

MARIN HEALTHCARE DISTRICT

100B Drakes Landing Road, Suite 250, Greenbrae, CA 94904

Telephone: 415-464-2090

Fax: 415-464-2094

Website: www.marinhealthcare.org

Email: info@marinhealthcare.org

TUESDAY, MAY 12, 2015

CLOSED MEETING @ 6:15 PM

REGULAR OPEN MEETING @ 7:00 PM

Board of Directors

Chair: Harris Simmonds, MD

Vice Chair: Ann Sparkman, JD

Secretary: Jennifer Rienks, PhD

Directors: Larry Bedard, MD
Jennifer Hershon, RN, MSN

Location:

Marin General Hospital, Conference Ctr
250 Bon Air Road
Greenbrae, CA 94904

Staff:

Lee Domanico, CEO
Colin Coffey, District Counsel
Louis Weiner, Executive Assistant

AGENDA

Tab #

CLOSED MEETING, 6:15 PM

- | | |
|--|----------------------|
| 1. Call to Order | Simmonds |
| 2. Roll Call | Simmonds |
| 3. General Public Comment
<i>Any member of the audience may make statements regarding any items on the agenda. Statements are limited to a Maximum of three (3) minutes. Please state and spell your name if you wish it to be recorded in the minutes.</i> | Simmonds |
| 4. Closed Session | |
| a. Conference with real estate negotiators, Gov. Code Section 54956.8 regarding negotiations with Marin County re terms of location of new Hillside Garage lot boundary. Negotiators: Domanico, Friedenber | Domanico/Friedenberg |
| b. Conference with Legal Counsel: Potential litigation pursuant to Gov. Code Section 54956.9(d)(2) | Domanico |
| 5. Adjournment of Closed Session | |

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| 1. Call to Order | Simmonds | |
| 2. Roll Call | Simmonds | |
| 3. General Public Comment
<i>Any member of the audience may make statements regarding any items NOT on the agenda. Statements are limited to a maximum of three (3) minutes. Please state and spell your name if you wish it to be recorded in the minutes.</i> | Simmonds | |
| 4. Approval of Agenda (action) | Simmonds | |
| 5. Approval of Consent Agenda | | |
| a. Minutes of the Regular Meeting of April 14, 2015 (action) | Simmonds | #1 |
| 6. Safety Update | Domanico | |
| 7. Nomination of Walter Rose for MGH Board of Directors Membership (action) | Domanico | #2 |
| 8. Updating Policy and Procedure for MHD Board Meetings (action) | Coffey | #3 |
| 9. MGH 2.0, Project Update | Coss/Peluso | |
| 10. Committee Meeting Reports | | |
| a. MHD Finance and Audit Committee (04-28-2015) | | |
| (1) Review and approve amended MHD Financial Procedures and Internal Controls (action) | Bedard | #4 |
| (2) Review and approve Canterbury Consulting as Investment Advisor to the Marin Healthcare District (action) | Bedard | #5 |
| (3) Review and approve MHD Fiscal Year Change (action) | Bedard | |
| (4) Review and approve 2015 Six-Month Cash Budget (July 1—December 31, 2015) (action) | Bedard | #6 |
| b. MHD Lease and Building Committee (04-29-2015) | | |
| (1) Review and approve Brian Su, MD, as Community Member of Lease & Building Committee (action) | Sparkman | #7 |

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TUESDAY, MAY 12, 2015

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REGULAR OPEN MEETING @ 7:00 PM

11. Reports

- a. District CEO's Report
- b. Hospital CEO's Report
- c. Chair's Report
- d. Board Members' Reports

Domanico

Domanico

Simmonds

All

12. Adjournment of Regular Meeting

Next Regular Meeting: Tuesday, June 9, 2015 @ 7:00 p.m.

Tab 1



MARIN HEALTHCARE DISTRICT
100-B Drakes Landing Road, Suite 250
Greenbrae, CA 94904

**BOARD OF DIRECTORS
REGULAR MEETING**

MINUTES

Tuesday, April 14, 2015

Marin General Hospital, Conference Center

7:00 pm: Regular Meeting

1. Call to Order

Chair Simmonds called the Regular Meeting to order at 7:07 pm. He announced that the 6:00 pm Closed Session was not concluded and will continue after the Regular Meeting adjourns. Counsel Coffey added that nothing discussed in the Closed Session was reportable.

2. Roll Call

BOARD MEMBERS PRESENT: Chair Harris Simmonds, MD; Vice Chair Ann Sparkman; Secretary Jennifer Rienks; Director Larry Bedard, MD

BOARD MEMBER ABSENT: Director Jennifer Hershon

ALSO PRESENT: Lee Domanico, Chief Executive Officer; Colin Coffey, District Counsel; Louis Weiner, Executive Assistant to the Boards

3. General Public Comment

No public comments.

4. Approval of Agenda

Director Bedard moved to approve the agenda as presented. Vice Chair Sparkman seconded. Vote: all ayes.

5. Approval of Consent Agenda

a. Minutes of the Regular Meeting of March 10, 2015

b. Minutes of the Special Meeting of March 20, 2015

Director Bedard moved to approve both items on the consent agenda as presented. Secretary Rienks seconded. Vote: all ayes.

6. Safety Update

CEO Domanico reported that Operation Safety continues with considerable success. In the past year the rate of serious patient safety events has been reduced by two thirds. A program of assigning and training Safety Coaches is underway.



7. MGH Performance Metrics and Core Services Report, Q4 2014

CEO Domanico presented the quarterly Performance Metrics and Core Services Policy, in accordance with the MGH Bylaws, Article XI and Attachment B. The report presented, Q4 2014, is the Annual Report for 2014, and he noted that all metrics are in full compliance, commenting on several of the items:

Schedule 1: HCAHPS: Overall patient satisfaction has increased, and improving patient experience is now a primary focus.

Schedule 3: Physician Engagement: Scores have increased; the next report will have the previous year's responses for comparison.

Schedule 4: Employee Engagement: Marked improvement as every category shows increase for all classes of employees. "Degree People Treated Fairly" showed the most increase.

Schedule 5: Finances: Capital Expenditure Report shows increased reinvestment in MGH.

Schedule 6: Clinical Quality Reporting Metrics: No significant changes, with overall continued high marks on clinical care.

Schedule 8: Community Benefit Summary: Noted the unpaid cost of Medicare and MediCal.

Schedule 9: "Green Building" Status: Currently at LEED Silver Status, the Project Team is evaluating the cost benefits of attaining Gold or Platinum.

Schedule 12: Ambulance Diversion: Increased census contributed to spike in diversion. Four additional ICU beds are now being added which will help alleviate the ED logjam and reduce diversion.

There were no further remarks from the Board or from the public.

Vice Chair Sparkman moved to approve the Q4 2014 MGH Performance Metrics and Core Services Report as submitted. Director Bedard seconded. Vote: all ayes.

8. LAFCO Special District Representatives Election

Counsel Coffey reported that Marin Local Agency Formation Commission (Marin LAFCO) asks that the Marin Healthcare District Board of Directors participate in electing one Special District Member and one Alternate Special District Member. Nomination filings are included in this packet, with directions to vote for 3 people for each position in a ranked vote election. MHD Board may choose to delegate a Director to do the voting, or the MHD Board can vote together. It was agreed to have Secretary Rienks vote on behalf of the MHD Board.

Secretary Rienks moved to appoint Secretary Rienks to vote on behalf of the MHD Board for the Marin LAFCO Special District Member; Vice Chair Sparkman seconded. Vote: all ayes.

Secretary Rienks moved to appoint Secretary Rienks to vote on behalf of the MHD Board for the Marin LAFCO Alternate Special District Member; Vice Chair Sparkman seconded. Vote: all ayes.

9. MGH 2.0, Project Update

Kevin Coss, Vertran Associates, included Project Update remarks in the next agenda item.



10. MGH 2.0 as recommended by MGH Board

For the Hospital Replacement Project (“MGH 2.0”), Kevin Coss, Vertran Associates, presented items for approval as recommended by the MGH Board Building Committee and the MGH Board of Directors. Edward Shaffer, Attorney with Archer Norris, also added comments regarding the EIR.

a. Public comment on EIR Second Addendum

Cindy Winter commented on paths for bicycle and pedestrian traffic.

b. Review and approve Resolution #2015-01: “A resolution adopting an addendum to the previously certified final EIR for the Marin General Hospital Replacement Building Project and approving amendments to the project”

Mr. Shaffer noted that the EIR was approved in 2013 and this addendum covers construction-related changes with no new or different impacts to the project, and noted that this addendum is a staff report not requiring public filing.

Director Bedard moved to approve MHD Resolution #2015-01. Vice Chair Sparkman seconded. Vote: all ayes.

c. Review and approve MGH 2.0 Budget

Mr. Coss presented “Project Cost Estimate – June 2014 vs. Current.” Line changes since June 2014 were noted and explained, showing that total costs have not changed.

Director Bedard moved to approve MGH 2.0 Budget. Vice Chair Sparkman seconded. Vote: all ayes.

d. Review and approve to start Construction Documents

This is to approve spending for the cost of Construction Documents.

Vice Chair Sparkman moved to approve spending for the Construction Documents.

Director Bedard seconded. Vote: all ayes.

e. Review and approve of West Wing Make Ready Budget

This is to approve the budget for the agreement with McCarthy Construction for the West Wing Make Ready project.

Secretary Rienks moved to approve of the West Wing Make Ready Budget. Vice Chair Sparkman seconded. Vote: all ayes.

f. Summary Projection of Cash Flows for MGH 2.0

This is the cash flow projection through the end of 2015. CEO Domanico noted that in 2015 the first tranche of the Bond, \$100M, will be received, part of which will pay the garage credit line. The Bond Advisory Committee will be formed before the Bond is drawn upon; that Committee will comprise independent community members with strong financial credentials.

11. Committee Meeting Reports

a. MHD Finance and Audit Committee

(1) Investment Policy

At their meeting on March 24, 2015, the Finance and Audit Committee approved three items: (i) Amended MHD Financial Procedures and Internal Controls; (ii) Canterbury Consulting as Investment Advisory to MHD; (iii) MHD Fiscal Year Change. These items will be presented for MHD Board approval at the Regular Board Meeting on May 12, 2015.



(2) Review and approve Community Member David S. Bloom, MD

Dr. David S. Bloom has applied to be a Community Member of the MHD Finance & Audit Committee. He has submitted his c.v. and conflict of interest statement, and has been interviewed by Chair Simmonds and Director Bedard, who recommend his appointment. Director Bedard moved to approve. Chair Simmonds seconded. Vote: all ayes.

b. MDH Lease & Building Committee

Vice Chair Sparkman stated that item (2) on this portion of the agenda, “Proposal for Identifying Health Needs for Grant Priorities,” has not gone through the Lease & Building Committee and will not be acted up on here; it will be on the agenda of the next meeting of the Lease & Building Committee.

(1) Review and approve Community Benefit Grant Awards

Grant applications from local agencies have been submitted to MHD; selection priorities are for senior services and mental health services. Grants are for a one-year term and do not renew automatically. Chair Simmonds interviewed the Executive Directors of each applicant agency and brought his findings to the March 30, 2015 meeting of the Lease & Building (L&B) Committee at which were recommended for approval:

- (i) Canal Alliance, requests \$50,000. Recommended by L&B. Secretary Rienks moved to approve. Director Bedard seconded. Vote: all ayes.
- (ii) Jewish Family and Children’s Services, requests \$50,000. Recommended by L&B. Secretary Rienks moved to approve. Vice Chair Sparkman seconded. Vote: all ayes.
- (iii) Love is the Answer (LITA Marin), requests \$10,000. Recommended by L&B. Vice Chair Sparkman moved to approve. Secretary Rienks seconded. Vote: all ayes.
- (iv) Marin Villages, requests \$20,000. Secretary Rienks moved to approve. Vice Chair Sparkman seconded. Vote: all ayes.
- (v) The Redwoods, requests \$50,000. Not recommended by L&B, as it would only benefit the residents of The Redwoods.
- (vi) Marin Senior Coordinating Council, “Whistlestop,” requests \$15,000. Recommended by L&B. Secretary Rienks moved to approve. Vice Chair Sparkman seconded. Vote: all ayes.

