

# DCRI COMMERCIAL RELATIONSHIPS TRACKING FORM

Year(s): 2016

Name: Michael Pencina

Title: Professor of Biostatistics and Bioinformatics. Director, DCRI Biostatistics

Address: 2400 Pratt Street, 0311 Terrace Level Office 7024 North Pavilion Durham, NC 27705

Monetary amounts are on an annual basis.

| Company:                     | (1) A Research Grant or Contract from this Company Partially Supports My University Salary | (2) A Research Grant or Contract from this Company Supports My Research Projects | (3) Educational Activities or Lectures for this Company Generates Revenue for Duke |                          |                          | (4) Consulting or Other Services (Including CME) for this Company Generates Personal Income |                          |                          | (5) Consulting or Other non-CME Services for this Company Generates Personal Income |                          |                          | (6) I Receive Significant Personal Royalties from this Company | (7) I Have Equity in this Company |                          |
|------------------------------|--|--|--|--------------------------|--------------------------|---|--------------------------|--------------------------|---|--------------------------|--------------------------|--|-----------------------------------|--------------------------|
|                              |  |  | <\$5K  | \$5K-\$25K               | >\$25K                   | <\$5K   | \$5K-\$25K               | >\$25K                   | <\$5K   | \$5K-\$25K               | >\$25K                   |  | <\$5K                             | >\$5K/1%                 |
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| Aptus Endosystems, Inc.                                       | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Ardea Biosciences, Inc.                                       | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Bayer Corporation US (Bayer AG/Bayer in Japan – subsidiaries) | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Boehringer Ingelheim  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Boston Scientific Corporation                                 | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Bristol Myers Squibb  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |

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| Dr. Reddy's Laboratories LTD | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Durata Therapeutics          |  |  |  |                          |                          |   |                          |                          |   |                          |                          |  |                                   |                          |
| Edwards Lifesciences         | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| F2G, Ltd.                           | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Genentech                           | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| HeartFlow                           | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Company:  | (1) A Research Grant or Contract from this Company Partially Supports My University Salary | (2) A Research Grant or Contract from this Company Supports My Research Projects | (3) Educational Activities or Lectures for this Company Generates Revenue for Duke |                          |                          | (4) Consulting or Other Services (Including CME) for this Company Generates Personal Income |                          |                          | (5) Consulting or Other non-CME Services for this Company Generates Personal Income |                          |                          | (6) I Receive Significant Personal Royalties from this Company | (7) I Have Equity in this Company |                          |
|---|--|--|--|--------------------------|--------------------------|---|--------------------------|--------------------------|---|--------------------------|--------------------------|--|-----------------------------------|--------------------------|
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| Life Masters Supported Self Care, Inc.                                    | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| MAQUET Cardiovascular LLC (formerly Boston Scientific Cardiac & Vascular) | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
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| Seaside Therapeutics            | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Somahlution, Inc.               | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Svelte Medical Sytems, Inc.     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Tacere Therapeutics             | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Takeda Pharmaceutical Co.       | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Tethys Bioscience               | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| TEVA Pharmaceuticals industries | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| The Medicines Company           | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Thoratec Corporation            | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Versartis, Inc.                 | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Vertex Pharmaceuticals, Inc.    | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Volcano Corporation             | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Westat Corporation              | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Theracos                        | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Corvia Medical                  | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Bioentrix                       | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |

| Company:   | (1) A Research Grant or Contract from this Company Partially Supports My University Salary | (2) A Research Grant or Contract from this Company Supports My Research Projects | (3) Educational Activities or Lectures for this Company Generates Revenue for Duke |                          |                          | (4) Consulting or Other Services (Including CME) for this Company Generates Personal Income |                          |                          | (5) Consulting or Other non-CME Services for this Company Generates Personal Income |                          |                          | (6) I Receive Significant Personal Royalties from this Company | (7) I Have Equity in this Company |                          |
|------------|--|--|--|--------------------------|--------------------------|---|--------------------------|--------------------------|---|--------------------------|--------------------------|--|-----------------------------------|--------------------------|
|            |  |  | <\$5K  | \$5K-\$25K               | >\$25K                   | <\$5K   | \$5K-\$25K               | >\$25K                   | <\$5K   | \$5K-\$25K               | >\$25K                   |  | <\$5K                             | >\$5K/1%                 |
| Admittance | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Pamlab     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Knibbe     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |
| Salik      | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>                                       | <input type="checkbox"/>          | <input type="checkbox"/> |

Column Explanations:

- (1) Funding is provided for my effort in research grants or contracts for multi-center projects in which I serve as either the Chairman, Co-Chairman, Executive or Steering Committee member or I am involved as a DCRI faculty leader for specific aspects in a project. A check in this column denotes that I am involved in such a research contract. Payments for the work performed for these contracts are made to the University. A portion of my salary as a faculty member, representative of % effort on the project, is supported by these funds.
- (2) A research grant from this company supports the expenses associated with projects in the DUHS that are under my direction.
- (3) I provide educational activities or deliver occasional lectures that generate revenue from this company. All revenues from these activities are paid to the University. None of it is taken for personal income. The three columns represent annual payments of more than \$5,000, between \$5,000 and \$25,000, and in excess of \$25,000 per year from this company.
- (4) I receive personal income outside of my University salary for consulting or other services (Including CME) from this company. The three columns represent annual payments of more than \$5,000, between \$5,000 and \$25,000, and in excess of \$25,000 per year from this company.
- (5) I receive personal income outside of my University salary for consulting or other non-CME services from this company. The three columns represent annual payments of more than \$5,000, between \$5,000 and \$25,000, and in excess of \$25,000 per year from this company.
- (6) I personally receive royalties in excess of \$5,000 per year from this company.
- (7) I, or an immediate member of my family, have equity (with shareholder voting privileges) in this company of either > \$5,000 or > 1%.