



Date: February 5, 2013

To: McKnight Brain Research Foundation Trustees  
Henry H. Raattama, Jr. Legal Counsel

From: Melanie Cianciotto

Subject: MBRF Meeting: February 19 – 20, 2013 (Miami, FL)

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Enclosed you will find the meeting package for the February Trustees meeting to be held in Miami, FL. Included in this package for your review are the following items: the agenda, final draft of the minutes for the November 2, 2012 board meeting, grant commitment schedule, minimum distribution calculation and other supporting material for the agenda items.

The meeting on February 19th will start with lunch at 11:30 a.m. in the Board Room on the 28<sup>th</sup> floor of the Akerman Senterfitt Office located at One SE 3<sup>rd</sup> Avenue.

Look forward to seeing you all in Miami!

MC/nd

cc: Mike Hill

Enclosures

**MCKNIGHT BRAIN RESEARCH FOUNDATION**  
**February 19 & 20, 2013**  
**Board Room, Akerman Senterfitt Attorneys at Law Offices**  
**One SE 3<sup>rd</sup> Ave 28<sup>th</sup> Floor, Miami, FL**

**AGENDA**

Tuesday, February 19, 2013

- |                         |   |                     |
|-------------------------|---|---------------------|
| 11:00 A.M. – 11:30 A.M. | 1. Call to Order/Lunch  | Melanie Cianciotto  |
| 11:30 A.M. – 12:00 P.M. | 2. Investment Review  | Michael Hill        |
| 12:00 PM – 3:00 P.M.    | 3. Approval of Minutes, Board Meeting<br>November 1 – 2, 2012   | Melanie Cianciotto  |
|                         | 4. Minimum Distribution Calculation   |                     |
|                         | 5. Travel Award Program-Update  |                     |
|                         | 6. Electronic Records   |                     |
|                         | 7. Upcoming Dates & Events  |                     |
|                         | ❖ Inter-Institutional Meeting<br>Birmingham, AL April 24 – 26, 2013   |                     |
|                         | ❖ Board Meeting<br>July 2013?   |                     |
|                         | ❖ Board Meeting<br>October 2013?  |                     |
|                         | ❖ Society for Neuroscience, Annual Meeting<br>November 9 -13, 2013<br>San Diego, CA<br>Will MBRF host Poster/Reception????        |                     |
|                         | 8. Institute of Medicine (IOM) Cognitive Aging Study  | Wah and Dockery     |
|                         | 9. Research Partnership in Cognitive Aging – Update   | Dockery             |
| 3:00 P.M. – 4:00 P.M.   | 10. University of Miami Reports   |                     |
|                         | A. Ralph L. Sacco, MD, MS, FFAN, FAHA<br>Executive Director, The Evelyn F. McKnight Brain Institute<br>at the University of Miami |                     |
|                         | B. Clinton Wright, MD<br>Scientific Director, The Evelyn F. McKnight Brain Institute<br>at the University of Miami                |                     |
| 4:00 P.M.               | 11. Annual Reports  |                     |
|                         | A. University of Alabama at Birmingham  | Trustees            |
|                         | B. University of Arizona  | Trustees            |
|                         | B.1. Report on Gainesville Meeting, 1/31/2013<br>with Dr. Barnes, Dr. Tolbert, & Mr. Harmon                                       | Ryerson and Dockery |
|                         | C. University of Florida  | Trustees            |
|                         | D. University of Miami  | Trustees            |
| 5:00 p.m.               | 12. Adjournment   |                     |
| 6:30 p.m.               | 13. Trustee's Dinner  |                     |

Wednesday, February 20, 2013

- |                       |  |
|-----------------------|--|
| 8:00 a.m. – 2:00 p.m. | 4th Annual Symposium and Program Update<br>(University of Miami Miller School of Medicine) |
|-----------------------|--|

**UNIVERSITY OF MIAMI MILLER SCHOOL OF MEDICINE**  
**EVELYN F. MCKNIGHT BRAIN INSTITUTE**  
**4<sup>th</sup> Annual Symposium and Program Update**

**AGENDA**  
**February 20, 2013**

**Location:** 1120 NW 14<sup>th</sup> Street, Miami, FL 33136

Clinical Research Building, Gordon Center 1<sup>st</sup> Floor Auditorium

**Attendees:** McKnight Brain Research Foundation Trustees, UM Faculty, Staff and Students

**BREAKFAST** 8:00AM – 8:30AM

**WELCOME AND FACULTY PRESENTATIONS** 8:30AM – 11:45AM

8:30 - 8:39 Welcome and Introductions Dr. Ralph Sacco

8:40 – 8:49 Opening remarks by the Dean Dr. Pascal Goldschmidt

8:50 - 8:59 Symposium Agenda and Highlights Dr. Clinton Wright

**Symposium**

*Each 15 minute segment includes 5 minutes for questions*

*Update from animal behavior core*

9:00 – 9:14 Animal Behavior group (K. Dave, J. Neumann, C. Cohan): Cardiac arrest

9:15 – 9:29 Animal Behavior group (K. Dave, J. Neumann, C. Cohan): Behavior

*Update on NOMAS projects*

9:30 – 9:44 C. Wright: WMH localization and cognition

9:45 – 9:59 S. Blanton: Genetics of white matter disease

10:00 – 10:14 A. Ramos: Sleep and Cognition

UNIVERSITY OF MIAMI MILLER SCHOOL OF MEDICINE  
EVELYN F. MCKNIGHT BRAIN INSTITUTE  
4<sup>th</sup> Annual Symposium and Program Update

AGENDA

February 20, 2013

15 MINUTE BREAK

*Update on Evelyn F. McKnight Registry*

- |               |  |
|---------------|--|
| 10:15 – 10:29 | B. Levin: Cardiometabolic risk factors and cognition |
| 10:30 – 10:44 | T. Rundek: Blood flow in the aging brain             |
| 10:45 – 10:59 | N. Alperin/A. Bagci: Cerebral blood flow in aging    |
| 11:00 – 11:14 | R. Isaacson: Education research update               |

*Status report and update on MRI and Cognitive Assessment standardization across Institutes*

- |               |  |
|---------------|--|
| 11:15 – 11:29 | F. Nahab: MRI standardization                  |
| 11:30 – 11:44 | B. Levin: Cognitive Assessment standardization |

- |               |                       |
|---------------|-----------------------|
| 11:45 – 12:00 | Wrap-up and Questions |
|---------------|-----------------------|

LUNCH - *(By Invitation Only)*

12:00PM - 2:00PM

Location: Clinical Research Building – 13<sup>TH</sup> Floor, Conference room #1381

Attendees: McKnight Brain Research Foundation Trustees, Dean Goldschmidt, Dr. Sacco, Dr. Wright, Speakers, Rebecca Lee, Cookie Neil, Marsha Kegley, and Mary Ann Sprinkle

**MINUTES**  
**MCKNIGHT BRAIN RESEARCH FOUNDATION**  
**BOARD OF TRUSTEES MEETING**  
**November 1 – 2, 2012**

The Trustee's meeting of the McKnight Brain Research Foundation (MBRF) was called to order at 8:45 a.m. on November 1, 2012 in the Temple Room of the Citrus Club, Orlando, FL.

The following members were present:

Dr. J. Lee Dockery, Trustee  
Dr. Michael Dockery, Trustee  
Dr. Nina Ellenbogen Raim, Trustee  
Dr. Gene G. Ryerson, Trustee  
Dr. Robert M. Wah, Trustee  
Ms. Melanie Cianciotto, Corporate Trustee  
SunTrust Institutional Investment Solutions

Others attending:

Mr. Henry H. Raattama, Jr., Legal Counsel  
Mr. Michael Hill, Managing Director, SunTrust Institutional Investment Solutions

**1. Strategic Planning**

As part of their ongoing strategic planning, the trustees reviewed their current strategic plan (Attachment 1). The trustees reviewed the mission statement of the MBRF and revised the goals and strategies previously agreed upon during the August 2010 strategic planning. Ms. Cianciotto will update the strategic plan to reflect the changes.