Jamie Maites, MGH Director of Communications, will notify each agency of the MHD Board’s decision, and will fulfill each grant’s awarding.

12. Reports

a. District CEO’s Report

CEO Domanico reported that the MGH-MHD Joint Nominating Committee and the MGH Board are recommending the appointment of Walter Rose for membership on the MGH Board. His application, c.v. and conflict of interest statement will be forwarded to the MHD Board members at least 20 days in advance of the next MHD Board Regular Meeting on May 12, 2015. His nomination recommendation will be an action item on that meeting’s agenda.



b. Hospital CEO's Report

CEO Domanico reported that Operation Safety continues to improve patient safety. High census numbers continue, which have contributed to strong financials in Q1 2015, but also have stressed workforce and space capacity. The four ICU beds now being added will ease the stress. Eight beds are being converted on the surgical unit. The MGH Foundation Gala is May 16; about \$650,000 has been raised so far; tickets are now on sale and are selling well. The Capital Campaign so far has received about \$14,000,000 in major gifts and pledges.

c. Chair's Report

Chair Simmonds thanked both the Finance & Audit Committee and the Lease & Building Committee for their work so far in 2015. Vice Chair Sparkman is interviewing a Community Member candidate for the Lease & Building Committee.

d. Board Members' Reports

Secretary Rienks recently toured the new Women's and Children's hospital at UCSF, which has achieved LEED Gold status, and was very impressed. She also expressed enthusiasm about a tour of MGH she recently took. Director Bedard reported that he recently testified in Sacramento in favor of AB 258, "Medical Cannabis Organ Transplant Act," submitted by Assembly Member Marc Levine, to help protect medical cannabis patients from discrimination in the organ transplant process.

12. Adjournment of Regular Meeting

Chair Simmonds adjourned the Regular Meeting at 8:33 pm. The public, staff, and Mr. Weiner were excused and the Closed Session resumed.

Tab 2

Walter B. Rose

RECEIVED

JAN 30 2015

MARIN HEALTHCARE
DISTRICT

MGH Board of Directors Candidate Application Form

Marin General Hospital

Board of Directors Candidate Application (PLEASE ATTACH A COPY OF YOUR RESUME TO THIS APPLICATION)

Date January 25, 2015

Name Walter B. Rose Walt
First MI Last Familiar name

Residence

Address 138 Woodland Avenue, San Anselmo CA 94968
Phone 213-925-6272 E-mail w.rose@earthlink.net

Employer

Name Venture Consulting Corp
Your title President Larkspur, CA 94939
Address 101 Larkspur Landing Circle, Suite 327
Phone (work) 213-925-6272 (home) 415-613-7746
E-mail w.rose@earthlink.net
Type of business or organization business consulting firm
Primary service(s) and area/population served start ups, capital raising, strategic planning
Preferred method of telephonic contact: Work () Residence

ATTACH ADDITIONAL INFORMATION IF NECESSARY.

Please list Boards and committees that you serve on, or have served on (business, civic, community, fraternal, political, professional, recreational, religious, social).

Organization	Role/Title	Dates of Service
<u>Childrens Hospital Los Angeles</u>	<u>Chair</u>	<u>1988-2006</u>
<u>YMCA of Metropolitan Los Angeles</u>	<u>Board Member</u>	<u>2005-present</u>
<u>Ralph M Parsons Foundation</u>	<u>Director</u>	<u>2010-present</u>
<u>House Ear Institute</u>	<u>Board Member</u>	<u>1990-2000</u>

Education/Training/Certificates

YALE University: BA Economics 1969
Stanford University: MBA 1977
London Business School - Graduate Program 1999

Why would you like to serve on the Board of Marin General Hospital?

As a relative newcomer to Marin County, I would like to use my background and experience to contribute to the well being of my new community.

Skills, experience/expertise (Please circle all that apply)

- Healthcare
- Finance, accounting
- Personnel, human resources
- Administration, management
- Nonprofit experience
- Community service
- Legal
- Policy development
- Public relations, communications
- Education, instruction
- Special events
- Philanthropy/Fundraising
- Outreach, advocacy
- Other _____
- Other _____
- Other _____

Provide one or two examples of the skills, experience and expertise that you mentioned above.

For example, in what capacity did you acquire and/or apply those skills:

- Fundraising: I was chair of a capital campaign that raised \$1.0 billion for Children's Hospital CA
- Served on 10 non-profit boards, such as House Ear Institute, Aspirinet Social Service, YMCA

Please list other information relative to your interest in applying for a Board position with Marin General Hospital.

See attached resume

Optional - Have you received any awards or honors that you'd like to mention?

2008 - Outstanding Philanthropist - Association of Fundraising Professionals

Please return your application and resume or call with questions to:

Renee' Toriumi, Executive Assistant to the CEO

Marin General Hospital

100B Drakes Landing Road, Suite 250

Greenbrae, CA 94904

415-464-2090

Walter B. Rose

138 Woodland Avenue
San Anselmo, CA 94960
Tel. (213) 925-6272
w.rose@earthlink.net

NOT FOR PROFIT LEADERSHIP

Childrens Hospital Los Angeles (CHLA) – Co-Chairman, Board of Trustees (1999–2006)
Board Member (1988-2006)
Honorary Board Chair (2006-Present)

Served pro bono as Co-Chairman of the Board of Trustees consisting of 60 members – 50 community leaders, 10 physicians and administrators – with fiduciary responsibilities for governance and fund raising. CHLA, an academic medical center affiliated with Keck School of Medicine – University of Southern California, is engaged in clinical care, medical research and the education of pediatric specialists. CHLA has an annual budget of \$350 million, employs 3,000 full-time employees and has 300,000 patient visits per year. The hospital has an endowment of nearly \$500 mm and total assets of over \$1 billion. As a Board Member for 18 years, held the following positions: Chair (Co-Chair) 1999–2006; Vice Chair 1996–1999; Chair, Strategic Planning Committee 1991–1996; Co-Chair - \$500 million “Living Proof” Capital Campaign 2000–2006

Key accomplishments:

- Restructured Board of Trustees by combining Board of Directors (Governance) with Board of Regents (Fund Raising) to form unified Board.
- Recruited new members of Board of Trustees and initiated a comprehensive Trustee performance evaluation with clearly articulated expectations to Trustees.
- Spearheaded the planning of successful capital campaign and setting an aggressive goal of \$500 million. Actively participated in solicitation and acquisition of several major gifts (over \$25 million) and initiated the First Families Program. Campaign has currently raised over \$1 billion since inception in 2000.
- Played significant role in recruiting key individuals for physician leadership (Chief of Pediatrics, Chief of Surgery) and executive management positions (CEO, VP Development, VP Communications).
- Oversaw the planning and building of three major facilities (Surgery Center, Research Institute, and New Hospital Building) and the implementation of a state of the art Information Technology System.
- Negotiated a Cooperative Agreement with academic partner, University of Southern California.

Ralph M. Parsons Foundation – Trustee (2010-Present); Vice Chairman (2011-2012)

Board Member of this grantmaking foundation which awards over 100 grants per year valued at \$20 million to non for profit organizations in Southern California. Also serve as chair of the Investment Committee which works with investment professionals and consultants to manage the Foundation’s \$400 million endowment. Elected Vice Chairman after six months as Board Member.

Pasadena Coalition for Great Schools – Founding Chair (2006-2010)

Created the Coalition in partnership with the Pasadena, California Mayor and the Superintendent of Schools to engage community support for the Pasadena public schools. The Coalition’s goal is to mobilize community resources – both talent and money – to improve the educational outcomes for the children of the Pasadena community.

CONSULTING/CORPORATE EXPERIENCE

Venture Consulting Corp. (VCC) – Founding Partner (1980-Present)

Established firm to provide consulting services to small businesses, venture capital and financial services companies. From 1982 to 1985, the firm was associated with First Interstate Bancorp to provide consulting and investment banking services to bank customers. In 1985, VCC became one of the general partners in the formation of McBain, Rose Partners (see below). Some recent examples of VCC engagements include:

- EBT, Inc. (San Anselmo, CA) – Working with Founder to develop strategy and raise capital for a company that uses technology solutions to provide emotional health support for people with stress related health issues such as obesity, depression, anxiety, and depression. (2014-Present)
- Aspiranet Social Services (South San Francisco, CA) – Developed a fund raising strategy for this \$50 million non profit agency to support their program expansion. Specifically helped design a donor acquisition program and a coordinated outreach to major Foundations for funding. (2013-2014)
- Wilmington Trust (Los Angeles) – Worked with Wealth Advisory Services Group to formulate a market plan for Southern California and support the implementation of business development initiatives. (2010-2013)
- Get Ahead Learning, LLC – Formed company to develop and market an educational software product that provides assessment and tutorial programs in Math for Grades 3-8. 10,000 students in 100 schools have improved their math skills using Get Ahead Math. (2004-Present)
- Claremont Graduate University – Assisted in the formation of the new School of Community and Global Health by overseeing the implementation of the program and developing a fund raising strategies to support the work of the School. Served on the School's Board of Advisors. (2008-2012)

McKinsey & Company - Los Angeles (1977-80)

Worked with Fortune 100 clients of this international management consulting firm. Projects were designed to evaluate and implement key elements of strategic planning and operations. Clients included: Rockwell International, Union Oil, Avery Products.

Medtronic, Inc. - Minneapolis/Los Angeles (1971-1975)

Held positions in international marketing and sales management for this high growth medical device manufacturer. Final position - operations manager for \$20 mm Western Region. Left to enroll in Stanford MBA Program.

PRIVATE EQUITY/INVESTMENT MANAGEMENT

McBain, Rose Partners (MRP) - Founding Partner (1984-1998)

Founding partner of private equity investment firm specializing in the acquisition of middle market companies (\$20-\$100 million in sales).

- Acquired 6 manufacturing firms
- Invested \$12 mm in equity partnerships
- Returned \$101 mm to investors
- Total value of transactions (bought and sold): \$350 mm
- Reviewed over 100 acquisition opportunities in detail
- Served as Board Chairman or Vice Chairman of all companies
- Invested in partnership with operating management
- Controlled majority of equity in all businesses
- All assets were sold as of January 1, 1998

Partnership dissolved in 1998 after last asset sold.

McMorgan Funds, San Francisco, CA (subsidiary of New York Life Investment Management) - Independent Trustee (1994–2007)

McMorgan Funds was a mutual fund complex that primarily serves the small accounts of the money management firm of McMorgan and Company (total assets under management: \$18 billion). The funds included Principle Preservation Fund (Money Market), Fixed Income Fund (2), High Yield Fund, Balanced Fund (60% equity, 40% fixed), Equity Fund. Total assets: approximately \$800 million.

As an independent Trustee since the Funds' inception in 1994, served on the Audit Committee and as Chair the Governance and Compensation Committee. The Trustees met in person quarterly and conducted telephonic meetings at least six times per year as needed.

In 2007, the Funds were merged into the New York Life Family of Funds.

