



**Grant Number:** 1P20CA192994-01A1  
**FAIN:** P20CA192994

**Principal Investigator(s):**  
ELLEN LI, MD

**Project Title:** 1/2: Partnership to study racial/ethnic differences in GI cancer biology

Ms. Adler, Andria  
Grant Administrator  
Stony Brook University  
W5510 Melville Library  
Stony Brook, NY 117943362

**Award e-mailed to:** OSP@stonybrook.edu

**Period Of Performance:**

**Budget Period:** 09/23/2015 – 08/31/2016

**Project Period:** 09/23/2015 – 08/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$283,495 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to SUNY Research Foundation in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Cancer Institute of the National Institutes of Health under Award Number P20CA192994. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Tawana McKeither  
Grants Management Officer  
NATIONAL CANCER INSTITUTE

Additional information follows

---

**SECTION I – AWARD DATA – 1P20CA192994-01A1****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$62,713
Fringe Benefits	\$35,683
Supplies	\$2,805
Travel Costs	\$1,236
Other Costs	\$3,273
Consortium/Contractual Cost	\$116,473

Federal Direct Costs	\$222,183
Federal F&A Costs	\$61,312
Approved Budget	\$283,495
Total Amount of Federal Funds Obligated (Federal Share)	\$283,495
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$283,495</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$283,495

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD		CUMULATIVE TOTALS
1		\$283,495	\$283,495
2		\$289,027	\$289,027
3		\$288,919	\$288,919
4		\$288,919	\$288,919

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**Fiscal Information:**

**CFDA Name:** Cancer Centers Support Grants  
**CFDA Number:** 93.397  
**EIN:** 1146013200F7  
**Document Number:** PCA192994A  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2015

IC	CAN	2015	2016	2017	2018
CA	8475963	\$283,495	\$289,027	\$288,919	\$288,919

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

**PCC:** 0FMB / **OC:** 414A / **Released:** MCKEITHET 09/18/2015  
**Award Processed:** 06/15/2015 11:31:44 PM

---

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1P20CA192994-01A1**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

---

**SECTION III – TERMS AND CONDITIONS – 1P20CA192994-01A1**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants

- Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
  - f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

**Research and Development (R&D):** All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) P20CA192994. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

**Treatment of Program Income:**  
Additional Costs

---

**SECTION IV – CA Special Terms and Conditions – 1P20CA192994-01A1**

**INFORMATION:** In accordance with the National Cancer Institute's (NCI's) Fiscal Year (FY) 2015 funding policies, this award has been issued at 93.5% of the adjusted requested level\*. Support recommended for future years has been adjusted accordingly.

\*adjusted requested level: The requested level of support with adjustments made in accordance with the budget narrative in the summary statement and applicable grant policies.

\*Spreadsheets used to calculate this award are available upon request.

**INFORMATION:** Future year total cost commitments appearing on the award notice under "Recommended Future Year Total Cost Support" have been calculated by applying the negotiated facilities and administrative cost rate(s) in effect at the time of this FY2015 award to the committed total direct cost level for each future year.

**INFORMATION:** Although the budget period start date for this award is 9/23/2015, this award includes funds for twelve months of support. Future year budget periods will cycle on September 1. Allowable preaward costs may be charged to this award, in accordance with the conditions in the NIH Grants Policy Statement, (March 2015), and with institutional requirements for prior approval. A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

**INFORMATION:** This award includes funds awarded for consortium activity. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>.

**INFORMATION:** See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the NIH Grants Policy Statement (NIHGPS)(rev. 3/2015), for specific requirements and grantee responsibilities related to the protection of human subjects, which are applicable to and are a term and condition of this award. A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

This award reflects the National Cancer Institute's acceptance of the certification that all key personnel have completed education on the protection of human subjects, in accordance the NIH Grants Policy Statement (NIHGPS)(rev. 3/2015), "Education in the Protection of Human Research Subjects." A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

Any individual involved in the design and conduct of the study that is not included in the certification must satisfy this requirement prior to participating in the project. Failure to comply can result in the suspension and/or termination of this award, withholding of support of the continuation award, audit disallowances, and/or other appropriate action.