**Action Item 1: Ms. Cianciotto will update the strategic plan (Attachment 1) to reflect the changes to the goals and strategies for implementation.**

**2. Approval of Minutes from August 8, 2012 Board Meeting**

The minutes of the August 8, 2012 meeting of the McKnight Brain Research Foundation were reviewed. The minutes were approved as amended (Attachment 2).

**Action Item 2: The trustees approved the minutes of the August 8, 2012 meeting as amended (Attachment 2).**

**3. Travel Award Program – Update**

The trustees reviewed the proposed budgets for the Cognitive Test Battery Working Group and the Epigenetics Planning Meeting (Attachment 3). The trustees approved each budget as presented.

**Action Item 3: The trustees approved the proposed budgets for the Cognitive Test Battery Working Group and Epigenetics Planning Meeting (Attachment 3) as presented.**

**4. Cognitive Aging Study Institute of Medicine (IOM)**

The trustees received the update from Ms. Cathy Liverman regarding the November 27<sup>th</sup> planning meeting (Attachment 4). Dr. J. Lee Dockery and Dr. Robert Wah will attend the November 27<sup>th</sup> IOM planning meeting. The trustees have authorized Dr. J. Lee Dockery to make some opening remarks at the November 27<sup>th</sup> meeting.

**Action Item 4: The trustees received the update from Cathy Liverman regarding the November 27<sup>th</sup> IOM planning meeting (Attachment 4).**

**Action Item 5: The trustees authorized Dr. J. Lee Dockery to make some opening remarks at the November 27<sup>th</sup> IOM planning meeting.**

**5. Research Partnership in Aging – Annual Investigators Meeting**

Dr. Robert Wah provided the other trustees with an update of his attendance at the 3<sup>rd</sup> Annual Cognitive Aging RFA Awardees Annual Investigator Meeting. Eleven groups presented during the meeting which was hosted by Craig Stark, one of the awardees and a professor at the University of California Irvine. Dr. Wah commented that the projects reported emerging data and others were still in process and recruiting participants.

**6. Research Partnership in Cognitive Aging (RPCA) – Update**

Dr. J. Lee Dockery and Dr. Gene Ryerson met with Dr. Molly Wagster and Dr. Jonathan King from the National Institute on Aging prior to the Annual Meeting of the Society for Neuroscience Poster/Reception to discuss additional funding of the partnership. The FNIH budget for 2014 is established in 2012. Dr. Wagster and Dr. King reported there is interest by the NIA in renewing the RPCA beginning in 2014. The prospects for funding by the NIA are anticipated to be less than that funded through the current RPCA and will be considered at the Advisory Committee meeting of the NIA which will meet in December 2012. The trustees agreed to continue the discussion regarding the process of renewal and funding the Research Partnership in Cognitive Aging after the current commitment expires in July 2013.

**7. Society for Neuroscience Poster Session**

Dr. J. Lee Dockery and Dr. Gene Ryerson provided the other trustees with an update of their attendance at the MBRF Poster/Reception at the Annual Meeting of the Society for Neuroscience. The event was well organized and very successful. The trustees agreed to

encourage resubmission of a request to sponsor and host an MBRF Poster/Reception at the Society for Neuroscience annual meeting in 2013.

### **8. University of Miami Update**

The trustees reviewed the investment performance for the Growth Pool and the market analysis for the endowment for the fiscal year end May 31, 2012 (Attachment 5). Ms. Cianciotto will send a thank you letter to Dean Goldschmidt, Dr. Sacco and Dr. Wright acknowledging the report.

**Action Item 6: The trustees reviewed the investment performance for the Growth Pool and the market analysis for the endowment for the fiscal year end May 31, 2012 (Attachment 5).**

**Action Item 7: Ms. Cianciotto will send a thank you letter to Dean Goldschmidt, Dr. Sacco and Dr. Wright acknowledging the report.**

### **9. Upcoming Dates & Events**

#### **February 2013 Board of Trustees Meeting**

The trustees have agreed to hold the February 2013 meeting of the MBRF at the University of Miami. The trustees will arrive the morning of February 19<sup>th</sup>, and the meeting will be held the afternoon of February 19<sup>th</sup> beginning at noon. The meeting will conclude on February 20<sup>th</sup> after the scientific program and lunch.

#### **2013 Inter-Institutional Meeting**

The sixth annual McKnight Brain Research Foundation Inter-Institutional Meeting will be hosted by the Evelyn F. McKnight Brain Institute at the University of Alabama at Birmingham April 24 – 26, 2013. The trustees will arrive the morning of April 24, 2013 and meet in the afternoon beginning at 12:00 noon. The Inter-Institutional meeting will begin with a reception on the evening of April 24, 2013 followed by the scientific sessions on April 25-26, adjourning at noon on April 26, 2013.

#### **August 2013 Board of Trustees Meeting**

The trustees have tentatively agreed to hold the August 2013 meeting in Orlando, August 6-7, 2013. The trustees will arrive the evening of August 6<sup>th</sup>. The trustees will meet on August 7<sup>th</sup> beginning at 8:00 a.m. and will adjourn at 3:00 p.m.

The meeting was adjourned at 4:45 p.m.

The trustees meeting was reconvened at 8:35 a.m. on November 2, 2012 in the Duncan Room of the Citrus Club, Orlando, FL.

## **10. Investment Review**

Mr. Hill presented the investment review and commented on key economic and investment factors for the third quarter (Attachment 6).

### **A. Market Environment**

- Central Bank actions led to "risk-on" trade during the 3<sup>rd</sup> quarter resulting in higher valuations for risk assets. Equities and high yield bonds advanced while the volatility index declined. The S&P 500 Index advanced 6.35% during the quarter outpacing gains from mid caps which were up 5.6% and small caps which were up 5.3% for the quarter.
- Despite recessions plaguing many European countries, the MSCI EAFE gained 6.98% after currency translation during the quarter. Emerging markets were stronger and advanced 7.89%. International equity market returns continue to lag U.S. domestic equity returns on 1, 3, and 5-year trailing periods.
- Fixed income returns, as measured by the Barcap Aggregate Index, were positive 1.58%. Credit and spread securities drove return.
- Hedge fund performance was positive during the quarter as measured by the broad Hedge Fund Research, Inc. Fund of Funds (HFRI FOF) Index, up 2.32%. Year to date, the index is up 3.3%, lagging both broad equity and fixed income returns.

### **B. Manager Performance**

- Active manager returns were mixed relative to the benchmarks during the quarter. The underperformance by most active managers, relative to the benchmark returns during the quarter, is attributable to high quality holdings in manager portfolios.

The trustees reviewed the Investment Policy Statement (IPS). The trustees reaffirmed that the IPS reflects the changes made during the August 8, 2012 trustees meeting.

**Action Item 8: The trustees received the investment review for information (Attachment 6).**

**Action Item 9: The trustees reaffirmed that the IPS reflects the changes made during the August 8, 2012 trustees meeting.**

## **11. Minimum Distribution Calculation**

The trustees reviewed the projected minimum distribution calculation for information (Attachment 7).

**Action Item 10: The trustees reviewed the projected minimum distribution calculation for information (Attachment 7).**



## **12. Electronic Records**

Ms. Cianciotto reviewed the staging area for the secure website with the trustees. The trustees requested some additional folders be added to the secure website. They have also asked if the website can have a search function and to verify that the site is secure. The trustees requested that the secure website for the MBRF be activated not later than December 1, 2012.