EDUCATION

- Yale University - BA Economics 1971
- Stanford University - MBA 1977
- London Business School – Senior Executive Program 1999

COMMUNITY SERVICE/BOARDS

- Board Member – Aspiranet Social Services, South San Francisco (2014-Present)
- Board Member – YMCA of Metropolitan Los Angeles (2008-2015)
- Member – Board of Advisors – School of Community and Global Health, Claremont Graduate University (2008-2014)
- Board Member – Lowe Institute – Claremont McKenna College (2007-2015)
- Board Member – Stanford Business School Management Board (2007-2011)
- Retired Director – Northern Trust Bank of California Advisory Board (2003-2009)
- Trustee – Claremont Graduate University (2003-2008)
- Vice Chairman - Berkshire School, Sheffield, Mass. (1998-2004)
- Board Member - Seeley & Co. - Commercial Real Estate Brokerage (1998-2002)
- Board Member - House Ear Institute (1995-1999)
- President – Yale Club Southern California (1977-1980)
- President – Stanford Business School Alumni Association – LA Chapter (1980-1984)

AWARDS

- Outstanding Philanthropist – 2008: Association of Fundraising Professionals

MEMBERSHIPS

- Young Presidents Organization (YPO) – 49'er Chapter Chairman (2009-2010)
- Economic Round Table – President (2009-2010)
- Clubs: Meadow Club, Los Angeles Country Club; California Club; Sunset Club

WALTER ROSE

MARIN GENERAL HOSPITAL

RECEIVED

MAR 06 2015

MARIN HEALTHCARE
DISTRICT

250 Bon Air Road, Greenbrae, CA 94904

t » 415-925-7000

Dear Director or Officer:

Marin General Hospital is, as you know, a nonprofit corporation which is exempt from federal income taxation under Section 501(c)(3) of the Internal Revenue Code. The maintenance of the tax exempt status of the Hospital is essential for its continued financial stability and for the receipt of contributions and support. Like all nonprofit corporations, the Hospital is subject to scrutiny by the government, tax authorities and members of the public. For that reason, the Board of Directors of the Hospital has adopted a uniform conflicts of interest policy to protect the Hospital and its directors and officers. This policy was adopted by the Board of Directors of the Hospital and a copy is enclosed.

Pursuant to the policy, please complete and return the enclosed Conflicts of Interest Questionnaire and Conflicts of Interest Statement. The disclosures requested in the Conflicts of Interest Questionnaire are intended to provide the Board with a systematic and ongoing method of identifying and ethically resolving potential conflicts of interest.

Conflicts of interest may arise due to the relations of directors and officers with:

- Persons and firms supplying goods and services to the Hospital;
- Persons and firms from which the Hospital leases property and equipment;
- Persons and firms with whom the Hospital is dealing or planning to deal in connection with business ventures, the purchase or sale of real estate, securities, or other property; and
- Agencies, organizations and associations which affect the operations of the Hospital;

A conflicting interest may be defined as an interest, direct or indirect, which might affect, or might reasonably be thought by others to affect, a person's judgment or conduct as a director or officer of the Hospital. Such an interest might arise through:

- Owning stock or other proprietary interests in an entity that does or may compete, contract or otherwise transact business with the Hospital;
- Holding debt or debt securities of an entity that does or may compete, contract or otherwise transact business with the Hospital;

- Holding office, serving on the board of directors, participating in management or being otherwise employed (or formerly employed) by an entity that does or may compete, contract or otherwise transact business with the Hospital;
- Receiving payment or other compensation for services rendered to the Hospital or any person or entity that does or may compete, contract or otherwise transact business with the Hospital;
- Receiving gifts or unsecured loans from a person or entity that does or may compete, contract or otherwise transact business with the Hospital, except gifts or courtesies of nominal value which could not be refused without discourtesy;
- Obtaining an interest in real estate, securities or other property which the Hospital is considering buying or leasing;
- Disclosing or using inside information relating to the Hospital's business for personal profit or advantage.

The examples above are not intended to be exhaustive but should allow the recognition of other possible conflicts of interest by analogy. The mere existence of a conflicting interest does not mean that it is material enough to be of practical importance, but it is the policy of the Hospital that the existence of any such interest shall be disclosed to the Board of Directors before any transaction is consummated. Please note that the disclosures requested in the enclosed Conflicts of Interest Questionnaire relate not only to yourself but also to your immediate family.

After you have read the Conflicts Policy carefully, please complete and sign the enclosed Conflicts of Interest Questionnaire and Conflicts of Interest Statement. Thank you for your cooperation.

A handwritten signature in black ink, appearing to read "Lee Domanico", is written over a solid horizontal line.

By: Lee Domanico

Its: Chief Executive Officer



**CONFLICT OF INTEREST QUESTIONNAIRE
AND
DISCLOSURE OF CERTAIN INTERESTS**

To: Members of Marin General Hospital Board of Directors

The questions set forth below are intended to solicit any information which could conceivably constitute a conflict of interest pursuant to the Conflicts of Interest Policy of Marin General Hospital Corporation (the “**Conflicts Policy**”). I hereby represent that the following answers are, to the best of my knowledge, true and correct.

1. Outside Interests and Investments

Identify and describe the nature of any outside interests and investments in any business or organization with which the Hospital does or may have any lease, service arrangement or any financial relationship, and specify the nature of your involvement and the extent of compensation (of any kind) received as a result of such interest or investment.*

(✓) None

2. Outside Compensation Arrangements

Identify and describe any outside employment, contractual or other arrangements with any business or organization pursuant to which you receive compensation (of any kind), and specify the nature of your involvement with the business or organization and the extent of compensation (of any kind) received from such business or organization.*

(✓) None

3. Gifts

Identify and describe any gifts, gratuities, entertainment or other favors which you have accepted from any business or organization which to your knowledge does, or is seeking to do, business with, or is a competitor of, the Hospital.*

None

4. Activities With Other Healthcare Providers or Research Enterprises

List and describe the nature of any directorship, membership on a governing board, administrative, managerial, professional, supervisory, leadership or consulting position held at another hospital or with another healthcare provider, research enterprise or other business or organization which is a competitor or may have conflicting interests with the Hospital. Members of the Medical Staff should disclose membership on other hospital's staffs and any committee or administrative positions held.*

None

5. Influence Regarding County of Marin Contracts

State whether you are a spouse or economic dependent of any County employee whose position enables the County employee to influence the awarding of any County of Marin Contract relating to health care.

Yes No

If yes, please describe.*

6. Nepotism

State whether you have any relatives employed by the Hospital.

() Yes (✓) No

If yes, please describe.*

7. Contracts or Transactions

State whether you have entered into any contract or engaged in any other transaction with the Hospital in which you received or currently receive any goods, services, payment, compensation or other economic benefit from the Hospital.

() Yes (✓) No

If yes, please describe.*

8. Other

List and describe any other activities, arrangements that might be regarded as constituting or may potentially give rise to a conflict of interest.*

(✓) None

Please report to the Chief Executive Officer of the Hospital, promptly and in writing, any further activity or interest which may constitute a conflict of interest which arises before next year's Conflict of Interest Questionnaire is circulated.



(Signature)

WALTER B. ROSE

(Print Name)

DIRECTOR

(Position)

MARCH 5, 2015

(Date)

CONFLICTS OF INTEREST STATEMENT

In accordance with the Conflicts of Interest Policy (the "Conflicts Policy") adopted by the Board of Directors of Marin General Hospital (the "Hospital"), during the period in which I am a director or officer of the Hospital, I will:

1. Remain loyal to the Hospital and act in the Hospital's best interests when I participate in or vote upon any matter involving the business activities of the Hospital, and when I represent the Hospital among persons or entities doing or interested in doing business with the Hospital.
2. Avoid investing or participating in business opportunities or purchasing property or other assets which are of interest to the Hospital and which are related to the business of the Hospital without first offering the business opportunity or asset purchase opportunity to the Hospital, whenever I have notice of the Hospital's interest in the property or business opportunity.
3. Avoid investing or participating in businesses which compete with the Hospital (except passive investments).
4. Not accept or seek from any person or entity doing or interested in doing business with the Hospital a gratuity, favor, benefit, loan, or gift of greater than nominal value beyond the common courtesies usually associated with accepted business practice.
5. Not use my position, nor any confidential information acquired through or from the Hospital, for my personal profit or advantage.
6. Not enter into financial transactions with the Hospital without first obtaining the necessary approvals specified in the Conflicts Policy.
7. Notify the Chair of the Board of Directors if I acquire or maintain an ownership interest in or serve in a position of responsibility for an entity doing or interested in doing business with the Hospital, or an entity which is superior, subordinate or related to the Hospital through ownership or control.
8. Notify the Chair of the Board of Directors immediately of any circumstances which are or may appear to others to be a conflict of interest.

9. Ensure that members of my immediate family are not engaged in any of the activities contemplated by Paragraphs 1-7 above, and report to the chairperson of the Board of Directors any actual or potential conflict of interest involving my family members.

10. Refrain from voting on any transaction or other matter before the Board of Directors in which I have or may have a conflict of interest, as required by the Conflicts Policy.



(Signature)

WALTER B. ROSE

(Print Name)

DIRECTOR

(Position)

March 5, 2015

(Date)

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Tab 3

POLICIES AND PROCEDURES FOR BOARD MEETINGS
MARIN HEALTHCARE DISTRICT
Adopted: March 8, 1994 Amended
September 13, 1994 Amended
June 13, 1995 Amended
April 15, 1997 Amended
August 10, 1999 Amended
February 12, 2002 Amended
June 14, 2005 Amended
June 13, 2006 Amended
July 10, 2007 Amended
(CONFIRMED)

NOTE: These Policies and Procedures are designed specifically for the Board during this period of transition for the Hospital from Sutter to the District. The Board is operating under tight timeframes for completing specific assignments, and it is imperative that it uses its meeting time efficiently. It is expected that these Policies and Procedures will be adapted again once the transition is complete.

These Policies and Procedures need to work in conjunction with the District's Bylaws, which were last amended September 14, 2004.

I. GENERAL PROVISIONS.

A. SCOPE AND APPLICATION.

These Policies and Procedures for Board meetings apply to the Open Meetings of the Marin Healthcare District Board of Directors (the "Board") and do not apply to Closed Meetings or Committee Meetings. Nor do these Policies and Procedures apply to any study sessions that the Board sponsors, but are not formal meetings.

B. DEFINED TERMS.

1. "Regular Meeting" shall have that meaning given to such term under the Ralph M. Brown Act ("the Brown Act").
2. "Special Meeting" shall have that meaning given to such term under the Brown Act.
3. "Open Meeting" shall have that meaning given to such term under the Brown Act.
4. "Closed Meeting" shall have that meaning given to such term under the Brown Act.
5. "Study Session" shall mean an informal gathering of board members and interested public to discuss topics of interest or to hear presentations. The session is conducive to discussion. No formal business is ever conducted in a Study Session.
6. "District" shall mean the Marin Healthcare District.
7. "Hospital" shall mean the Marin General Hospital.
8. "MGH Corporation" shall mean the Marin General Hospital Corporation, a non-profit public benefit corporation.

II. PLACE AND TIME OF BOARD MEETINGS.

A. LOCATION.

Except as permitted by law, Board meetings shall be held within the District at a location determined by the Board. (§54954)

B. DATES OF BOARD MEETINGS.

1. Regular Meetings. The dates of Regular Meetings are the dates prescribed in the District Bylaws. (§54954)
2. Special Meetings. The notice of a Special Meeting shall state the date, time, and location of the meeting. (§54956)
3. Study Sessions. The notice of a Study Session shall state the date, time, and location of the meeting.

