Former Chancellor											
W. R. Grace	P	Board Member	38	38	0	40	\$135,000										
Red Hat	P	Board Member	24	24	0	24	\$37,500	\$37,500	Deferred cash		Restricted Stock Units	5,000	46.00				
Bridgepoint	P	Board Member	16	16	0	16	\$50,000				Restricted Stock Units	5,000	10.00				
Welch Foundation	N	Scientific Advisor	16	8	8	8	\$110,000										

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Dreyfus Foundation	N	Board Member	18	18	0	24	\$8,000	\$16,500	Deferred cash						
GOLDBERG,CAROLE EUDICE			UCLA	Vice Chancellor - Academic Personnel											
Banff Centre	N	Lecturer	60	40	20	40	\$1,760								
Hualapai Court of Appeals	N	Justice	66	16	50	16	\$3,150								
Office of Justice Programs DOJ	N	Grant Reviewer	35	0	35	0	\$1,750								
Paul Bardos	P	Legal Consultant	10	0	10	0	\$4,500								
HAYMET,ANTHONY DOUGLAS JOHN			UCSD	Vice Chancellor - Marine Sciences, Dean of the Graduate School of Marine Sciences & Director S											
Pegasus Capital Advisors	P	Strategic Advisor	90	0	90	0	\$100,000								Travel expenses paid
Phillips and Assoc. on behalf of Annenberg Found.	N	Consultant	63	0	63	0	\$19,694								Travel expenses paid. Annenberg is non-profit; Phillips is for-profit organization.
HEMMINGER,JOHN C.			UCI	Vice Chancellor - Research											
Los Alamos National Laboratory	N	Chair of External Advisory Board for MaRIE Project	32	32	0	8	\$1,000								Vacation reported per campus vacation debiting practice. Vacation is taken in eight hour blocks for full day

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absenses.															
HEXTER,RALPH J			UCD			Provost and Executive Vice Chancellor									
Princeton University	N	Conference Speaker	16	8	8	8	\$2,000								
JESTER,PAMELA J			UCLA			Director, Continuing Education of the Bar									
Alameda County Superior Court	N	Pro-tem Judge (mental health hearings)	177	136	41	136	\$15,477								
JUAREZ,STEVE			UCOP			Associate Vice President & Director, State Government Relations									
National Association of Counties Fin Corp	P	Board Member	32	32	0	32	\$15,000								
KATEHI-TSEREGOUNIS,LINDA			UCD			Chancellor									
John Wiley & Sons, Inc.	P	Board Member	44	32	12	32	\$70,000	\$65,000	Deferred compensation represents stocks						
EMAG Technologies, Inc.	P	Board Member and Owner	80	0	80	0	\$103,000								
KEASLING,JAY D			LBNL			Associate Laboratory Director									
Malaysian Life Sciences Capital Fund	P	Science Advisory Board Member	4	0	4	0	\$5,000								
Evolve	P	Science Advisory Board Member	16	16	0	16	\$5,000								
Wyss	N	Science	8	8	0	8	\$2,500								

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		Advisory Board Member													
Yale University	N	Speaker	16	16	0	16	\$7,464								
Cornell University	N	Invited Speaker	8	8	0	8	\$1,000								
University of Washington	N	Invited Speaker	3	2	1	0	\$1,000								Lunchtime talk occurring outside of normal business hours, conducted LBNL business during travel time occurring during business hours.
University of Michigan	N	Invited Speaker	12	12	0	12	\$1,500								
Virginia Commonwealth University	N	Invited Speaker	8	8	0	8	\$1,000								
Blackwell Publishing	P	Associate Editor	1	0	1	0	\$2,748								
University of California - Davis	N	Proposal Reviewer	4	0	4	0	\$750								As a faculty member, acceptance of compensation for service to a UC-entity is allowed.