**Action Item 11: Ms. Cianciotto will work with her contact at Foundation Center to add the additional folders to the website and upload all the files not later than December 1, 2012 and confirm that the website is secure.**

## **13. University of Arizona EMBI Business Plan**

The trustees reviewed the additional information regarding the University of Arizona EMBI Business Plan (Attachment 8) provided by Dr. Carol Barnes. The trustees did not approve the plan but favor support in some way. Dr. J. Lee Dockery will contact Dr. Carol Barnes to express the sentiments of the MBRF.

**Action Item 12: The trustees reviewed the additional information regarding the University of Arizona EMBI Business Plan (Attachment 8) provided by Dr. Carol Barnes.**

**Action Item 13: Dr. J. Lee Dockery will contact Dr. Carol Barnes to express the sentiments of the MBRF.**

## **14. Association of Small Foundations**

The trustees reviewed the renewal notice from the Association of Small Foundations (ASF). Through its membership with ASF, the MBRF receives Directors and Officers (D&O) Insurance at a reduced rate. The trustees approved the renewal of the ASF membership in the amount of \$695.

**Action Item 14: The trustees approved the renewal of the ASF membership in the amount of \$695.**

## **15. Directors & Officers Insurance**

The trustees reviewed the renewal notice from Philadelphia Insurance Companies for their Directors and Officers (D&O) Insurance. The trustees approved the renewal in the amount of \$1,646.13.

**Action Item 15: The trustees approved the renewal of the D&O Insurance in the amount of \$1,646.13.**

There being no further business, the meeting adjourned at 11:35 a.m.

**Summary of Action Items:**

Respectfully Submitted,

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Melanie A. Cianciotto  
SunTrust Bank, Corporate Trustee

# McKnight Brain Research Foundation

## Projected Minimum Investment Return Calculations

(As of 02/05/2013 for fiscal year ending 6/30/2013)

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Average Fair Market Value	\$41,907,157.70
Less:	
Cash held for charitable purposes (1 1/2 %)	<u>(\$628,607.37)</u>
Net value of non-charitable use assets	\$41,278,550.34
Minimum Investment Return (5%)	\$2,063,927.52

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### Net Minimum Investment Return Calculation:

Minimum investment return	\$2,063,927.52
Less:	
sub total    Qualifying Distributions	<u>(\$2,402,892.54)</u>
	<u>(\$338,965.02)</u>
Excess distribution carryover (actual for '07, '08, '09, '10, '11)	\$5,197,632.00
(estimate for '12)	<u>\$338,965.02</u>
	<u>\$5,536,597.02</u>

**McKnight Brain Research Foundation**  
**Minimum Distribution Calculation**  
**Fiscal years 2000 - 2012**

<u>Market Value</u> Dec 1999 - \$69,126,583	<u>Tax Year</u>	<u>Distributable Amount</u>	<u>Qualifying Distributions</u>	<u>Excess Distributions</u> <u>Carryover</u>	<u>Undistributed Income</u>
\$51,867,213	7/1/03 - 6/30/04	\$2,352,435	\$1,665,404	\$5,266,241 (last year we could carryover gift to UF)	\$0.00
\$51,898,266	7/1/04 - 6/30/05	\$2,450,345	\$3,026,049	\$575,704	\$0.00
\$55,777,369	7/1/05 - 6/30/06	\$2,620,008	\$2,036,659	\$0	\$7,645.00
\$62,782,831	7/1/06 - 6/30/07	\$2,843,725	\$3,299,931	\$448,561	\$0.00
\$54,753,484	7/1/07 - 6/30/08	\$2,817,569	\$3,110,508	\$292,939	\$0.00
\$39,447,094	7/1/08-6/30/09	\$2,016,762	\$2,517,340	\$500,578	\$0.00
\$39,991,364	7/1/09-6/30/10	\$1,952,550	\$3,789,616	\$1,837,066	\$0.00
\$44,648,921	7/1/10-6/30/11	\$2,058,313	\$3,983,492	\$1,925,179	\$0.00
\$41,206,393	7/1/11-6/30/12	\$1,973,938	\$2,615,808	\$641,870	\$0.00
\$41,907,157	7/1/12 -6/30/13	\$2,063,927	\$2,402,892 (estimate)	\$338,965 (estimate)	\$0.00
			\$43,487,152	\$5,536,597	(estimated total excess carryover)

**Part X** Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	40,680,711.
b	Average of monthly cash balances	1b	223,937.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	40,904,648.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	40,904,648.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	613,570.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	40,291,078.
6	Minimum investment return. Enter 5% of line 5	6	2,014,554.

**Part XI** Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	2,014,554.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	12,317.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	28,299.
c	Add lines 2a and 2b	2c	40,616.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,973,938.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	1,973,938.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,973,938.

**Part XII** Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	2,615,808.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	2,615,808.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	2,615,808.

**Note.** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
<b>1</b> Distributable amount for 2011 from Part XI, line 7 .....				1,973,938.
<b>2</b> Undistributed income, if any, as of the end of 2011:				
<b>a</b> Enter amount for 2010 only .....			0.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2011:				
<b>a</b> From 2006 ..... 448,561.				
<b>b</b> From 2007 ..... 292,939.				
<b>c</b> From 2008 ..... 500,578.				
<b>d</b> From 2009 ..... 1,837,066.				
<b>e</b> From 2010 ..... 1,925,179.				
<b>f</b> Total of lines 3a through e .....	5,004,323.			
<b>4</b> Qualifying distributions for 2011 from Part XII, line 4: ► \$ 2,615,808.				
<b>a</b> Applied to 2010, but not more than line 2a ...			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions) ...		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions) .....	0.			
<b>d</b> Applied to 2011 distributable amount .....				1,973,938.
<b>e</b> Remaining amount distributed out of corpus .....	641,870.			
<b>5</b> Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 .....	5,646,193.			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b .....		0.		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed .....		0.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions .....		0.		
<b>e</b> Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr. ...			0.	
<b>f</b> Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012 .....				0.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) .....	0.			
<b>8</b> Excess distributions carryover from 2006 not applied on line 5 or line 7 .....	448,561.			
<b>9</b> Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a .....	5,197,632.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2007 ... 292,939.				
<b>b</b> Excess from 2008 ... 500,578.				
<b>c</b> Excess from 2009 ... 1,837,066.				
<b>d</b> Excess from 2010 ... 1,925,179.				
<b>e</b> Excess from 2011 ... 641,870.				

# McKnight Brain Research Foundation

## Historical Gifts

Fiscal years 2000 - 2013

	University of Alabama	University of Arizona	University of Florida	University of Miami	FNIH
<b>Commitments</b>	<b>\$5,000,000 (5/15/2004) \$1,000,000 (10/19/2005) \$6,000,000 (8/3/2009)</b>	<b>\$5,000,000 (10/17/2006) \$300,000 (7/10/2008)</b>	<b>\$15,000,000</b>	<b>\$5,000,000</b>	<b>\$5,000,000</b>
7/1/99 -6/30/00			\$15,000,000		
7/1/00 -06/30/01					
7/1/01 - 06/30/02					
7/1/02 - 6/30/03					
7/1/03 - 6/30/04				\$1,500,000	
7/1/04 - 6/30/05	\$2,000,000			\$875,000	
7/1/05 - 6/30/06	\$1,000,000			\$875,000	
7/1/06 - 6/30/07	\$1,000,000	\$1,000,000		\$875,000	
7/1/07 - 6/30/08	\$1,000,000	\$1,000,000		\$875,000	
7/1/08-6/30/09	\$1,000,000	\$1,300,000			
7/1/09-6/30/10	\$1,500,000	\$1,000,000			\$1,000,000
7/1/10-6/30/11	\$1,500,000	\$1,000,000			\$1,000,000
7/1/11-6/30/12	\$1,000,000				\$1,000,000
7/1/12-6/30/13	\$1,000,000				\$1,000,000
<b>Balance</b>	<b>\$11,000,000 \$1,000,000</b>	<b>\$5,300,000</b>	<b>\$15,000,000</b>	<b>\$5,000,000</b>	<b>\$4,000,000 \$1,000,000</b>