C. TIME OF BOARD MEETINGS.

4. Regular Meetings. Regular Meetings shall generally start at 7 p.m., and adjourn no later than 11 p.m. or upon the completion of the agenda item under discussion at 11 p.m., whichever is later, unless the Board votes to extend the time for adjournment. The Board may modify the start time and frequency of Regular Meetings as necessary to conduct the business of the District. The Board also may have a special meeting or closed meeting that starts and ends right before a regular meeting.
5. Special Meetings. Special Meetings shall start at the time stated in the notice thereof. (§54956)

D. DISTRIBUTION OF MEETING NOTICE.

1. Regular Meetings. Not later than 10 days before each Regular Meeting, notice of a Regular Meeting shall be delivered, mailed, or transmitted electronically to: each Board member; newspapers of general circulation within the District; the County government, City or Town governments, and libraries within the District for public posting; and any other representative of the media or person for whom a written request is on file in the District office at the time the notice is given. If the District continues to have a website, the notice of the Regular Meeting shall be posted there. The notice of the Regular Meeting shall be posted in the main lobby of the Hospital. (§54954.1)
2. Special Meetings. As soon as practical but not less than 24 hours prior to a Special Meeting, notice of a Special Meeting shall be delivered, mailed, or transmitted electronically to: each Board member; newspapers of general circulation within the District; the County government, City or Town governments, and libraries within the District for public posting; and any other representative of the media or person for whom a written request is on file in the District office at the time the notice is given. If the District continues to have a website, the notice of the Special Meeting shall be posted there. The notice of the Special Meeting shall be posted in the main lobby of the Hospital. (§§54954.1 and 54956)

E. MEETING NOTICE AND AGENDA REQUESTS.

A written request to receive meeting notices and/or agendas shall be valid for 12 months from the date filed with the District. Unless a written renewal request is received by the District within 12 months of a prior request, no further meeting notices and/or agendas will be sent. (§54954.1) The District may set a fee to cover costs of distributing meeting notices and/or agendas.

III. THE AGENDA: CONTENT AND PREPARATION.

A. SETTING THE AGENDA.

The District Executive Director working in consultation with the Board Chair shall prepare the agenda. The Board Chair has the final authority to approve the agenda. This preparation includes determining what items need to come before the Board for the Board's information, action or both. Board Directors may also suggest items to the Board Chair and District Executive Director. The District Executive Director and Board Chair shall have sufficient backup documentation for every item that is to be included on the agenda. This also includes determining the order of agenda items, based on the general order of the Agenda, and making time allocations for the agenda items in 5-minute increments.

Before an item is placed on the agenda, the agenda request shall contain a brief written description of the item (not exceeding 20 words); appropriate documentation and supporting written materials; and a draft motion if the agenda item requires Board action. If there is insufficient documentation, the Board Chair may exclude the item until such time as supporting documentation is received.

For pre-arranged presentations by non-Board Members (such as MGH Corporation, District consultants or a community group) that are specific to the business the Board is undertaking, the name of the group, the name and title of the individual or firm presenting, and an executive summary of the proposed presentation topic, shall be indicated on the agenda.

If a Board member wants to invite an outside speaker to present to the Board at a Regular Meeting on an issue that is germane yet not directly related to the current business of the Board or District, a majority of the Board members must agree on adding the outside speaker to the agenda. Two Board Members must be in agreement in order to invite an outside speaker (unrelated to current business) to a study session.

If any board members submit specific agenda items, as described next, their name will be listed next to the item(s).

B. REGULAR MEETINGS.

1. Board members requesting agenda items for a Regular Meeting shall submit their requests to the Executive Director at least eight (8) days before the meeting. The eight-day limit does not apply to referral by a Committee to the Board for the discussion and actions within the scope of items listed on the posted agenda of the Committee.
2. At the time of the request, each requested item shall include a written detailed narrative description of the item to enable the Executive Director and Board Chair to determine its scope and its relation to the Board's responsibilities. Each Board member having requested an agenda item shall provide to the Executive Assistant any pertinent documentation related to each item with the item at least eight (8) days before the meeting. If the Board Member is seeking information or a staff report on an issue, the request should include a list of information sought by the member (if the item includes such a request) or a draft motion for the consideration of the Board to authorize the resources necessary to research and complete the requested report.
3. Except for those matters which the Executive Director and Board Chair deem duplicative, appropriate for closed session, necessary to postpone to a future meeting or not germane to the mission, goals and objectives adopted by the Board, all requested items shall be included on the agenda. Should an item be deferred from the agenda, the Board Chair or the Executive Director will confer with the originator to discuss the reasons for the deferral. Should a Director disagree with the deferral, the Director may request a majority vote of the attending Board Members (at the next regular meeting where the Agenda is set) to have the item added to the next Board Meeting.

C. SPECIAL MEETINGS.

The agenda for a Special Meeting shall be limited to the items set forth in the notice for the Special Meeting. (§54956)

D. ORDER OF ITEMS ON THE AGENDA.

The general order of the agenda for a Regular Meeting shall be:

1. Call to Order
2. Roll Call
3. Approval of Agenda
4. Approval of the Consent Agenda
 - Approval of the Minutes
 - Committee Meeting Minutes for review
 - Written reports, including updates and progress reports
 - Written correspondence
5. Action Items in Order of Priority
 - a) Action Items Related to the Transition
 - Unfinished Business
 - New Business
 - b) Other Action Items
 - Unfinished Business
 - New Business
6. Special Presentations by Consultants or Other Guests
7. General Public Comment Period
8. Reports
 - Chair's Report
 - Reports of Board Members
 - Administrative Report
 - Hospital Report
 - Any Responses to Grand Jury Reports (in compliance with Penal Code Section 933 and the Brown Act)
9. Preview of Items for Next Meeting
10. Adjournment

E. CHANGING THE ORDER AND TIME LIMITS OF THE AGENDA.

The Chair shall have the discretion to change the order of agenda items to allocate time to deliberate action items.

The Chair also shall have the discretion to limit the total time to be devoted to an item on the agenda, including limiting the time allowed for each person to speak on such item, including the public. The Chair is expected to exercise this discretion when it is necessary to complete consideration of the entire agenda in a timely fashion.

F. PURPOSE OF CLOSED SESSION FOR THE AGENDA.

If a closed session of the Board will be held before, during or after a Board meeting, the agenda shall describe the purpose of the closed session in compliance with the Policies and Procedures for Closed Sessions.

G. ABOUT THE CONSENT AGENDA

The consent agenda lists routine items that the Board Members can act on with no individual presentation or discussion required. Any member of the Board may remove one or more items from the consent agenda and have it as a regular agenda item later in the meeting. No reason, rationale or discussion is required. The items remaining on the consent agenda shall then be enacted by one motion. Approval by the Board of Directors of consent items indicates that these items were approved together without any additional conditions.

After the Chair introduces the consent agenda and a Director moves to adopt the consent agenda, it is in order for a Director to remove one or more items for consideration later. It also is in order for a member of the public to address any item on the consent agenda; however, only a Board member can request that an item be removed from the consent agenda.

Consent agenda items can include but shall not be limited to the items listed earlier in III.D.4.

The Board's response to Grand Jury reports will never be on the consent agenda. Instead, the response will be placed on the regular public meeting agenda in compliance with Penal Code Section 933 and the Brown Act in order to provide opportunity for public discussion.

IV. DISTRIBUTION OF THE AGENDA.

A. POSTING THE AGENDA.

1. Time for Posting.

- a) Regular Meetings. The agenda for a Regular Meeting shall be posted no later than 72 hours before the meeting. (§54954.2)
- b) Special Meetings. The agenda for a Special Meeting shall be posted no later than 24 hours before the meeting. (§54956)

2. Place and Manner of Posting.

The agenda for a meeting shall be posted in a conspicuous place in the main lobby and in the glass cabinets opposite Greenbrae Grill of the Hospital that is freely accessible to all members of the public. The date and time of the posting shall be noted on the posted agenda and on a file copy, and signed by the person posting the agenda. (§54954.2)

B. DISTRIBUTING THE AGENDA.

1. Board Members. The agenda packet for a Board meeting shall be delivered, mailed, or transmitted electronically to each Board Member at the same time the agenda is posted. If reports or supporting documents have been prepared on an item, such materials shall be distributed, if feasible, to the Board Members with the agenda packet. If a Board member requests a hard copy of the packet, the Executive Assistant will deliver or mail the packet to the Board member.

2. Media, Government and Libraries. At least three days before a Regular Meeting, the agenda shall be delivered, mailed, or transmitted electronically within the District to: newspapers of general circulation; the County government, city and town governments, and libraries for posting; and to other media upon request. The agenda for a Special Meeting shall be mailed or transmitted electronically to the same parties not less than 24 hours before the Board meeting. To encourage maximum community knowledge of District affairs, agenda packets will be provided to media representatives free of charge upon request.

3. Members of the Public. The agenda for Regular Meetings and Special Meetings shall be mailed or transmitted electronically on the schedule outlined above to all persons having submitted an annual request. Members of the public may make an appointment to visit the District office during established office hours to view the agenda and agenda packet without charge. The District may set a fee to cover costs of copying and distributing the agenda and agenda packet to the public.

4. Website. The notice and agenda shall be posted on the District website.

V. PROCESS FOR BOARD MEETINGS.

A. AGENDA ITEMS.

1. The Chair shall announce each agenda item.
2. For agenda items other than reports, the Board Member who has requested the item shall introduce it by presenting a motion. The Chair shall ask for a second. If there is a second, the Chair shall state the name of the seconder. If there is no second, the Chair shall move to the next agenda item.
3. If there is a second to the motion, the Chair shall allow the Board Member who made the motion to discuss the motion first. The other Board members may then discuss the motion.
4. The Chair shall allow the public to comment on the agenda item and motion as provided in VI of these Policies and Procedures.
5. The Chair shall allow the Board members to conclude discussion on the item and motion.
6. The Chair shall close discussion and if appropriate call for a vote on the item or motion.
7. Except as stated in the District Bylaws, Sturgis, The Standard Code of Parliamentary Procedure, the most recent edition ("Sturgis"), shall be a general guideline for the Board's deliberations (such as the manner of debate, motions, amendments and voting) on matters not covered in these Policies and Procedures.

B. ITEMS NOT ON THE AGENDA.

1. Except as provided in VI below, no discussion or action shall be undertaken on any item that does not appear on the posted agenda. However, if time permits, the Chair may allow Board members or staff to respond briefly to statements or questions posed by members of the public, ask a question for clarification, or provide a reference to District staff or other resources for factual information. The Board may also request District staff to report back at a future meeting or place the item on the agenda for a future meeting. (§54954.2)
2. The Board may discuss and/or take action on an item which does not appear on the posted agenda if prior to any discussion of the item, the Board takes one of the following actions:
 - a. A majority of the Board determines that an emergency situation (e.g., work stoppage, disaster) exists, that was unknown at the time the agenda was set, or
 - b. Two-thirds of the Board determines that the issue is urgent and requires immediate action; or
 - c. The item was continued from a Board meeting that was held within the past five days and was properly posted on the agenda for the prior meeting. (§54954.2)
3. If the Board proposes to take action on an item that was not listed on the posted agenda, the Board will first vote on its determination that it may take action on the item. The minutes of the meeting will reflect the need for taking action and why the need arose after the posting of the agenda

C. VOTING

Voting by the Board on motions and other items before the Board shall be by recorded roll call vote.. The District shall not take action by secret ballot, whether preliminary or final. (§54953)

D. APPROVAL OF MINUTES

Board members are responsible for providing corrections to non-substantive, typographic, and grammatical errors to the preparer of the minutes before the Board meeting at which the minutes are to be approved—provided the Board members were able to receive a draft copy of the minutes in advance of being distributed to the public. In this case, Board members shall provide only substantive suggestions regarding the minutes during the meeting. If Board members were not able to receive a draft copy of the minutes in advance, they should provide all corrections, substantive and administrative, during the meeting.

VI. RIGHTS OF MEMBERS OF THE PUBLIC.

A. RIGHTS TO ATTEND AND SPEAK AT BOARD MEETINGS.

Members of the public have the following rights:

1. To attend meetings in facilities that do not discriminate on the basis of race, religious creed, color, national origin, ancestry or sex. (§54961)
2. To attend meetings in facilities that are physically accessible to all members of the public. (§54961)
3. To attend meetings without making a payment or purchase, or to register, provide other information or complete a questionnaire, or otherwise fulfill any other condition to attending a meeting. (§§54953.3 and 54961)
4. To testify or otherwise address the Board during meetings in the manner prescribed in VI ("Rights of Public to Comment") and VIII.C ("Addressing the Board").
5. To share their point of view about the policies, procedures, programs and services of the District, or the acts or omissions of the Board. (§54954.3)
6. To record meetings of the Board in the manner prescribed in VII.B.
7. To access Board agendas and documents in the manner prescribed in IV.B.3.