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Society for Industrial Microbiology and Technology	N	Invited Speaker	1	0	1	0	\$1,000								Lunchtime talk occurring outside of normal business hours.
University of Western Ontario	N	Invited Speaker	8	8	0	8	\$677								
KEISTER, SHAUN B.			UCD			Vice Chancellor - Development and Alumni Relations									
Big 10 Development	N	Meeting Facilitator	24	8	16	0	\$2,500								Where compensated activity was performed during the normal work day, VC Keister served an equal number of hours on University business during the evening.
Annual Giving Directors	N	Meeting Facilitator	16	0	16	0	\$2,500								
Columbia University Consortium	N	Meeting Facilitator	24	8	16	0	\$3,000								Where compensated activity was performed during the normal work day, VC Keister served an equal number of hours on

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Jesuit University Consortium	N	Meeting Facilitator	24	8	16	0	\$2,500								University business during the evening. Where compensated activity was performed during the normal work day, VC Keister served an equal number of hours on University business during the evening.	
LARET,MARK R		UCSF	Chief Executive Officer, Medical Center													
Nuance	N	Board Member	38	38	0	38	\$40,000					Restricted Stock Units	15,000	19.00	15,000 deferred stock units vesting over three years.	
Varian	P	Board Member	41	41	0	41	\$86,750			1,545 deferred stock units will vest in 2016.	Stock Options	5,000	64.73	Annual retainer is \$55,000; meeting fees are \$31,750.		
LEWIN,HARRIS A		UCD	Vice Chancellor - Research													
Annual Reviews in Genomics and Human Genetics	N	Editorial Committee Member	10	0	10	0	\$500									

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Annual Reviews of Animal and Veterinary Bioscience	N	Founding Co-Editor	16	0	16	0	\$2,000								
MARA, GLENN LAWRENCE		UCOP	Vice President - Laboratory Management												
Atomic Weapons Establishment	P	Consultant	65	32	33	32	\$30,540								
Bechtel National Inc.	P	Consultant	60	0	60	0	\$17,750								
Lawrence Livermore National Laboratory	P	Consultant	80	0	80	0	\$16,390								
MCAFFEE, THOMAS VARDON		UCSD	Dean - Clinical Affairs and President of the Medical Group, Health Sciences and Former Acting												
American College of Healthcare Executives	N	Speaker	4	4	0	8	\$400								
MINEAR, MICHAEL N		UCD	Chief Information Officer - UC Davis Health System												
College of Healthcare Information Management Exec.	N	Member	16	0	16	0	\$500								
Johns Hopkins University - School of Bloomberg Hlt	N	Adjunct Faculty	250	0	250	0	\$12,400								
MURRY, JIMMY MATHEW		UCI	Chief Information Officer												
DeMatteo Monness LLC	P	Investment Research Firm Consultant	2	0	2	0	\$1,000								
NELSON, RONALD A		UCOP	EXECUTIVE DIRECTOR - CONTRACTS MANAGEMENT & FSO												
Congress of Neutrals	N	Mediator	55	0	55	0	\$2,755								
Discovery Mediation Association for Disputes	P	Mediator	20	0	20	0	\$3,090								

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PARHAM, THOMAS A.			UCI			Vice Chancellor - Student Affairs										
Book Royalties	P	Author	0	0	0	0	\$5,000									Book royalties earned from prior years' activities. No time spent during 2012.
Private Clinical Practice	P	Professional Licensed Psychologist	100	0	100	0	\$15,000									
PAZZANI, MICHAEL J.			UCR			Vice Chancellor for Research and Economic Development										
SNR Denton	P	Expert Witness	293	24	269	24	\$146,550									
POMEROY, CLAIRE			UCD			Vice Chancellor - Human Health Sciences and Dean - School of Medicine										
Sierra Health Foundation	N	Board Member	83	48	35	48	\$17,405									
Mayo Clinic	N	Keynote Speaker	16	16	0	16	\$1,500									
REED, KEVIN S.			UCLA			Vice Chancellor, Legal Affairs & Associate General Counsel										
Texans for Education Reform	N	Consultant	9	0	9	0										Anticipates receiving compensation of approx. \$1,000 in 2013 for the hours spent on this activity in 2012.
RELYEA, STEVEN			UCSD			Vice Chancellor - External and Business Affairs										
Gemological Institute of America	N	Board Member	96	64	32	64	\$3,000									