Total Gift Payments\*

\$40,300,000

Remaining Balance of Commitments\*

\$2,000,000

\* through January 31, 2013

# Grant Commitments Schedule

2/19/2013 Meeting

<u>Organization</u>	Grant Total	Paid Prior Years	Paid YTD	2011	Scheduled Payments 2012	2013	Remaining Balance
<b>2009</b>							
Foundation for the National Institutes of Health	\$5,000,000.00	\$4,000,000.00	\$0.00	\$0.00	\$0.00	\$1,000,000.00 7/1/2013	\$1,000,000.00
University of Alabama School of Medicine	\$6,000,000.00	\$5,000,000.00	\$0.00	\$0.00	\$0.00	\$1,000,000.00 10/1/2013	\$1,000,000.00
<b>Total 2009</b> (2 items)	<u>\$11,000,000.00</u>	<u>\$9,000,000.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$2,000,000.00</u>	<u>\$2,000,000.00</u>
<b>Grand Total</b> (2 items)	<u>\$11,000,000.00</u>	<u>\$9,000,000.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$2,000,000.00</u>	<u>\$2,000,000.00</u>



## Travel Award Program

[illegible]

# SUNTRUST

Date: February 5, 2013

To: McKnight Brain Research Foundation Trustees  
Henry H. Raattama, Jr. Legal Counsel

From: Melanie Cianciotto

Subject: Secure Website

---

The secure website is up and running. I am currently in the process of uploading all of the content. The website can be accessed as follows:

<http://mcknightbrain.org>

Username is **mcknight** (all lowercase)

Password is **X1234mcknight** (Initial Cap X)

MC/nd

cc: Mike Hill

Enclosures

**McKnight Brain Research Foundation**  
**Upcoming Dates/Events (2013)**

**2013**

<b>April 2013</b>	<b>July 2013</b>	<b>October 2013</b>	<b>November 2013</b>
<b>MBRF Board of Trustees Meeting</b> <b>Inter-Institutional Meeting</b>  University of Alabama at Birmingham April 24 - 26, 2013  Arrive noon April 24, 2013 Depart noon April 26, 2013	<b>MBRF Board of Trustees Meeting</b>  <i>To be determined</i>	<b>MBRF Board of Trustees Meeting</b>  <i>To be determined</i>	<b>Society for Neuroscience</b>  San Diego, CA November 9 - 13, 2013 Will MBRF host poster reception?

**Proposal**  
**Evelyn F. McKnight Poster Reception**  
**Society for Neuroscience Meeting**  
**San Diego, CA**  
**November 10, 2013**

***Background***

According to the mission statement, the McKnight Brain Research Foundation strives to:

- Lead in generating interest and support of scientific research in the understanding and alleviation of age-related memory loss
- Inspire commitment and shared vision in the understanding and alleviation of age-related memory loss
- Partner with research scientists, institutions, and organizations to promote research to understand and alleviate age-related memory loss
- Promote collaboration and communication among research scientists, institutions, and organizations engaged in research in age-related memory loss
- Nurture scientists dedicated to the exploration and innovative research in the understanding and alleviation of age-related memory loss
- Recognize and Reward achievement in discoveries leading to the understanding and alleviation of age-related memory loss

The mission statement of the Society for Neuroscience is to:

- **Advance the understanding of the brain and the nervous system** by bringing together scientists of diverse backgrounds, by facilitating the integration of research directed at all levels of biological organization, and by encouraging translational research and the application of new scientific knowledge to develop improved disease treatments and cures.
- **Provide professional development activities, information, and educational resources** for neuroscientists at all stages of their careers, including undergraduates, graduates, and postdoctoral fellows, and increase participation of scientists from a diversity of cultural and ethnic backgrounds.
- **Promote public information and general education** about the nature of scientific discovery and the results and implications of the latest neuroscience research. Support active and continuing discussions on ethical issues relating to the conduct and outcomes of neuroscience research.
- **Inform legislators and other policymakers** about new scientific knowledge and recent developments in neuroscience research and their implications for public policy, societal benefit, and continued scientific progress.

When comparing the two mission statements, it is found they have similar goals...advancing the understanding of the brain. While the Society for Neuroscience (SfN) looks at a broader spectrum of the brain and nervous system, the McKnight Brain Research Foundation is more focused on age-related memory loss. Working together, the two entities can both achieve their goals. With over 38,000 members, the SfN is a much larger organization than the McKnight Brain Institute and the SfN has the ability to give the McKnight Brain Institute worldwide exposure.

The SfN sponsors a meeting each fall attracting thousands of attendees. The meeting consists of poster sessions, symposia, and lectures presenting the latest findings on topics ranging from molecular

signaling in the brain to systems neuroscience and neurodegenerative disorders. In the evening hours, the Society sponsors themed social events. These socials provide a casual atmosphere in which researchers interested in a particular topic can network and discuss ideas.

### ***2012 Progress Report – New Orleans, LA***

The McKnight Brain Research Foundation Poster Reception was held at the Hilton New Orleans Riverside, New Orleans, LA on Sunday evening, October 14, 2012. The event was well attended with over 200 scientists, researchers, clinicians, postdoctoral fellows, graduate and undergraduate students signing-in. There were 42 registered posters which included representation from each of the McKnight Institutes and Center. Attendees included prominent scientists from the National Institutes of Aging as well as neuroscientists at different stages of their careers interested in investigating age-related memory loss. The event fulfilled its goals of showcasing McKnight research being conducted at all levels and provided a venue where neuroscientists were able to network and discuss ideas centered on normative aging.

### ***Proposal***

The Society for Neuroscience will be holding its' annual meeting in San Diego, CA from November 9-13, 2013. This proposal is to organize a social event for the Evelyn F. McKnight Brain Institutes and Center. Pending budget approval of the Trustees, the SfN event manager can schedule an event at one of the sponsoring hotels in San Diego, CA. The event would be listed in the Online Program as well as in the Final Program for the annual SfN meeting as a social for "The Evelyn F. McKnight Brain Research Foundation" under the topic of "The Neuroscience of Aging." The listing will state that the event is not only for members of the McKnight Institutes and Center, but any SfN meeting attendee interested in the field of normative aging.

### ***Venue***

The Evelyn F. McKnight SfN poster session would take place at a SfN assigned hotel in San Diego, CA. The evening of Sunday, November 10, 2013 will be requested. Posters will be set-up and organized to be representative of research from all the Institutes. Attendees of the social can visit posters and discuss scientific issues directly with the presenter. Tables located throughout the room would facilitate group discussions. The selection and organization of the posters would be in conjunction with representative graduate students from the Institutes. Additionally, a selection of beverages and appetizers would be available.

### ***Records***

Prior to admittance to the poster session, attendees will be required to sign-in and note the institute/organization they represent. Upon signing-in, attendees will receive two tickets for two free drinks. Using the ticket method, will encourage everyone to sign-in and will ultimately provide documentation needed to verify attendance. The ticket method will also allow the event planners to monitor expenses associated with beverage purchases, thus ensuring the event will not exceed the approved budget.

### ***Budget***

The Society for Neuroscience charges an administrative fee of \$500 to list and provide a venue for sponsored events. Additionally, the hotel normally charges rental fees for the conference room. However, the room rental fee can usually be waived for large events with a (pre-tax and service) minimum food/beverage commission. It will be necessary to rent poster boards from an outside

vendor. Food and beverage costs have been broken down into three options listed in the table below. All budgeting was constructed on an estimated attendance of 225 persons. As noted above, each attendee will receive 2 tickets for beverages thus providing a system to monitor beverage expenses.