B. RIGHTS OF PUBLIC TO COMMENT.

1. General Public Comment Period at Regular Meetings. Each Regular Meeting agenda shall include a general public comment period for the public to address issues that are not on the agenda. In addition, members of the public can ask to address the board on particular agenda items during time allotted for such purpose. (§54954.3)
2. Public Comment at Special Meeting. Special Meetings do not have a general public comment period unless the Board orders it. Public Comment limited to only the items on the agenda will be allowed at each Special Meeting. (§54954.3)

C. ACCESS TO PUBLIC DOCUMENTS.

Members of the public have the right to review, upon request agendas of all meetings of the Board, the agenda packet and any other written or typed materials (excluding those materials that are exempt from public disclosure under the California Public Records Act), which are distributed to a majority of the Board Members at or before a Board meeting. (§54957.5)

1. Written materials that are public records distributed to Board members before a meeting shall be made available to members of the public at the meeting.
2. Written materials that are public records distributed at a meeting shall be made available to members of the public within three (3) working days after the meeting. (§54957.5(b))
3. The Board may charge a fee for the copy of a public record in accordance with the California Public Records Act. (§§6257 and 54957.5)

VII. RECORDING OF BOARD MEETINGS.

A. RECORDING BY THE DISTRICT.

1. Minutes. Minutes of Board meetings shall be prepared by the Executive Director's office as soon as possible after each meeting and submitted to the Secretary of the Board. The minutes should summarize the actions taken on all items and the vote of the board members on those items. The minutes also may list the names of the public who spoke at the meeting, including the topic on which they spoke and whether they spoke in favor, against or were neutral on the issue.
2. Recording Board Meetings. Meetings of the Board shall be recorded under the supervision of the District staff.
 - a) Tapes of Board meetings made by the District shall be retained and be subject to public inspection in accordance with the California Public Records Act (Gov's Code §§6250 et seq.). Any inspection of a taped recording made by the District shall be provided for public review without charge on equipment made available by the District in its office. (§54953.5) Copies of the recordings may be requested. The District shall set a fee to cover costs of copying recordings.
 - b) The District Board may provide for erasure or destruction of taped meetings one year after a Board meeting. (§54953.5)
 - c) Media equipment and personnel authorized by the District to operate the equipment shall have primacy of location.

B. RECORDING BY MEMBERS OF THE PUBLIC.

Members of the public shall have the right to broadcast or record an Open Meeting using any media, in the absence of a reasonable finding by the Board that the broadcast or recording cannot continue without noise, illumination or obstruction of view that constitutes, or would constitute, a persistent disruption of the meeting. (§§54953.5 and 54953.6)

The District may prescribe where media equipment may be placed, consistent with State safety regulations. Stationary equipment and its operators not authorized by the District may displace no more than 15% of the seating capacity established by the Fire Marshall. Operators of stationary video or camera equipment not authorized by the District must make arrangements with the District office between five (5) days and no less than seven (7) hours before the meeting to establish placement of their equipment. If more than one crew (not including a crew authorized by the District) wishes to use stationary equipment, the crews will have to negotiate among themselves to form a recording pool. Media equipment or personnel operating the equipment which obstruct the safe access or egress of the public, obstruct the conduct of the meeting by placement or illumination or noise, or create persistent disruption of the meeting will not be permitted.

VIII. RULES OF DECORUM.

A. PRINCIPLES OF DECORUM

Meetings of the Board shall be conducted in an orderly manner to ensure that the Board may deliberate its business as well as allowing the public to listen and also be heard at appropriate times. The purpose of the meeting is for the Board to conduct its business in public, not to conduct a public meeting.

It is the responsibility of the Chair and the other members of the Board to maintain common courtesy and decorum and to show each other respect. Whoever is serving as Presiding Officer (generally the Board Chair but the Vice Chair in the Chair's absence) has overall responsibility for maintaining the order and decorum of the meetings, including the public in attendance.

B. RULES OF DECORUM

While any meeting of the Board is in session, the following rules of order and decorum shall be observed:

1. Board Members. The Board members shall preserve order and decorum, and a member shall not by conversation or other means delay or interrupt the Board proceedings or disturb any other member while speaking. Individual Board members have the right to disagree with ideas and opinions. However, once the Board votes to take action, the Board members shall support the action and not create impediments to the implementation of the action.
2. Staff Members. Employees of the District shall observe the same rules of order and decorum as those which apply to the members of the Board.
3. Persons Addressing the Board. Public oral communications at the Board meetings should not be a substitute for any item that can be handled during the normal working hours of the District. The primary purpose of the oral communications is to allow citizens the opportunity to communicate formally with the Board as a whole, for matters that cannot be handled during the regular working hours of the District. Each person who addresses the Board shall not make personal, impertinent, slanderous or profane remarks to any member of the Board, staff or general public. Any person who makes such remarks, or who utters loud, threatening, personal or abusive language, or engages in any other disorderly conduct which disrupts, disturbs or otherwise impedes the orderly conduct of any Board meeting shall be expelled from the meeting and may be barred from further audience before the Board during that meeting.
4. Members of the Audience. No person in the audience at a Board meeting shall engage in disorderly or boisterous conduct, including the utterance of loud, threatening or abusive language, whistling, hissing, and stamping of feet or other acts which disturb, disrupt or otherwise impede the orderly conduct of any Board meeting. Persons who conduct themselves in the aforementioned manner shall be barred from further audience before the Board during that meeting.

Even when Board meetings are not in session, Board members shall conduct themselves with courtesy and respect to each other, to staff and to members of the public if the Board members are representing themselves and the District.

If there are any complaints against any Board members, a District employee or a consultant or advisor to the Board, the complaint should first be addressed with the Executive Director or the Chair. A good faith effort to resolve the problem should be made at that level before bringing the matter to a meeting of the Board.

C. ADDRESSING THE BOARD.

A person wishing to address the Board may seek recognition by the Chair during discussion of any item during the time set aside for public comment. No person shall address the Board without first being recognized by the Chair. The following procedures shall be observed:

1. Each person shall step to the microphone or specific area provided for the use of the public and will state his or her name when recognized by the Chair.
2. During the general "Public Comment" portion of a Regular Meeting, the Chair shall request the speaker to terminate immediately any discussion on a subject which the Chair deems to be outside the subject matter of the District, or may be the subject of an agenda item at the meeting.
3. During the discussion of an agenda item, the Chair shall request the speaker to terminate immediately the discussion of a matter that the Chair deems to be outside the scope of the agenda item.
4. Each person shall limit any remarks to three (3) minutes, unless further time is granted by the Chair, or conversely, the time is limited as set forth by III.E. The time limits for public comment are not transferable. The time limits shall not include questions and answers to or from Board members. (§54954.3)
5. All remarks shall be addressed to the Board as a whole and not to any single member thereof, unless in response to a question from a particular member.
6. No question may be asked of a member of the Board or of the District staff without permission of the Chair.

D. ENFORCEMENT OF DECORUM

The rules of decorum set forth above shall be enforced in the following manner:

1. Warning. The Chair shall request that a person who is breaching the rules of decorum be orderly and silent. If, after receiving a warning from the Chair, a person persists in disturbing the meeting, the Chair shall order the person to leave the Board meeting; provided however, that any person addressing the Board who makes a personal, impertinent, slanderous, or profane remark to any member of the Board, staff, or general public may be ordered by the Presiding Officer to leave the Board meeting without first receiving such warning. If such person does not leave, the Presiding Officer may order any law enforcement officer who is on duty at the meeting as sergeant-at-arms of the Board to remove that person from the Board meeting.
2. Removal. Any law enforcement officer who is serving as sergeant-at-arms of the Board shall carry out all orders and instructions given by the Presiding Officer for the purpose of maintaining order and decorum at the Board meeting. Upon instruction of the Presiding Officer, it shall be the duty of the sergeant-at-arms to remove from the Board meeting any person who is disturbing the proceedings of the Board.
3. Adjournment. If a meeting of the Board is disturbed or disrupted in such a manner as to make infeasible or improbable the restoration of order, the meeting may be adjourned or continued by the Presiding Officer or a majority of the Board, and any remaining Board business may be considered at the next meeting.

IX. OTHER POLICIES AND PROCEDURES.

A. BROWN ACT.

The Board shall provide a copy or a summary of the Brown Act and these Policies and Procedures to each Board Member when revised, and to each Board Member Elect, upon election, who has not assumed the duties of District office. (§54952.7)

B. AMENDMENTS.

These Policies and Procedures may be amended at any Board meeting by majority vote, assuming advance notification as an agenda item. These Policies and Procedures also may be suspended at any Board meeting by two-thirds vote, provided the suspension does not conflict with the Bylaws or the Brown Act or deprive any Board member of a fundamental right as set forth in parliamentary procedure.

The Policies and Procedures shall be reviewed every three years by the Management, Finance and Audit Committee, with recommendations submitted to the Board.

However, when the Board completes the transition of the Hospital, the Management, Finance and Audit Committee should review these Policies and Procedures.

C. SUPERCEDED BY CHANGES IN BROWN ACT.

These Policy and Procedures shall be superseded by any change in the provisions of the Brown Act that are in conflict with this Policy.

Tab 4



Marin Healthcare District
Financial Procedures and Internal Controls

Fiscal Procedures

The District Board has a Finance, and Audit (F&A) Committee that is responsible for fiscal policy and financial management, in addition to:

- Reviewing the District's interim unaudited financial reports on a periodic basis;
- Overseeing the selection of the District's auditor and completion of its annual audit; and
- Reviewing Board policies and procedures relating to overall management of the District, compliance with state and federal regulations and fiscal accountability.

The Committee is to be apprised of all major financial activities of the District and shall be involved in the review and approval of same, as appropriate. They may include, but are not limited to:

- Contract negotiations
- Loan negotiations
- Fiscal policies and procedures
- Investments

The F&A Committee will receive:

- Monthly interim financial reports, including detail of significant budget categories and variances, or more frequently, as appropriate.
- Other financial reports as may be requested from time to time.

The Board of Directors will receive, at a minimum:

- Annual Audit Statement

The Board will work closely with senior management to advise him or her on a broad variety of fiscal topics. In turn, senior management will report to the F&A Committee and the Board any conditions that warrant Board oversight and involvement.

Bank Accounts

The District currently has bank accounts as described below:

- Union Bank Checking Account – Issue checks to vendors for payment of invoices and reimbursements
- Union Bank Money Market Account– Interest bearing account. Funds over \$1million in the Union Bank Operating Account are transferred to this account on a monthly basis.
- Union Bank 1206b Checking Account – Issues checks to vendors for payment of invoices related to the 1206b Clinics and deposits of 1206B revenue. This is a zero balance account wherein the cash balance at the end of each day is swept to the Union Bank Checking Account.

Authorized signatories on these accounts are listed in the **Check Signers** section below and may be adjusted from time to time consistent with the requirement to maintain separation of duties and good internal controls.

Investment Account

The District currently has one (1) investment account held with LAIF (Local Agency Investment Account).

Authorized signers on this account are listed in the **Check Signers** section below.

Long Term Cash Management Strategy

The District will work within the following board approved guidelines for its long-term cash management plan and will comply with California regulations governing the investments of governmental entities:

- Operating Account – approximately 3 months expenses in reserve

General Accounting and Auditing Operations

The District will record all transactions using the accrual basis of accounting and will comply with Generally Accepted Accounting Principles and Governmental Accounting Standards. Project costs will be tracked in a manner that segregates the sources and uses of funds. Supporting documentation such as invoices or statements, are required for each expenditure and receipt.