**INFORMATION:** This award, including the budget and the budget period, has been discussed between Renee Carruthers of the National Cancer Institute and the Grantee on 9/18/15.

## STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Renee Carruthers  
**Email:** carruthersr@mail.nih.gov **Phone:** 301-631-3018 **Fax:** 301-451-5391

**Program Official:** Behrouz Davani  
**Email:** behrouz.davani@nih.gov **Phone:** 240-276-6098 **Fax:** 240-276-7862

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1P20CA192994-01A1

**INSTITUTION:** SUNY Research Foundation

Budget	Year 1	Year 2	Year 3	Year 4
Salaries and Wages	\$62,713	\$62,713	\$62,713	\$62,713
Fringe Benefits	\$35,683	\$35,683	\$35,683	\$35,683

Supplies	\$2,805	\$2,805	\$2,805	\$2,805
Travel Costs	\$1,236	\$1,098	\$1,030	\$1,030
Other Costs	\$3,273	\$3,273	\$3,273	\$3,273
Consortium/Contractual Cost	\$116,473	\$122,223	\$122,223	\$122,223
TOTAL FEDERAL DC	\$222,183	\$227,795	\$227,727	\$227,727
TOTAL FEDERAL F&A	\$61,312	\$61,232	\$61,192	\$61,192
TOTAL COST	\$283,495	\$289,027	\$288,919	\$288,919

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4
F&A Cost Rate 1	58%	58%	58%	58%
F&A Cost Base 1	\$105,710	\$105,572	\$105,504	\$105,504
F&A Costs 1	\$61,312	\$61,232	\$61,192	\$61,192



**Grant Number:** 1P20CA192996-01A1  
**FAIN:** P20CA192996

**Principal Investigator(s):**  
William Richard McCombie, PHD

**Project Title:** 2/2 Partnership to Study Racial/Ethnic Differences in GI Cancer Biology

Hemish, Jill , Ph.D  
Sr. Grants Manager, Pre-Award  
One Bungtown Road  
Cold Spring Harbor, NY 117242209

**Award e-mailed to:** osp@cshl.edu

**Period Of Performance:**

**Budget Period:** 09/25/2015 – 08/31/2016

**Project Period:** 09/25/2015 – 08/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$155,520 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to COLD SPRING HARBOR LABORATORY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Cancer Institute of the National Institutes of Health under Award Number P20CA192996. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Jason Gill  
Grants Management Officer  
NATIONAL CANCER INSTITUTE

Additional information follows

---

**SECTION I – AWARD DATA – 1P20CA192996-01A1****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$25,801
Fringe Benefits	\$9,778
Supplies	\$45,421

Federal Direct Costs	\$81,000
Federal F&A Costs	\$74,520
Approved Budget	\$155,520
Total Amount of Federal Funds Obligated (Federal Share)	\$155,520
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$155,520</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$155,520

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$155,520	\$155,520
2	\$155,219	\$155,219
3	\$154,908	\$154,908
4	\$154,589	\$154,589

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**Fiscal Information:**

**CFDA Name:** Cancer Centers Support Grants  
**CFDA Number:** 93.397  
**EIN:** 1112013303A1  
**Document Number:** PCA192996A  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2015

IC	CAN	2015	2016	2017	2018
CA	8475963	\$155,520	\$155,219	\$154,908	\$154,589

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

**PCC:** 0FMB / **OC:** 414A / **Released:** GILLJ0 09/22/2015  
**Award Processed:** 06/15/2015 11:31:44 PM

---

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1P20CA192996-01A1**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

---

**SECTION III – TERMS AND CONDITIONS – 1P20CA192996-01A1**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in

- the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

**Research and Development (R&D):** All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) P20CA192996. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

**Treatment of Program Income:**  
Additional Costs

---

**SECTION IV – CA Special Terms and Conditions – 1P20CA192996-01A1**

**INFORMATION:** In accordance with the National Cancer Institute's (NCI's) Fiscal Year (FY) 2015 funding policies, this award has been issued at 100% of the adjusted requested level\*. Support recommended for future years has been adjusted accordingly.