A cost of living comparison was done between New Orleans restaurants and San Diego restaurants in order to try to predict any unforeseen restaurant expenses. According to the survey, the catering expenses are more costly in San Diego than New Orleans. Within the guidelines provided below, the catering expenses will be closely monitored to make sure no overages are incurred.

A breakdown of estimated expenses is found in Appendix A.

# Appendix A

	Tier 1	Tier 2	Tier 3
Society for Neuroscience: Symposia Application Fee and Online Listing Fee	\$500	\$500	\$500
Standing podium and microphone set-up	\$200	\$200	\$200
Rental of Poster Boards 25 Double sided boards Size 4'x6' Price includes delivery, set up and removal	\$2,800	\$2,800	\$2,800
Printing of Scientific Booklets & Shipping Fees	\$1,500	\$1,500	\$1,500
Subtotal Miscellaneous Costs	\$5,000	\$5,000	\$5,000
Food Catering	Hot and cold appetizers	Hot and cold appetizers	Hot and cold appetizers
Beverage Catering	Small selection of beer and wine	Large selection of beer and wine	Open bar with wine, beer, and liquor
Subtotal Catering fees including service and tax	\$12,000	\$14,000	\$16,000
Estimated Grand Total	\$17,000	\$19,000	\$21,000



# INSTITUTE OF MEDICINE

OF THE NATIONAL ACADEMIES

Board on Health Sciences Policy

RECEIVED DEC 21 2012

December 18, 2012

Dear Trustees of the McKnight Brain Research Foundation,

Thank you for sponsoring the Institute of Medicine Planning Meeting: Gaps and Opportunities in the Field of Cognitive Aging. I am pleased to report the results of that meeting and would welcome the opportunity to talk further with you and answer any questions you may have.

At the November 27, 2012 planning meeting, 35 individuals representing a range of relevant disciplines met to discuss gaps and opportunities in the field of cognitive aging with a focus on the public health aspects of cognitive aging and next steps needed to move the field forward. The meeting was organized into four presentation and discussion sessions:

- Definitions, epidemiology, and the public health perspective
- Overview of the science of cognitive aging—basic and clinical research
- Interventions
- Public awareness and the role of health care providers.

Presenters for each session and meeting participants were asked to consider the following questions:

- What are the gaps and opportunities in this area?
- Could an IOM study move this area forward? What issues would an IOM study explore in this area?
- Who are the major stakeholders for recommendations in this area?

A final session provided an opportunity for the participants to synthesize and summarize the day's discussions.

The planning group members agreed that cognitive aging is a topic that would greatly benefit from an Institute of Medicine (IOM) study. The meeting participants identified a number of public health and clinical challenges (discussed in more detail below) throughout the meeting that would benefit from a comprehensive review and corresponding recommendations from the IOM. The participants saw IOM as the site for such a study based on its independence, scientific credibility, and policies that require efforts to balance biases and avoid conflicts of interest. The IOM also offers access to a full range of expertise in the health professions, sciences, technology development, and policy through its honorific and committee membership. The planning meeting participants believe that the timing is right for a thorough review of the public health aspects of cognitive aging given the demographic shifts toward an older population, anticipated changes with health care reform, new advances in cognitive sciences and the neurosciences, and the

**THE NATIONAL ACADEMIES**  
*Advisers to the Nation on Science, Engineering, and Medicine*

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growing number of options available to consumers that aim to enhance cognitive abilities and prevent or ameliorate cognitive decline.

Once initial determinations were made about the benefits of an IOM study, the planning meeting participants discussed the major gaps and challenges that the field faces. This discussion led to the development of the following scope of work, which provides the charge and sets forth the task to an IOM ad hoc committee. This scope of work is a starting point for discussions with potential sponsors and can be revised by the sponsors, in conjunction with IOM leadership, in the development of an IOM study.

### **Draft Scope of Work**

The potential for decline in cognitive abilities with increasing age and the consequences of decline present serious concerns for older adults, their family members, and society. Cognitive decline spans the spectrum from forgetfulness to mild impairments (that do not meet disease criteria, but affect quality of life and functioning) to more serious impairments and dementias. The science and understanding of the natural course of cognitive health, cognitive aging, and cognitive decline, along with risk and protective factors, is limited but growing. The demographic shifts toward higher percentages of older adults—particularly individuals over 85 years of age, the lack of public understanding and awareness, and the challenges associated with educating health care professionals about the multiple facets of cognitive aging are among the many reasons for conducting an IOM study.

The Institute of Medicine is charged with convening an ad hoc committee to examine cognitive health and aging, as distinct from Alzheimer's disease. The committee's work will focus on the public health aspects of cognitive aging with an emphasis on the following:

- *Definitions and terminology* – The study will explore relevant definitions and terminology with consideration given to preventing unintended consequences of terminology.
- *Epidemiology and surveillance* – The focus of the study will be on identifying efforts needed to better understand the public health implications of cognitive aging and its risk and preventive factors, as well as the development of relevant surveillance or monitoring tools and methodologies.
- *Prevention and intervention opportunities* – The study will take into account the multiple aspects of enhancing cognitive aging, prevention of impairment, and amelioration of cognitive decline. Other areas to be considered include the multiple domains of cognition, its non-linear progression, multi-modal interventions, potentially reversible iatrogenic contributors to cognitive decline, role of comorbidities, use of emerging technologies, regulatory and public policy concerns associated with products aimed at enhancing cognition and preventing decline, innovative sites for care delivery in the community, and access to high quality health

care.

- *Education of health professionals* – This study will explore the education of health professionals related to cognitive health and decline and will identify examples of best practices for educating health professions to ensure high quality care and education for older adults and their families about cognitive aging and its possible consequences.
- *Public awareness and education* – The study will consider new approaches for enhancing awareness and disseminating information (with cultural, ethical, and health literacy considerations) to the public and to older adults and their families and caregivers.

The committee's work should be grounded in the scientific evidence and use practical and real-world approaches that take into account the ethical and cultural considerations relevant to aging and independent living. Further, efforts across scientific disciplines and sectors of the community that are relevant to decision-making by older adults and their families (e.g., financial, transportation, community services) should be included in the work of the committee.

The committee will hold information-gathering workshops open to the public during the course of its work. The report will not focus on setting an agenda for basic and biomedical science research as this has been the topic of recent reports and forums. Biomedical research will, however, inform the committee's deliberations and will serve as the foundation for the evidence base of the report. The committee's report will provide recommendations relevant to the topics discussed above and to other public health aspects of cognitive health and aging as identified by the committee.

Additionally, during the planning meeting a number of potential sponsors for an IOM study on cognitive aging were identified including McKnight Brain Research Foundation, National Institute on Aging, Department of Veterans Affairs, Centers for Disease Control and Prevention, Retirement Research Foundation, Foundation for the National Institutes of Health, MetLife Foundation, AARP, John A. Hartford Foundation, Robert Wood Johnson Foundation, American Geriatric Society Foundation for Health in Aging, and others.

On behalf of the Institute of Medicine, I would like to thank you for sponsoring this planning meeting. By convening experts in the field of cognitive aging, we were able to have a well-informed and highly-engaged discussion of the gaps and opportunities in the cognitive aging field. We hope the planning meeting's deliberations will be useful in moving this field forward.

In following up on this planning meeting, IOM staff members, including Andrew Pope, Andrea Schultz, and Cathy Liverman, will be in touch with Dr. Lee Dockery to answer any questions and to discuss next steps. The IOM welcomes the opportunity to consider how best to move this effort forward.

Thanks again for sponsoring this important planning meeting.