The District is utilizing QuickBooks Accounting Software. Management is not authorized to modify the source code to the accounting software. The Finance and Audit Committee will be advised of any significant change to the accounting software.

The financial statements of the District will be audited annually by an outside independent auditing firm, which shall be approved by the District Board. Currently, Moss Adams LLP Certified Public Accountants, of Stockton, CA is the independent auditor for the District and its subsidiaries.

Internal Controls

The District will do its best to separate duties with the staff available with the objective of maintaining strong internal controls and to prevent the possibility of fraud. The maintenance of internal controls is very important to the District and it will do whatever is necessary to maintain the highest standards of propriety with respect to all accounting procedures and use of funds.

Currently, segregation of duties are as follows:

- The Chief Executive Officer (CEO) is an authorized signatory, as are each of the individual Directors of the District. None of these individuals are authorized to cut checks or to make direct entries to the financial records of the organization.
- The Senior Accountant for MGH is the primary individual who can cut checks, with the Controller serving as a backup. Neither of these individuals shall be an authorized signatory on the accounts.
- The Chief Financial Officer is charged with the integrity of the financial statements and shall not be authorized to cut checks directly. The CFO shall not make direct entries into QuickBooks, which shall be done by the Senior Accountant or the Controller, but the CFO shall be responsible for reviewing the financial statements on a monthly basis.
- Staff members with access to QuickBooks Accounting Software will change their passwords after the closing of each year. The entire computer system is to be backed up daily, with an off-site back-up prepared daily.

Cash Receipts

Mail shall be opened by the Administrative Assistant, not by the Accountant or the CFO. Checks are to be immediately stamped with “FOR DEPOSIT ONLY” and bank account number by someone who is not an authorized signer.

- MGH Staff Accountant

Receipts are then entered into QuickBooks by the Senior Accountant.

Cash receipts are deposited when receipts reach \$500.00, after making complete copies of deposit slip, check, and any supporting documentation. Deposits of all receipts will be made no less than weekly.

- MGH Staff Accountant

Bank Reconciliations shall be prepared by the Senior Accountant and reviewed/approved by the Controller or CFO.

Disbursements of Funds - General Controls

- Checks are numbered.
- Voided checks are defaced and retained.
- No checks will be signed in advance.
- The CEO or, in the CEO’s absence, the CFO may authorize unbudgeted expenditures not to exceed \$50,000 and budget expenditures not to exceed \$500,000. If the expenditure exceeds the \$50,000/\$500,000 limits, a Board member must also approve the expenditure. The CEO may be the sole signatory on checks up to \$25,000. Two signatures are required for checks over \$25,000.00 and must be signed by the CEO or CFO and by one authorized board member.
- No check made out to an individual or an entity that they are otherwise employed by will be signed by that individual.
- All checks presented for signature shall have all backup documentation attached.
- All blank check stock is to be secured in a locked file cabinet.

Check Signers

Check signers will be authorized by the F&A Committee on an annual basis and will be updated as necessary during the year. The current signatories are:

- CEO, CFO
- All members of the Board of Directors

Union Bank Checking Accounts

- CEO, CFO
- All members of the Board of Directors

Union Bank Money Market Account

- CEO, CFO
- All members of the Board

LAIF Account

- CEO, CFO
- Any two Board members

Cash Disbursements

The District will maintain all documentation necessary to trace any payment to its source. This includes but is not limited to invoices, system generated payables, management posting journal, general ledger posting journals, check registers and an orderly paid bills file.

All invoices, with the exception of routine payments, must have signature approval for payment by the CEO or, in the case of 1206(b) Clinic related invoices, approval by the CFO, CEO, or Controller.

It is permissible for invoices to be approved by email as long as that correspondence is attached to the invoice.

A weekly check run is performed by the Senior Accountant.

Checks are mailed with top portion attached and remittance form by the Administrative Assistant.

The bottom portion of check is retained and attached to the original invoice. All invoices are filed alphabetically in the paid bills file maintained in MGH Finance office.

Petty Cash

The District does not currently maintain a Petty Cash fund. To the extent that such fund may be established in the future, the following policies would apply:

Notice of the establishment of a petty cash fund will be sent to the MHD Board Chair and the Chair of the Management, Finance and Audit Committee.

Acceptable uses: basic office supplies, i.e.; pens, water, stamps, meeting supplies, etc.

Petty cash request form must be filled out with a due date and amount requested

- Administrative Assistant

The request is approved and signed by the Executive Director/CEO.

At month end, Petty Cash register is reconciled and appropriately expensed in QuickBooks by the Senior Accountant.

Payroll

The District currently does not have employees (March 2015).

Fixed Assets Capitalization Policy

The District will capitalize any assets over and including \$5,000 with a lifespan of 3 or more years. Capitalization includes shipping cost and installation charges necessary to make the asset useful to the District. Depreciation useful life of furniture, fixtures, equipment, and leasehold improvements is determined in accordance with industry standards. The assets are depreciated monthly utilizing a ½ year convention in the year of acquisition. Assets are tracked in a Depreciation Schedule noting purchase month and year, price, monthly expense and usable life.

Accumulated depreciation and expense tracked on the Depreciation Schedule and recorded in QuickBooks on a monthly basis by the Senior Accountant.

Yearly inventory taken and reconciled with Depreciation Schedule and General Ledger by the Senior Accountant.

The District contracts with CBIZ Valuation Group, LLC to prepare an annual Property Record Report and the computation of depreciation based on original cost.

Credit Cards

A credit card is to be used for outside purchases and deposits as required by vendors, such as travel, conferences, furniture, subscriptions, etc. The monthly credit card statement will be reviewed and approved by the CEO. The Board Chair and the Chair of the MF&A will receive copies of the Executive credit card statement.

Any unauthorized use of the credit card will be grounds for immediate termination.
Any incidence of fraud will be grounds for immediate termination.

Monthly Checklist

Reconcile schedules with the General ledger:

- Senior Accountant

Review the month end close and General Ledger reconciliation:

- Chief Financial Officer and Controller

Contracts

The District CEO is authorized to review, approve and sign all contracts and agreements on behalf of the District, subject to Board approval pursuant to the expenditure authorizations within this policy.

Tab 5

Introducing Canterbury Consulting

Presentation To:

Marin Healthcare District

Presented By:

Jason Levey, CAIA, Director

Debashis Chowdhury, CFA, Managing Director

Table of Contents

Section I About Canterbury Consulting

Section II District Assets

Section III Fee Schedules



About Canterbury Consulting

Independent

- Employee-owned
- Free from conflicts of interest

Focused

- Dedicated professional teams for each client
- Access to the best managers and strategies, large and small
- Effective negotiation of terms and conditions

Research intensive

- Open architecture
- Interdisciplinary collaborative approach

Canterbury Consulting

- Established 1988
- AUM approximately \$13.5 billion*
- Ten consultants, averaging 20+ years investment experience
- 19 senior investment professionals
- Investment Manager Research Subcommittees
- Specialized focus on Endowments, Foundations, Corporations & Families
- Newport Beach, California and Seattle, Washington

**as of 12/31/2014*

Your Investment Office

Canterbury is organized around you to deliver investment success through a customized engagement that exactly meets your needs



Stable Business Platform
Management, HR, Finance, IT, Marketing, Administration

We Exist to Deliver Investment Success

Consulting:

Our consulting department exists to provide advice and information that allows you to make sound investment decisions – and avoid harmful ones.

Research:

Our collaborative research team exists to supply your organization with the best managers for *your* portfolio.

Client Service/ Operations

Our Client Service team exists to provide error-free administration of your investment portfolio.

Who We Serve

Endowments

American Jewish University – *Bel Air, California*
Greater Los Angeles Zoo Association – *Los Angeles, California*
Library of Congress – *Washington, DC*
University of the Pacific – *Stockton, California*
YMCA of Greater Los Angeles – *Los Angeles, California*

Arts & Culture

Exploratorium – *San Francisco, California*
San Diego Museum of Art – *San Diego, California*
Santa Barbara Museum of Art – *Santa Barbara, California*
Segerstrom Center for the Arts – *Costa Mesa, California*
South Coast Repertory Theater – *Costa Mesa, California*

Religious Organizations

Episcopal Charities of San Francisco – *San Francisco, California*
Fuller Theological Seminary – *Pasadena, California*
Jewish Federation Council of Los Angeles – *Los Angeles, California*
Roman Catholic Diocese of Orange – *Orange, California*
Sisters of the Holy Names, US/Ontario Province – *Los Gatos, California*

Foundations

Arnold & Mabel Beckman Foundation – *Irvine, California*
Jewish Community Foundation, Phoenix – *Phoenix, Arizona*
Pacific Northwest Ballet Foundation – *Seattle, Washington*
Unihealth Foundation – *Los Angeles, California*
Ventura County Community Foundation – *Ventura, California*

Health Care Organizations

Cancer Center of Santa Barbara – *Santa Barbara, California*
John Muir Health – *Walnut Creek, California*
Los Angeles Orthopaedic Hospital – *Los Angeles, California*
Redlands Community Hospital – *Redlands, California*
Unihealth Foundation – *Los Angeles, California*
Valley Medical Center – *Renton, Washington*

Corporations

Hitachi Data Systems – *Santa Clara, California*
Johnson Machinery – *Riverside, California*
National Cement Company – *Encino, California*
O'Melveny & Myers – *Los Angeles, California*
Unified Grocers – *Commerce, California*

This listing is current as of September 30, 2014. The clients identified above are not selected based on the performance of their accounts, rather they are clients who have given Canterbury permission to use their name. Further selection criteria includes name recognition, client type, asset size and location. It is not known whether or not these clients approve or disapprove of the services they receive from Canterbury Consulting.

How We Work With You

Advisory Services

- Portfolio Assessment
- Strategic Asset Allocation Planning
- Investment Policy Development
- Spending Policy Evaluation & Effects
- Manager Search/Selection & On-going evaluation
- Risk Management
- Implementation of SRI Guidelines
- Performance Reporting
- Client Education
- Quarterly meetings
- Custodian Search (as needed)

Administrative Services

Advisory Services *plus* management of back office functions

- Canterbury implements investment decisions made by client:
 - Review and complete new manager documents for client signature
 - Direct custodians and managers to complete money movement
 - Implement private equity cash flow and manage cash balance
- Audit Assistance

Our Service Model

Risk Management

Process Stage	Objectives	Services
Investment Policy Statement	Achieve clear understanding and create policy that articulates your guidelines and requirements	<ul style="list-style-type: none"> • Fund uses • Total return objectives • Risk tolerance • Manager guidelines • Rebalancing policies
Asset Allocation Strategy	Develop consensus on appropriate asset and strategy mix	<ul style="list-style-type: none"> • Equity & Fixed Income • Growth & Value • Domestic, International and Emerging Markets • Alternative Strategies
Manager Research & Selection	Rigorous evaluation of managers	<ul style="list-style-type: none"> • Quantitative screens • Fundamental screens • Qualitative screens
Investment Implementation	Canterbury assists in the administration of your plan	<ul style="list-style-type: none"> • Coordination between custodians, and managers • Continual evaluation of managers
Performance Evaluation	Regular meetings, reports, and access	<ul style="list-style-type: none"> • Recurring account review for rebalancing and tracking against your objectives
Client Service & Education	Discussion and instruction programs	<ul style="list-style-type: none"> • Daily support by our analysts • Educational support for your directors and staff – forums, seminars, individualized support

Entrusting your assets with Canterbury

- Risk management integrated at multiple levels
- Customized investment programs
- Ongoing client education and communications



District Assets

Like any organization, the District has numerous pools of funds with different purposes. As a result, each pool has different objectives and must be managed accordingly. Generally, these pools are:

1. Operating cash – regular funds used to manage daily operations, usually held in cash or money market funds
2. Excess operating funds – funds produced from normal operations that may accumulate in excess of the amount to manage daily operations. These funds might be considered relatively longer-term assets and invested with a longer time horizon
3. Bond proceeds – funds earmarked for future capital expenditures. These funds are managed in concert with a specific project or projects

As it relates to bond proceeds, there are certain requirements and restrictions as to how the assets are invested and structured. Canterbury works regularly with similar organizations in developing strategies and identifying investment managers to comply with such requirements.