\*adjusted requested level: The requested level of support with adjustments made in accordance with the budget narrative in the summary statement and applicable grant policies.

\*Spreadsheets used to calculate this award are available upon request.

**INFORMATION:** Future year total cost commitments appearing on the award notice under "Recommended Future Year Total Cost Support" have been calculated by applying the negotiated facilities and administrative cost rate(s) in effect at the time of this FY2015 award to the committed total direct cost level for each future year.

**INFORMATION:** Although the budget period start date for this award is 9/25/2015, this award includes funds for twelve months of support. Future year budget periods will cycle on September 1. Allowable preaward costs may be charged to this award, in accordance with the conditions in the NIH Grants Policy Statement, (March 2015), and with institutional requirements for prior approval. A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

**INFORMATION:** See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the NIH Grants Policy Statement (NIHGPS)(rev. 3/2015), for specific requirements and grantee responsibilities related to the protection of human subjects, which are applicable to and are a term and condition of this award. A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

This award reflects the National Cancer Institute's acceptance of the certification that all key personnel have completed education on the protection of human subjects, in accordance the NIH Grants Policy Statement (NIHGPS)(rev. 3/2015), "Education in the Protection of Human Research Subjects." A link to the NIH GPS is available through the following NIH Guide Notice:<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>

Any individual involved in the design and conduct of the study that is not included in the certification must satisfy this requirement prior to participating in the project. Failure to comply can result in the suspension and/or termination of this award, withholding of support of the continuation award, audit disallowances, and/or other appropriate action.

**INFORMATION:** This award, including the budget and the budget period, has been discussed between Renee Carruthers of the National Cancer Institute and the Grantee on 9/18/15.

**STAFF CONTACTS**

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Renee Carruthers  
**Email:** carruthersr@mail.nih.gov **Phone:** 301-631-3018 **Fax:** 301-451-5391

**Program Official:** Behrouz Davani  
**Email:** behrouz.davani@nih.gov **Phone:** 240-276-6098 **Fax:** 240-276-7862

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 1P20CA192996-01A1

**INSTITUTION:** COLD SPRING HARBOR LABORATORY

Budget	Year 1	Year 2	Year 3	Year 4
Salaries and Wages	\$25,801	\$25,773	\$25,773	\$25,773
Fringe Benefits	\$9,778	\$9,741	\$9,741	\$9,741
Supplies	\$45,421	\$45,329	\$45,167	\$45,001
TOTAL FEDERAL DC	\$81,000	\$80,843	\$80,681	\$80,515
TOTAL FEDERAL F&A	\$74,520	\$74,376	\$74,227	\$74,074
TOTAL COST	\$155,520	\$155,219	\$154,908	\$154,589

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4
F&A Cost Rate 1	92%	92%	92%	92%
F&A Cost Base 1	\$81,000	\$80,843	\$80,681	\$80,515
F&A Costs 1	\$74,520	\$74,376	\$74,227	\$74,074



December 4, 2015

Dr. Ellen Li  
Professor of Medicine  
Chief, Division of Gastroenterology and Hepatology  
Stony Brook University School of Medicine  
101 Nicolls Road  
Stony Brook, NY

Award ID: 415604

Dear Dr. Li,

The Simons Foundation is pleased to notify you that your project, *The Stony Brook GI Biobank* (the "Project") has been approved for funding subject to the terms and conditions outlined in this letter.

The foundation agrees to pay to Stony Brook University \$750,000, including indirect costs, as follows:

\$250,000 for the period December 1, 2015 through November 30, 2016;  
\$250,000 for the period December 1, 2106 through November 30, 2107; and  
\$250,000 for the period December 1, 2017 through November 30, 2018.

Your first biannual payment will be disbursed on or before January 30, 2016.  
Payments will be disbursed biannually by the end of the first and third quarter.