Sincerely,



Dan G. Blazer, M.D., Ph.D.  
*Chair, IOM Planning Group on Cognitive Aging*

cc: Andrew Pope  
Cathy Liverman  
Andrea Schultz  
Planning Meeting Participants

Attachments: Planning Meeting Participant List  
Agenda

**INSTITUTE OF MEDICINE**  
**Board on Health Sciences Policy**

**Gaps and Opportunities in the Field of Cognitive Aging:  
An IOM Planning Meeting**

**Tuesday, November 27, 2012**  
National Academy of Sciences  
2101 Constitution Avenue, NW, Washington, D.C.  
Room 125

**MEETING OBJECTIVES AND TASKS**

---

- Identify gaps and opportunities in the field of cognitive aging with a focus on:
  - Epidemiology and the public health perspective
  - Research and interventions
  - Public awareness and the role of health care providers
- Determine if there is potential value in having an IOM study at this point on cognitive aging; if there is a need and the value added is identified, determine the scope of work for a future IOM study

**AGENDA**

---

- 8:00 – 8:30 a.m. **Sign-in**  
**Breakfast and coffee, Room 125**
- 8:30 – 8:45 **Welcome, Meeting Goals, and Participant Introductions**  
*Dan Blazer, Chair, Planning Group*
- 8:45 – 9:00 **Charge to the Group**  
*Lee Dockery, McKnight Brain Research Foundation*

9:00 – 10:15    **Topic 1: *Understanding Cognitive Aging: Definitions, Epidemiology, and the Public Health Perspective***  
Discussion Facilitator: *George Rebok*  
Rapporteur: *Kristine Yaffe*

9:00 – 9:20      **Perspective on the Gaps and Challenge to the Group**

- *George Rebok*, Johns Hopkins University
- *Kristine Yaffe*, University of California, San Francisco

9:20 – 10:10    **Group Discussion**

10:10 – 10:15    **Summary by the rapporteur**

**Session Questions/Points of Discussion**

- What are the gaps and opportunities in this area?
- Could an IOM study move this area forward?
- Who are the major stakeholders for recommendations in this area?

10:15 – 10:30    **Break**

10:30 – 11:30    **Topic 2: *Overview of the Science of Cognitive Aging: Gaps and Opportunities***  
Discussion Facilitator: *Molly Wagster*  
Rapporteur: *Sharon Inouye*

10:30 – 10:50    **Perspective on the Gaps and Opportunities and Challenge to the Group**

- *Michela Gallagher*, Johns Hopkins University
- *Sharon Inouye*, Harvard University

10:50 – 11:25    **Group Discussion**

11:25 – 11:30    **Summary by the rapporteur**

**Session Questions/Points of Discussion**

- What are the gaps and opportunities in this area?
- Could an IOM study move this area forward? What issues would an IOM study explore in this area?
- Who are the major stakeholders for recommendations in this area?

11:30 – 12:45 **Topic 3: *Interventions: Gaps and Opportunities***  
Discussion Facilitator: *Art Kramer*  
Rapporteur: *Adam Gazzaley*

**11:30 – 11:50 Perspectives on the Gaps and Opportunities and Challenge to the Group**

- *Art Kramer*, University of Illinois, Urbana-Champaign
- *Adam Gazzaley*, University of California, San Francisco

**11:50 – 12:40 Group Discussion**

**12:40 – 12:45 Summary by the rapporteur**

**Session Questions/Points of Discussion**

- What are the gaps and opportunities in this area?
- Could an IOM study move this area forward? What issues would an IOM study explore in this area?
- Who are the major stakeholders for recommendations in this area?

12:45 – 1:30 **Lunch** NAS Cafeteria

1:30 – 1:45 **Afternoon Opening Remarks**  
*Marie Bernard*, Deputy Director, National Institute on Aging

1:45 – 2:45 **Topic 4: *Public Awareness and the Role of Health Care Providers: Gaps and Opportunities***  
Discussion Facilitator: *Lynda Anderson*  
Rapporteur: *David Weir*

**1:45 – 2:15 Perspectives on the Gaps and Opportunities and Challenge to the Group**

- *Lynda Anderson*, CDC
- *Tom Prohaska*, George Mason University
- *Malaz Boustani*, Indiana University

**2:15 – 2:40 Group Discussion**

**2:40 – 2:45 Summary by the rapporteur**

**Session Questions/Points of Discussion**

- What are the gaps and opportunities in this area?

- Could an IOM study move this area forward? What issues would an IOM study explore in this area?
- Who are the major stakeholders for recommendations in this area?

2:45 – 3:00      **Break**

3:00 – 4:30      **Next Steps**

*Dan Blazer, Chair*

- Review the issues raised in each of the topic area discussions
- Decide on next steps
  - Would an IOM study be useful? Is the time right for an IOM study?
  - If so, what would be the scope/major questions?
  - Potential funders?
  - Types of expertise needed?
- Draft and revise draft scope of work (if needed)

4:30              **Adjourn**

# **Gaps and Opportunities in the Field of Cognitive Aging: An IOM Planning Meeting**

Tuesday, November 27, 2012  
National Academy of Sciences  
2101 Constitution Avenue, NW, Washington, D.C.

## **MEETING PARTICIPANTS**

### **PLANNING GROUP**

**Dan G. Blazer, M.D., Ph.D. , Chair**

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## PARTICIPANTS, SPEAKERS, AND SPONSORS

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## Cianciotto.Melanie

---

**From:** J. Lee Dockery [jld007@cox.net]  
**Sent:** Thursday, January 31, 2013 5:28 PM  
**To:** Wagster, Molly (NIH/NIA) [E]  
**Cc:** Cianciotto.Melanie; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; DAlessandro.Nicole; Henry H. Raattama, Esq.  
**Subject:** Re: concept for new cognitive aging initiative

Hi, Molly!

Thanks for your thoughtfulness in sending the welcome news of the favorable action by the members of the National Institute on Aging (NIA) Advisory Council to proceed in developing an initiative to promote cognitive aging research with the continuation of the Research Partnership in Cognitive Aging between the NIA and the MBRF through the Foundation for the National Institutes of Health (FNIH). It is desirable for the trustees to receive copies of the written proposal in order to have a better understanding in anticipation of the formal discussion and bilateral approval by the trustees.

In an earlier e-mail to you, I indicated I had made contact with Julie Wolf-Rodda regarding the process and mechanism by which the Research Partnership would be continued or renewed. I have not heard back from her and will hope these details can be defined in your conference call with the FNIH staff on February 11. Perhaps our telephone discussion should follow your conference call and in that context, I can arrange a time on February 12, February 13 (morning only), and February 15 (10-12 AM; and afternoon 2:30 PM).

It is hoped you will enjoy and wonderful trip to Tennessee to visit your family and you find all are doing well.

With warmest regards,

Lee

----- Original Message -----

**From:** Wagster, Molly (NIH/NIA) [E]

**To:** 'J. Lee Dockery'

**Sent:** Wednesday, January 30, 2013 10:42 PM

**Subject:** concept for new cognitive aging initiative

Dear Lee,

After an internal presentation yesterday by Jon King and myself, a brief presentation and vote was taken at the NIA Advisory Council meeting today. The motion passed for us to proceed on developing an initiative to promote cognitive aging research. I have a conference call planned with FNIH staff for February 11<sup>th</sup> so I believe things are starting to move along.

I hope to be able to mail to you a brief write-up that Jon and I generated for the presentation, along with the slides that were presented. I have sent an inquiry to our Director of Extramural Activities and am awaiting his blessing before I send these things to you.

I would like to briefly chat with you so that we can catch up on several things. I will be away visiting my family in Tennessee 2/1 – 2/7, back in the office on the 8<sup>th</sup>. Would there be a convenient time for you the week of February 11<sup>th</sup>? It need not be too long of a chat.

By the way, I saw Carol Barnes earlier this week at the review of our Division's programs. It was great to have the opportunity to visit with her – a great scientist and a lovely person.