Fee Schedules

Fee Schedule

A service plan to meet your needs

- The right level of support
- Providing value-added expertise and accountability
- Offering effective solutions, designed for your individual needs

Advisory Plus Administrative Services

- 0.25% on the first \$50 million
- 0.15% on the next \$50 million
- 0.10% thereafter
- Minimum annual fee: \$75,000

Fees for Short-Term Bond Proceeds

- 0.05% on all assets

Tab 6

Marin Healthcare District			
Cash Budget - DRAFT			
July - December 2015 (6 Months)			
		FY2015 Budget	Proposed Jul - Dec 2015 Budget
Receipts			
1	MGHC Cash Rental Income - Lease	457,419	236,116
2	MGHC Support Payments	201,364	85,141
3	Interest Income	3,000	1,500
	Total Receipts	661,783	322,757
Disbursements			
4	Legal Fees - Counsel - General	60,000	30,000
5	Auditor Expenses	20,000	15,000
6	Board Compensation	12,000	6,100
7	Board Expenses - Meetings & Travel	30,000	15,000
8	ACHD	12,000	12,000
9	Charitable Contributions	30,000	74,516
10	Consulting	60,000	2,000
11	Community Communications & Education	120,000	40,000
12	Clinic Marketing Communications	-	40,000
13	Lafco Allocation	3,000	3,000
14	Election	130,000	-
15	Reserve	43,419	-
16	MGH Approved Program Support	141,364	85,141
	Total Disbursements	661,783	322,757
17	Net Cash Flow	\$ -	\$ -

Tab 7



BRIAN SU, MD

**CONFLICT OF INTEREST QUESTIONNAIRE
AND
DISCLOSURE OF CERTAIN INTERESTS**

Mail completed questionnaire to:

Mr. Colin Coffey
Archer & Norris
2033 North Main Street Suite 800
Walnut Creek, CA 94596

The questions set forth below are intended to solicit any information which could conceivably constitute a conflict of interest pursuant to the Conflicts of Interest Policy of Marin General Hospital Corporation (the "Conflicts Policy"). I hereby represent that the following answers are, to the best of my knowledge, true and correct.

1. Outside Interests and Investments

Identify and describe the nature of any outside interests and investments in any business or organization with which the Hospital does or may have any lease, service arrangement or any financial relationship, and specify the nature of your involvement and the extent of compensation (of any kind) received as a result of such interest or investment.*

MGH Foundation Board Member () None
MT Team Orthopedics
Share holder

Director of Spine Surg. Marin General Hospital

2. Outside Compensation Arrangements

Identify and describe any outside employment, contractual or other arrangements with any business or organization pursuant to which you receive compensation (of any kind), and specify the nature of your involvement with the business or organization and the extent of compensation (of any kind) received from such business or organization.*

MT Team Orthopedics Share holder () None
Styker Spine Consultant
Linte Spine Consultant
Medtronic Spine Consultant

(Please attach additional sheets of paper if necessary)

3. Gifts

Identify and describe any gifts, gratuities, entertainment or other favors which you have accepted from any business or organization which to your knowledge does, or is seeking to do, business with, or is a competitor of, the Hospital.*

() None

4. Activities With Other Healthcare Providers or Research Enterprises

List and describe the nature of any directorship, membership on a governing board, administrative, managerial, professional, supervisorial, leadership or consulting position held at another hospital or with another healthcare provider, research enterprise or other business or organization which is a competitor or may have conflicting interests with the Hospital. Members of the Medical Staff should disclose membership on other hospital's staffs and any committee or administrative positions held.*

Medical Staff Sanoma Valley Hospital () None
Ben Orr / Greenbrae Surgery Center

5. Influence Regarding County of Marin Contracts

State whether you are a spouse or economic dependent of any County employee whose position enables the County employee to influence the awarding of any County of Marin Contract relating to health care.

() Yes () No
If yes, please describe.*

(Please attach additional sheets of paper if necessary)

6. Nepotism

State whether you have any relatives employed by the Hospital.

() Yes () No
If yes, please describe.*

7. Contracts or Transactions

State whether you have entered into any contract or engaged in any other transaction with the Hospital in which you received or currently receive any goods, services, payment, compensation or other economic benefit from the Hospital.

() Yes () No
If yes, please describe.*

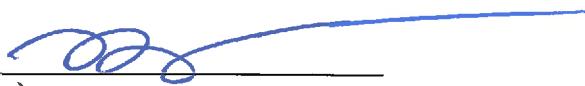
Medical Director of Spine Surgery

8. Other

List and describe any other activities, arrangements that might be regarded as constituting or may potentially give rise to a conflict of interest.*

() None

Please report to the Chief Executive Officer of the Hospital, promptly and in writing, any further activity or interest which may constitute a conflict of interest which arises before next year's Conflict of Interest Questionnaire is circulated.



(Signature)

BRIAN SU

(Print Name)

(Position)
April 13, 2015

(Date)

(Please attach additional sheets of paper if necessary)

MT TAM ORTHOPEDICS, A MEDICAL CENTER, INC.

Orthopedic Surgery, Comprehensive Spine Care, Physical Therapy & MRI

2 Bon Air Road, Suite 120
Larkspur, CA 94939

Phone: (415) 927-5300
Fax: (415) 927-5242

Physical Medicine

Ernest H. Sponzilli, M.D.
Lisa M. Elvin, RN, MSN, ANP-C

Spinal Disorders

Robert H. Byers, M.D.
Brian Wei-En Su, M.D.

Brian W. Su, M.D. *Curriculum Vitae*

EMPLOYMENT

2009-Present Attending Spine Surgeon
Mt. Tam Orthopedics and Spine Center

Director of Spine Surgery
Marin Spine and Brain Institute
Marin General Hospital
Larkspur CA

EDUCATION

2008-2009 Orthopaedic and Neurosurgical Spine Fellow
The Thomas Jefferson University
Rothman Orthopaedic Institute (Philadelphia, PA)
Fellowship Co-Directors: Todd J. Albert MD
Alexander R. Vaccaro MD, PhD

2007-2008 Administrative Chief Resident
Department of Orthopaedic Surgery
The New York Orthopaedic Hospital
Columbia University Medical Center
New York Presbyterian Hospital (New York, NY)
Chairman: Louis U. Bigliani MD

2004-2007 Resident, Department of Orthopaedic Surgery
The New York Orthopaedic Hospital
Columbia University Medical Center
New York Presbyterian Hospital (New York, NY)
Program Director: William N. Levine, MD
Chairman: Louis U. Bigliani MD

2003-2004 Intern, Department of General Surgery
New York Presbyterian Hospital (New York, NY)

EDUCATION Continued...

- 1998-2003 M.D. Columbia University,
College of Physicians and Surgeons (New York, NY)
- 1994-1998 B.S.E. Duke University, School of Engineering (Durham, NC)
Magna Cum Laude and with Distinction
Majors: Biomedical Engineering, Electrical Engineering
Minor: Chemistry
- 1990-1994 Niskayuna High School (Schenectady, NY)
Graduated with highest honors

NATIONAL BOARD EXAMS

- USMLE Part I: Passed 1999
USMLE Part II: Passed 2002
USMLE Part III: Passed 2004
American Board of Orthopaedic Surgery Part 1: Passed 2008
American Board of Orthopaedic Surgery Part 2: Passed 2011

MEDICAL LICENSURE

- New York State #237395
California #A109113

HONORS AND AWARDS

- 2013 415 Best Doctors, Orthopedic Spine Surgery, Marin Magazine
- 2011-Present, Reviewer and Deputy Editor, Orthobullets.com Spine Subsection
- 2011 Reviewer, SPINE
- 2008 Frank E. Stinchfield Award in Orthopaedic Surgery
- 2007 Journal of Bone and Joint Surgery/Orthopaedic Resident Education Foundation Journal Club Grant for the New York Orthopaedic Hospital
- 2007 Administrative Chief Resident, New York Orthopaedic Hospital
- 2007 American Orthopaedic Association Zimmer Resident Leadership Award

HONORS AND AWARDS Continued...

2007 American Orthopaedic Association Emerging Leaders Program

2005 Harold M. Dick Award in Orthopaedic Surgery. Awarded to the junior resident who has demonstrated sound clinical judgment, industriousness, and efficiency in patient management.

2004 1st Place Presentation. *New York State Society of Orthopaedic Society Controversies in Orthopaedic Surgery* (New York, NY). The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons.

2004 1st Place Presentation. *Orthopaedic Research and Education Foundation, New York Metropolitan Area Resident Research Competition* (New York, NY). A Device for Zone II Flexor Tendon Repair

2003 Dean's Day Research Award. *Columbia University, College of Physicians and Surgeons*. A Biomechanical, Histological, and Clinical Study of a Device for Flexor Tendon Repair.

2003 New York Orthopaedic Hospital Award. Awarded to the medical student excelling in orthopaedic research.

2003 1st Place Presentation. *New York Society for Surgery of the Hand (NYSSH) Residents and Fellows Conference* (New York, NY). Malpractice Lawsuits for Treatment of Carpal Tunnel Syndrome in New York State.

2003 3rd Place Award. *Orthopedic Research and Education Foundation (OREF) Resident Research Symposium* (New York, NY). The Effect of Deep Venous Thrombosis Prophylaxis (Heparin, Aspirin, Coumadin) on the Incidence of Heterotopic Ossification; A Retrospective Analysis of 913 Patients.

2002 Who's Who Historical Society of Professionals for *The Journal of Young Investigators*

2002 1st Place Presentation. *New York Society for Surgery of the Hand (NYSSH) Residents and Fellows Conference* (New York, NY). The Gross and Histological Analysis of the Teno Fix™; A Novel Device for Flexor Tendon Repair.

2002 3rd Place Presentation. *New York Society for Surgery of the Hand (NYSSH) Residents and Fellows Conference* (New York, NY). The Biomechanical Analysis of Teno Fix; A Novel Device for Flexor Tendon Repair.

2001 1st Place Presentation. *New York Society for Surgery of the Hand (NYSSH) Residents and Fellows Conference* (New York, NY). The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons.

HONORS AND AWARDS Continued...

2001 Doris Duke Clinical Research Fellowship, Columbia University College of Physicians and Surgeons

1999 National Institutes of Health Pre-Doctoral Research Fellowship, Columbia University College of Physicians and Surgeons

1998 Tau Beta Pi Engineering Honor Society

1998 Howard Clark Award in Biomedical Engineering

1998 Magna Cum Laude, Duke University

1998 Departmental Distinction in Biomedical Engineering, Duke University

1997-1998 National Science Foundation/Engineering Research Center, Center for Emerging Research for Cardiovascular Technologies Fellowship

1996-1998 J.L. Alexander Scholarship

1996-1998 M.S. Ehrlich Memorial Scholarship

1995-1998 Harvey Holding Engineering Scholarship

1994-1998 Dean's List with Distinction, Duke University

1997 Golden Key Honor Society

1996 National Institutes of Health Intramural Research Fellowship, National Institute for Child Health and Human Development

1994 Phi Eta Sigma Honor Society

COMMITTEES

2014-Present Marin General Hospital Pain Management Committee

2013-Present Marin General Hospital Foundation

2013-Present Marin General Hospital Spine Center of Excellence Committee

2013-Present Meritage Medical Network Quality Review Committee

2011-Present Marin General Hospital Foundation Golf Fundraising Committee

COMMITTEES Continued...