In accepting the grant, you and your institution agree to be bound by the foundation's policies. Copies of these policies can be accessed online at <https://www.simonsfoundation.org/funding/policies-and-procedures/general>. You and your institution also agree to abide by all applicable laws and regulations, including those governing the conduct of research on humans or animals.

The foundation welcomes you into the collaborative community of Simons Investigators. As a member of that community you will be expected to share tools and renewable reagents developed with foundation funds and research results with others in the foundation community.

By accepting this grant, you and your institution are confirming that you or it are not aware of any requirements that would prohibit, delay or restrict your ability (or the ability of any parties with whom you are collaborating or affiliated on the Project) to share the

December 4, 2015  
Dr. Ellen Li  
Page two

research results from this Project. The foundation has no wish to participate in the commercialization of any intellectual property that may result from your grant.

Notwithstanding the above, you agree that the foundation has the right to release a summary of findings of the research within a reasonable period of time, certainly within six (6) months of the date of the grant expiration. Furthermore, the foundation may distribute information on our website, in press releases and/or other venues regarding the Project and may do so without seeking your permission.

Publications resulting from this project must carry the following acknowledgement: "This work was supported by a grant from the Simons Foundation (Award ID, Grantee)."

The foundation expressly reserves the right to suspend, reduce funding for or terminate the grant in support of this Project in the event the progress on the Project is substantially less than anticipated or overlapping funding is received for the Project. By accepting this grant you and your institution agree to notify the foundation immediately upon receiving notification of funding that may potentially overlap with your Simons grant.

The foundation requires that within 60 days following the end of each funding year that you submit a Renewal or Final Scientific Progress Report, unless you are requesting a Carry Forward or No-Cost Extension. If you are requesting a Carry Forward or No-Cost Extension, a Carry Forward Request or No-Cost Extension Request must be submitted 30 days prior to the end of the funding year.

Financial Statements are due within 60 days following the end of each funding year. Financial Statements are due 60 days following the end of each funding year even if you submit a Carry Forward or No-Cost Extension Request. Financial Statements can be accessed and completed online in the "Budget" section of proposalCENTRAL.

All web forms are available in the Deliverables section of proposalCENTRAL, <https://proposalcentral.altum.com/>.

Payments will be delayed if an investigator has not provided Financial Statements and/or Scientific Progress Reports within 60 days of the end of each funding year.

Investigators will be granted access to proposalCENTRAL, <https://proposalcentral.altum.com/>, a web-based tool, for submitting Scientific Progress Reports, Financial Statements and other documents to the foundation during the award period and must use such tool for submitting their reports and other documents.

December 4, 2015  
Dr. Ellen Li  
Page three

We expect that Simons Investigators will participate in conferences, workshops and symposia that the foundation organizes. All travel and accommodation expenses exclusively related to these meetings will be reimbursed outside of the award funds.

The first payment will be approved upon receipt of the Activation Agreement, which can be accessed and completed online in the "Deliverables" section of proposalCENTRAL, <https://proposalcentral.altum.com/>. The Activation Agreement will indicate that the attached revised budget and the terms as outlined in the policies document are acceptable to you and your institution. The policies document can be accessed online at <https://www.simonsfoundation.org/funding/policies-and-procedures/general>.

We appreciate your willingness to help ensure the success of this Project and we look forward to working with you in the months ahead. If you have questions about the administration of this Project, please contact Patricia Weisenfeld, Vice President, Special Initiatives, at 212-524-6082 or by email [pweisenfeld@simonsfoundation.org](mailto:pweisenfeld@simonsfoundation.org). Please reference the Simons Award ID, indicated above, in all correspondence with the foundation.

We greatly appreciate your efforts to advance our understanding of autism and related neurodevelopmental disorders and we welcome you to the community of Simons Foundation Investigators.

Sincerely, (

A handwritten signature in black ink, appearing to read "Marilyn Simons". The signature is written in a cursive style with a large initial "M".

Marilyn Simons  
President