My best regards,  
Molly

Molly V. Wagster, Ph.D.  
Chief, Behavioral & Systems Neuroscience Branch  
Division of Neuroscience  
National Institute on Aging

Gateway Bldg. Suite 350	phone: 301-496-9350
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for courier, use 20814	

**Cianciotto.Melanie**

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**From:** J. Lee Dockery [jld007@cox.net]  
**Sent:** Thursday, January 17, 2013 5:33 PM  
**To:** Wagster, Molly (NIH/NIA) [E]; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; Henry H. Raattama, Esq.; Cianciotto.Melanie; DAlessandro.Nicole  
**Cc:** King, Jonathan (NIH/NIA/ERP) [E]; Wolf-Rodda, Julie (FNIH) [T]  
**Subject:** Re: MBRF/NIA research partnership

Dear Molly,

Thank you for your thoughtful reply to my request for a broader description of the concept proposal in support of cognitive aging research which would be considered by the members of the NIA National Advisory Council at its meeting on January 30, 2013. My questions regarding the scope of the concept proposal were based on the desire and effort to be as transparent as possible with the other trustees regarding a broader description of the concept proposal in preparation for the next meeting of the trustees of the MBRF on February 19-20, 2013. Your reply addresses questions very well and will enable the trustees to take favorable formal action at the February meeting if approved by the members of the advisory council. As a result of your counsel, it will not be necessary for a trustee of the MBRF to attend the advisory council meeting.

In an attempt to anticipate the necessary steps for each of us (the NIA and the MBRF) to continue the Research Partnership in Cognitive Aging through the Foundation for the National Institutes of Health, I contacted Julie Wolf-Rodda, director of partnership development at the FNIH. She indicated she will discuss the requirements with Dr. Freire to determine the recommended procedures for each organization to renew the Research Partnership Agreement either through a Memorandum of Understanding (MOU), a Letter of Agreement (LOA) or some other mechanism. The procedure may be different for each of our organizations. It is hoped with this advance preparation in anticipation of the approval by the NIA and the MBRF, within the appropriate guidelines and procedures, will enable us to reach a successful timely implementation of a "continuation", "renewal", "extension" or whatever process is determined.

On behalf of the trustees, I am inadequate to express our appreciation to you and Dr. King for your visible and valued efforts to advance the research initiatives within the overarching domain of cognitive aging and associated memory loss. At the planning meeting of the Institute on Medicine, you were able to witness the importance and value the scientific research community places on the opinion and supportive position of the NIA.

With warmest regards and appreciation,

Lee

----- Original Message -----

**From:** Wagster, Molly (NIH/NIA) [E]  
**To:** 'J. Lee Dockery'; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; Henry H. Raattama, Esq.; Melanie Cianciotto; Nicole.Dalessandro@SunTrust.com  
**Cc:** King, Jonathan (NIH/NIA/ERP) [E]  
**Sent:** Wednesday, January 16, 2013 2:27 PM  
**Subject:** RE: MBRF/NIA research partnership

Dear Lee,

We would be delighted for you and any of the trustees to attend the NIA's National Advisory Council on Aging (NACA) on January 30<sup>th</sup>. We sent the previous email message just to make you aware of the changes in the

manner and time allotted on the Council agenda for presentation of initiatives so that you could make a more informed choice about who may wish to attend.

When you, Gene Ryerson, Jon King and I met at the Society for Neuroscience meeting in October, Jon and I indicated that we planned to take forward to our Winter Retreat in December 2012, the idea for a new initiative that likely would focus on full scale clinical trials to remediate age-related cognitive decline. We mentioned that the trials would likely need to be multi-site and that a key and novel component would be the tracking of therapeutic benefit by determining whether markers of beneficial neural plasticity had been engaged. What we took away from the meeting was that this idea was of great interest to you and would directly address the mission of the MBRF. As you know, it stems directly from one of the general recommendations put forth at the 2010 Cognitive Aging Summit Executive meeting, namely to "increase[e] opportunities at the interface of basic and clinical science to enhance the clinical trial enterprise," and was pertinent to other recommendations as well, notably the recommendation to "encourage[e] more integrative models of mechanisms for age-related decline/maintenance/adaptation."

At the same meeting, you indicated the MBRF's intention was to contribute \$5 million for a renewal of our partnership, and that the contribution through the FNIH would start in FY2014 and that the amount would be \$1 million per year. Although NACA still needs to clear this concept at the meeting later this month, we can say at this time that NIA intends to present this concept for clearance, and that we are planning to match the expected MBRF contribution.

The dance that the NIA and the MBRF need to perform at this stage of developing a continued partnership does seem less than ideal, but the NIA must adhere to the policies of our agency and the department. In particular, we cannot at this stage be specific regarding the concept because doing so would violate our policy by giving special access to information about a future research initiative to one party and thus potentially give the appearance that some but not all of the public would have information about the initiative. As always, we need to insure that all of the potential research community is on an equal footing.

You may recall that for the current initiatives that we co-sponsor, the process was slightly different and on a slightly slower track in 2008. For those initiatives, NIA issued a Request for Information (RFI) in which we mentioned ideas that we were considering for initiative development and asked for public comment. Although we did this primarily for reasons of timing, what this also accomplished was to allow the MBRF to officially see the ideas before we took them to our Council for concept clearance. We issued the RFI in February 2008 and presented the concept itself to the May 2008 Council. At that time, staff was still being asked to make brief presentations at the open session of Council and Jon and I each made a presentation for each of the concepts. Currently, Council members themselves are asked to describe briefly the concepts before a vote is taken.

As an alternative, we could withdraw the concept for explicit consideration at the January 2013 Council meeting and proceed along the same means and timeline we used in 2008. In this case, we would issue an RFI (which, as in 2008, the MBRF would be welcome to submit comments) and then take the concept to our May 2013 Council meeting for clearance. Whichever scenario is chosen, we will not be able to draw up an MOU between the FNIH and the NIA until after the Council meeting at which the concept is presented and cleared.

The NIA highly values the partnership with the MBRF. We believe that the efforts being undertaken by the MBRF and the NIA have raised the profile of research on cognitive aging and accelerated progress. We look forward to the opportunity for continued collaboration and to extension of these efforts into the future.

My best regards,  
Molly

Molly V. Wagster, Ph.D.  
Chief, Behavioral & Systems Neuroscience Branch  
Division of Neuroscience  
National Institute on Aging

Gateway Bldg. Suite 350

phone: 301-496-9350

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**From:** J. Lee Dockery [mailto:jld007@cox.net]  
**Sent:** Friday, January 11, 2013 10:32 AM  
**To:** Wagster, Molly (NIH/NIA) [E]  
**Cc:** King, Jonathan (NIH/NIA/ERP) [E]; Melanie Cianciotto; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; Nicole.Dalessandro@SunTrust.com; Henry H. Raattama, Esq.  
**Subject:** Re: MBRF/NIA research partnership  
**Importance:** High

Dear Molly,

You are such a thoughtful person. No wonder I admire and respect you so much. Thanks for the advice regarding the trustees' attendance at the NIA Advisory Council meeting on January 30. The reason for our having made contact with Dr. Hodes is that we have not received a clear indication from him that the Research Partnership in Cognitive Aging would be continued; and, if so what are the components of the concept proposal which will be considered by the members of the advisory council (within identified constraints).. Dr. Ryerson and I had the pleasure of talking with you and Dr. Jonathan King at the Annual Meeting of the Society for Neuroscience, which we reported to the trustees. However, the level of funding from the NIA and the concept emphasis of the future research initiatives in cognitive aging supported through the Research Partnership have not been articulated, except for a generic description involving the possibility of a "multicenter program project". We have had no further communication regarding the research initiatives in cognitive aging and associated memory loss which would be mutually supported through the McKnight Brain Research Foundation (MBRF) and the National Institute on Aging (NIA) Partnership. In addition, the trustees have not been a part of any of the discussions with the Foundation for the National Institutes of Health to understand the process and plan for the renewal of the Research Partnership in Cognitive Aging.