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ROBINSON,CHARLES F			UCOP		Vice President, General Counsel - Legal Affairs										
PJM Intercon	N	Board Member	137	84	53	84	\$105,000								
ROSENTHAL,J THOMAS			UCLA		Chief Medical Officer, UCLA Hospital System										
One Legacy	N	Local Organ Procuremnt Organizatn s Rep	30	0	30	0	\$1,500								
RUE,HENRIETTA ELIZABETH			UCSD		Vice Chancellor - Student Affairs										
San Diego State University	N	Professor	48	0	48	0	\$4,800								
SCHOTTLAENDER,BRIAN E.			UCSD		University Librarian										
Online Catalog Library Center	N	Trustee	66	66	0	66	\$32,000								
SIMON,HORST D			LBNL		Deputy Laboratory Director										
CRC Press	P	Independent Peer Reviewer	10	0	10	0	\$3,000								
Gerson Lehman Group	P	Phone Consultation	5	0	5	0	\$1,000								
SMITH,MACKENZIE			UCD		University Librarian										
Sloan Foundation	N	Reviewer	8	0	8	0	\$350								
TAYLOR,PETER JOHN			UCOP		Executive Vice President and Chief Financial Officer										
Edison International	N	Board Member	45	45	0	45	\$85,000	\$100,000	Deferred shares of stock						
ECMC	N	Board Member	45	45	0	45	\$50,000								
Municipal Securities	N	Board	90	90	0	0	\$45,000								Service on the

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Rulemaking Board		Member												Board of the MSRB is directly related to the role as UC's CFO, and therefore no vacation time is taken to offset this commitment.	
TRAINA,SAMUEL JUSTIN			UCM	Vice Chancellor - Research and Dean of the Graduate School											
California Almond Board Science Advisory Panel	N	Panel Member	12	12	0	12	\$2,000								
VACCA,SHERYL JEANNE			UCOP	Senior Vice President - Chief Compliance and Audit Officer											
Health Care Compliance Association	N	Instructor	55	55	0	55	\$27,000								
Society of Corporate Compliance and Ethics	N	Instructor	25	25	0	25	\$13,000								
VIVIANO,PAUL			UCSD	Associate Vice Chancellor - Health Sciences and Chief Executive Officer											
Alliance HealthCare Services	P	Board Member	16	16	0	16	\$45,000								
WALSHOK,MARY LINDENSTEIN			UCSD	Assoc Vice Chan. Extended Studies and Public Service, Dean-University Extension											
Girard Foundation	N	Board Member	12	0	12	0	\$5,000								
Int'l Adv. Board to Tech Review Council of Sultan	N	Advisor	48	48	0	48	\$2,500							Complete org name: International Advisory Board to Technical Review Council	

Outside Professional Activity Final Report
Senior Management Group (SMG) Compensated Activities
Reporting Year: January 1, 2012 to December 31, 2012
Location: ALL

Employee Name		Location	Working Title												
Name of Org (Prof'l Svc Provided For)	Non- Profit=N Profit=P	Role	Total Time Served (Hrs)*	Time During Bus Hours (Hrs)	Time Outside Bus Hours (Hrs)	Vacation Debited (Hrs)	Cash Comp (\$)	Deferred Comp (\$)	Description Deferred Comp	Other Comp (\$)	Description Of Other Comp	Grant Type	# Granted	Strike Price Per Share(\$)	Comments
of the Sultan of Oman															
WASHINGTON,A. EUGENE			UCLA			Vice Chancellor - Health Sciences and Dean - David Geffen School of Medicine									
Robert Wood Johnson Foundation	N	Board Member	72	72	0	72	\$29,000								
The California Wellness Foundation	N	Board Member	40	40	0	40	\$24,500								
Johnson & Johnson	P	Board Member	16	16	0	16		\$9,167	Stock						
WAUGH,SCOTT L			UCLA			Executive Vice Chancellor and Provost									
World Book Editorial Review Board	P	Advisor	20	0	20	0	\$2,500								
WILTON,JOHN			UCB			Vice Chancellor - Administration & Finance									
Leblon Equities	P	Asset Manager	30	15	15	15	\$20,000								
WU DRAGUN,DIANA			UCB			Dean - University Extension									
University of North Carolina, Chapel Hill	N	External Reviewer	24	16	8	16	\$1,000								
YANG,HENRY T.			UCSB			Chancellor									
American Axel and Manufacturing	P	Board Member	64	64	0	64	\$100,989	\$57,000	Deferred Compensation Units		Multiple Grant Types	80,000			Award vested in April 2012. Total award earned was \$76,000. 75% or \$57,000 was deferred.

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YUDOF,MARK GEORGE			UCOP	President of the University											
Lumina Foundation for Education	N	Board Member	56	34	22	32	\$23,930								In addition, Lumina made donations in the amounts of \$25,000 in direct donations, and \$60,425 in matching donations, to various educational non-profit organizations designated by the President. Vacation is taken in eight hour blocks.

* Total Time Served equals the combined hours of Time During Business Hours and Time Outside Business Hours.