In lieu of the trustees' attending the NIA Advisory Council meeting, is there a copy of the scope of the concept proposal which can be provided to the trustees? The importance of not releasing information before the official action by the members of the advisory council is understood, but I sure you will appreciate the importance of the trustees of the MBRF having knowledge of concept proposal.

On behalf of the trustees, I express our appreciation to you and Dr. King for your continued support of the research initiatives in cognitive aging and associated age related memory loss through the Cognitive Aging Summits, the Research Partnership in Cognitive Aging and the monitoring of the scientific investigators for the past four years who have been funded through the Partnership.

With warmest regards and best wishes for a healthy and prosperous New Year.

Lee

----- Original Message -----

**From:** Wagster, Molly (NIH/NIA) [E]  
**To:** 'J. Lee Dockery'  
**Cc:** King, Jonathan (NIH/NIA/ERP) [E]  
**Sent:** Thursday, January 10, 2013 9:15 AM  
**Subject:** MBRF/NIA research partnership

Dear Lee,

I hope you and your family had a wonderful holiday season. My best wishes to you for a prosperous and healthy New Year.

I have been in the background for your communications with Dr. Hodes about the renewal of the partnership and the intent to bring an initiative idea forward to the NIA Advisory Council the end of this month. I recall that you attended the Council meeting (May 2008?) in which the two previous initiative ideas were brought before Council. At that time, we were still making presentations about the scientific background and structure for the ideas for future funding to the Council members. That no longer is the case and, in fact, at the open-to-the-public session of Council on January 30<sup>th</sup>, the mention of the new initiative idea for cognitive aging research and discussion will be very minimal, possibly 5 minutes or less.

I wanted you to be aware of this before flights and lodging were scheduled because I think it would not be worth your time to make the trip for what promises to be a few minutes only on the Council agenda. I always look forward to seeing you but would hate for you or other Board members to invest the expense and travel time in what I know are already very busy schedules for all.

My very best regards,  
Molly

Molly V. Wagster, Ph.D.  
Chief, Behavioral & Systems Neuroscience Branch  
Division of Neuroscience  
National Institute on Aging

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Bethesda, MD 20892-9205      email: [wagsterm@nia.nih.gov](mailto:wagsterm@nia.nih.gov)  
for courier, use 20814

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**From:** J. Lee Dockery [mailto:[jld007@cox.net](mailto:jld007@cox.net)]

**Sent:** Monday, January 07, 2013 5:36 PM

**To:** Hodes, Richard (NIH/NIA) [E]

**Cc:** Bernard, Marie A. (NIH/NIA) [E]; Melanie Cianciotto; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; Nicole.Dalessandro@SunTrust.com; Henry H. Raattama, Esq.; Barr, Robin (NIH/NIA) [E]; Wagster, Molly (NIH/NIA) [E]

**Subject:** Re: Happy New Year!

Dear Richard,

Thanks for your thoughtful reply and the tentative desire to continue the research partnership dependent upon available funding and approval by the National Advisory Council,

I anticipate one or more of the trustees of the McKnight Brain Research Foundation will want to accept your invitation to attend the council meeting. Would you please clarify the exact date of the meeting. In your e-mail, "Wednesday, January 28, 2013," was listed as the meeting date. January 28 is a Monday. After receiving clarification, I will let you know the names of the trustees who will be attending and request information regarding the logistics of the meeting.

With appreciation for your abiding support on behalf of the NIA,

Lee

----- Original Message -----

**From:** Hodes, Richard (NIH/NIA) [E]

**To:** 'J. Lee Dockery'

**Cc:** Bernard, Marie A. (NIH/NIA) [E]; Melanie Cianciotto; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; Nicole.Dalessandro@SunTrust.com; Henry H. Raattama, Esq.; Barr, Robin (NIH/NIA) [E]; Wagster, Molly (NIH/NIA) [E]

**Sent:** Saturday, January 05, 2013 2:07 PM

**Subject:** RE: Happy New Year!



Dear Lee,

It is good to hear from you, and I hope that you also had a happy holiday season with family and friends. I share your enthusiasm that our research partnership has been very successful in energizing the field of cognitive aging research. We sincerely hope to continue the partnership in 2014 to keep the momentum going. At the same time, we must exercise caution going forward because of continuing concerns about the NIH budget. We should have more news about our ability to renew the partnership following our National Advisory Council meeting at the end of this month. We will be presenting a new concept for an initiative on cognitive aging research to our National Advisory Council. Council members must review and clear the concept before program staff may move forward with issuing a new solicitation. I invite you to attend the public portion of our Council meeting on Wednesday January 28<sup>th</sup> for the concept presentation. Following Council's clearance of the concept, we can begin discussion of an MOU to renew the partnership through FNIH.

I look forward to our continuing collaboration.

Best regards  
Richard

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**From:** J. Lee Dockery [mailto:jld007@cox.net]

**Sent:** Monday, December 31, 2012 4:35 PM

**To:** Hodes, Richard (NIH/NIA) [E]

**Cc:** Bernard, Marie A. (NIH/NIA) [E]; Melanie Cianciotto; Nina Ellenbogen Raim, MD,JD; Mike Dockery; Gene Ryerson, MD; Robert Wah, MD; [Nicole.Dalessandro@SunTrust.com](mailto:Nicole.Dalessandro@SunTrust.com); Henry H. Raattama, Esq.

**Subject:** Happy New Year!

**Importance:** High

Dear Richard,

It is hoped you and your family have enjoyed a wonderful Holiday Season followed by a happy and prosperous New Year enjoyed in good health.

The trustees of the McKnight Brain Research Foundation (MBRF) have been reviewing their research funding commitments and updated the MBRF strategic plan at the August 2012, meeting. In the opinion of the trustees, The Research Partnership in Cognitive Aging between the National Institute on Aging (IOA) has been very successful. However, we are aware that, 2013, is the last year of funding unless we mutually agree to continue the research partnership through the Foundation for the National Institutes of Health. Remembering that the NIA budget is established a considerable length of time in advance and in preparation for the trustees' meeting scheduled for February, 2012, are you able to indicate at this time the intentions of NIA in the continuation of the Research Partnership in Cognitive Aging. From the prospective of the trustees of the MBRF, it would be desirable to avoid a lapse in the momentum and the synergy in the research initiatives in cognitive aging and associated age related memory loss.

With the hope the NIA also values the Research Partnership in Cognitive Aging and wishes it to continue, what do you suggest as the next steps for timely preparation for renewal of the agreement.

On behalf of the trustees of the MBRF, I express our appreciation to you personally for your support which has permitted the research partnership to develop and provide support for research in cognitive aging in such an important and beneficial way.

Thanks for your consideration with the hope the vision and opportunities for cognitive aging research between our two organizations remain compatible and the process for renewal can defined and concluded.

With warmest regards,

Lee

J. Lee Dockery, MD

Trustee, MBRF

[jld007@cox.net](mailto:jld007@cox.net)

(352) 377-5872

3:00 P.M. — 4:00 P.M.

10. University of Miami Reports

- A. Ralph L. Sacco, MD, MS, FFAN, FAHA  
Executive Director, The Evelyn F. McKnight Brain Institute  
at the University of Miami
- B. Clinton Wright, MD  
Scientific Director, The Evelyn F. McKnight Brain Institute  
at the University of Miami

# SUNTRUST

Date: January 25, 2013

To: McKnight Brain Research Foundation Trustees  
Henry H. Raattama, Jr. Legal Counsel

From: Melanie Cianciotto

Subject: MBRF Meeting: February 19 - 20 (Miami, FL)

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Enclosed you will find the Annual Reports for each of the Institutes. I am sending these in advance of the meeting packages so there is ample time to review them prior to the February 19<sup>th</sup> Trustee's Meeting.

The meeting package and investment book will be sent separately.

MC/nd

cc: Mike Hill

Enclosures