2011-2012 Marin General Hospital CPOE Task Force

2011-2012 Marin General Hospital Peer Review Task Force

2007-2008 New York Presbyterian Hospital Information Technology Sub-Committee

2005-2008 New York Presbyterian Hospital Graduate Medical Education Sub-Committee

2005 Pain Service Committee: Liaison between department of anesthesiology and orthopaedics to develop a pain management protocol for orthopaedic in-patients.

WORK EXPERIENCE

2012-Present Consultant (Surgical Design Team), LINK Spine

2011-Present Consultant, Stryker Spine

2011-Present Consultant, Medtronic Spine

2011-Present Per Diem Consultant, Depuy Spine

2008-Present Consultant, Gentis, Inc. Optimization of the Injection Pressure of a Nucleus Augmentation Implant to Restore the Post Discectomy Intervertebral Disc Height in the Lumbar Spine

2007-2008 Stadium Physician, The New York Yankees

1997-Present Founder and member of the Board of Directors, *The National Journal of Young Investigators, Inc (JYI) – JYI* (www.jyi.org). A web-based undergraduate research journal. Staff encompasses over 100 students from over 30 institutions. Funded by research grants (see Financial Grants). Featured in *Nature Magazine*, *Science Magazine* and *The New York Times*. 1997 Chief Executive and Financial Officer, 1998-1999 Chief Financial Officer. 2006-2007 Chairperson, Board of Directors.

1996-1998 Duke University Department of Chemistry. Teaching assistant for organic and general chemistry.

1997 Duke University Talent Identification Program/Satellite Science Program

1994-1996 Duke University Peer Tutoring Program

RESEARCH EXPERIENCE

2003-2008. The Trauma Training Center, New York Orthopedic Hospital, Columbia Presbyterian Medical Center. Clinical Coordinator A Prospective, Randomized, Double-Blind, Placebo-Controlled Study of Actonel (Risedronate) on Hip Fracture Healing in Patients with Osteoporosis.

2005-2006 Clinical coordinator, Multi-center Double Blinded Clinical Trial of the Effects of Forteo® (Teriparatide) on Distal Radius Fractures.

2001-2002 Doris Duke Clinical Research Fellowship, New York Orthopedic Hospital, Columbia Presbyterian Medical Center (New York, NY; Johannesburg and Cape Town, South Africa). Clinical coordinator for trial on Teno-Fix™ (Ortheon Medical, Inc); a device for flexor tendon repair of the hand. Designed a clinical protocol for an academic study, European CE marking, and US FDA approval.

1999 National Institutes of Health Pre-Doctoral Research Fellowship /Columbia University College of Physicians and Surgeons, Department of Orthopaedic Surgery. Designed and completed a study on (1) The effects of titanium metallosis in the beagle dog tendon (2) Intertrochanteric vs. Basicervical fractures, a clinical and radiographic analysis.

1997-1998 National Science Foundation/Engineering Research Center Fellowship, Duke University. Studied the effects of near field phase aberration in ultrasonic breast imaging.

1996 National Institute for Child Health and Human Development/Laboratory of Cellular and Molecular Biophysics. Studied exogenously added lysolipids on the calcium triggered fusion reaction in sea urchin cortical granules as a model system for viral fusion.

1995 New York State Department of Health/Laboratory of Analytical Chemistry. Extracting and analyzing PCB's from NYS ground soil and water.

1994-1995 Duke University Department of Neuroscience. Assisted with the development of electron microscopy photos of rat synapses.

1994 Entridia, Inc. Designed voice analyzation circuits.

FINANCIAL GRANTS

2012 Principal Investigator Marin General Hospital Foundation, Development of a Clinical Outcomes Registry for Spine Surgery \$60,000

2008 Co-Principal Investigator. Orthopaedic Surgery Research Foundation. Percutaneous Transfacet Fixation of the Lumbar Spine: A Morphologic, Radiographic, and Biomechanical Study. \$7,100.

FINANCIAL GRANTS Continued...

2005 Co-Principal Investigator. Orthopaedic Trauma Association clinical outcomes grant for A Prospective, Randomized, Double-Blind, Placebo-Controlled Study of Actonel (Risedronate) on Hip Fracture Healing in Patients with Osteoporosis. \$50,000 over two years.

2004 Co-Principal Investigator. Eli Lilly Clinical Trials Grant for A Multi-center Double Blinded Clinical Trial of the Effects of Forteo® (Teriparatide) on Distal Radius Fracture Healing. \$20,000 over one year.

1997-1999 Co-Principal Investigator. The Burroughs-Wellcome Fund, for *The Journal of Young Investigators*. \$25,000 over one year.

1998 Co-Principle Investigator. The National Science Foundation, Division of Physics and Division of Mathematical and Physical Sciences, for *The Journal of Young Investigators*.. \$250,000 over two years.

POSTER PRESENTATIONS

2103 Congress of Neurological Surgeons (San Francisco, CA) Su BW, Shimer AL, Chinthakunta S, Salloum K, Ames CP, Vaccaro AR, Bucklen B, Comparison of Fatigue Strength of C2 Pedicle Screws, C2 Pars Screws, and a Hybrid Construct in C1-2 Fixation.

2010 Cervical Spine Research Society (Charlotte, NC) Predictors of Postoperative C5 palsy After Cervical Laminectomy and Fusion.

2009 North American Spine Society (San Francisco CA) Su BW, Kim PD, Cha T, Lee J, April EW, Weidenbaum M, Vaccaro AR. An Anatomical Study of the Mid-Lateral Pars (MLP) Relative to the Pedicle Footprint in the Lower Lumbar Spine

2009 North American Spine Society (San Francisco CA) Su BW, Cha T, Kim PD, Lee J, April EW, Weidenbaum M, Vaccaro AR. A Morphologic and Radiographic Study of Lumbar Facets Relavent to Transfacet Fixation

2004 *New York State Society of Orthopaedic Society Controversies in Orthopaedic Surgery* (New York, NY). 1st Place Award, The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons, Sinicropi, SM, Su, BW Raia, FJ, Parisien, M, Strauch, RJ, Rosenwasser, MP The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons.

2003 *The American Orthopedic Association (AOA) 2003 Annual Meeting* (Charleston, SC). BW Su, M Solomons, A Barrow, F.J. Raia, TS Protopstaltis, C.B. Lipton, R.J. Strauch, M.P. Rosenwasser. Teno-Fix™, A Novel Device for Flexor Tendon Repair.

POSTER PRESENTATIONS Continued...

2003 *Orthopedic Research and Education Foundation Resident Research Symposium*. 3rd Place Award. Martin, G, Su, BW, Nercessian, O, Norian, J, Macaulay, J, Eftekhari, N. The Effect of Deep Venous Thrombosis Prophylaxis (Heparin, Aspirin, Coumadin) on the Incidence of Heterotopic Ossification; A Retrospective Analysis of 913 Patients.

2003 *Columbia University College of Physicians and Surgeons Dean's Day*. BW Su, TS Protopstaltis, FJ Raia, MF Koff, HM Quitkin, M Parisien, M Solomons, A Barrow, RJ Strauch, MP Rosenwasser. A Biomechanical, Histological, and Clinical Study of a Device for Flexor Tendon Repair.

2002 *American Society for Surgery of the Hand (ASSH) Adrian E. Flatt Resident and Fellows Conference in Hand Surgery* (Phoenix, AZ), Comparative Topography of the Carpometacarpal (CMC) Joint of Baboons (*Papio Anubis*); The First Primates with Opposable Thumbs, Su, BW, Protopstaltis, TS, Koff, M, Coon, AL, Marzke, M, Mow, VC, Connolly, S, Rosenwasser, MP.

2002 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Phoenix, AZ), Comparative Topography of the Carpometacarpal (CMC) Joint of Baboons (*Papio Anubis*); The First Primates with Opposable Thumbs, Su, BW, Protopstaltis, TS, Koff, M, Coon, AL, Marzke, M, Mow, VC, Connolly, S, Rosenwasser, MP.

2002 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Phoenix, AZ). The Safety of Newer Proximal vs. Standard Distal Arthroscopic Elbow Portals: Are there any Vulnerable Nerves?, Protopstaltis, TS, Su, BW, Rosenwasser, MP.

2002 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Phoenix, AZ). The Gross and Histological Analysis of the Teno-Fix; A Novel Device for Flexor Tendon Repair, Su, BW, Raia, FJ, Quitkin, HM, Parisien, M, Strauch, RJ, Rosenwasser, MP,.

2002 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Phoenix, AZ). The Biomechanical Analysis of Teno Fix; A Novel Device for Flexor Tendon Repair, Su, BW, Protopstaltis, TS, Strauch, RJ, Rosenwasser, MP.

2002 *Orthopedic Trauma Association (OTA) Annual Meeting* (Toronto, Ontario, Canada), Basicervical vs. Intertrochanteric Fractures: A Retrospective Analysis of Radiographic and Functional Outcomes, Su, BW, Protopstaltis, TS, Chapman, CB, Sinicropi, SM, Kuremsky, M, Rosenwasser, MP.

1998 *Duke University Department of Biomedical Engineering Lecture* (Durham, NC), Effects of Near Field Phase Aberration in Ultrasonic Breast Imaging, Su, BW, Gauss, R, Trahey, GE.

1997 *The Society for General Physiologists* (Woods Hole, MA), Reversible Inhibition in Calcium Triggered Exocytosis by Lysolipids, Blank, PS, Su, BW, Mahoney EJ, Chernomordik, L, Zimmergerg, J.

PODIUM PRESENTATIONS

2104 Cervical Spine Research Society Su BW, Shimer AL, Chinthakunta S, Salloum K, Ames CP, Vaccaro AR, Bucklen B, Comparison of Fatigue Strength of C2 Pedicle Screws, C2 Pars Screws, and a Hybrid Construct in C1-2 Fixation (submitted)

2104 Cervical Spine Research Society The Anatomical Footprint of the C1 Pedicle Relative to the Lateral Mass as a Guide for C1 Lateral Mass Fixation. Brian W. Su MD, Robert H. Byers MD, Adam L. Shimer MD, Alexander Theologis MD, Bobby Tay MD, (submitted)

2014 Finding a Job and Marketing Your Practice, Decisions in Spine Transitioning into Practice, Medtronic, Dallas TX Su BW

2014 Spine Complications Case Presentation and Moderator, Decisions in Spine Transitioning into Practice, Medtronic, Dallas TX Su BW

2014 American College of Spine Surgery, Lumbar Fusion and Results (Las Vegas, NV)

2014 Advanced Spine Course, Practice Development, Stryker (Allendale, NJ)

2014 Advanced Spine Course, Moderator Case Presentations, Stryker (Allendale, NJ)

2014 Orthobullets Virtual Curriculum, Spine #2 Specialty Exam Review Webinar

2013 Young Lions Spine Surgery Techniques and Training (Ft Lauderdale, FL)

2013 Emcee Marin General Hospital Foundation Golf Fundraiser

2013 Demineralized Bone Graft, Symposium on Bone Graft Substitutes, Stryker (Allendale, NJ) Su BW

2013 Lessons Learned in the first years of practice, Stryker VIP (Allendale, NJ) SuBW

2013 Transitioning Into Practice Medtronic, Tampa FL, Spine Trauma Case Presentation Su BW

2013 Transitioning Into Practice Medtronic, Tampa FL, Lessons Learned in the First Two Years of Practice, Su BW

2012 Young Lions, Stryker Course Faculty, Ft. Lauderdale FL, The Place for Motion Preservation in the Cervical Spine, Su BW

2012 Thomas Jefferson Alumni Meeting, Newport RI, Managing Complications in Spinal Surgery. Su BW

PODIUM PRESENTATIONS, Continued...

2012 Future Spine Leader Workshop UCSF, Depuy Course Faculty, San Francisco, CA, Choosing and Building a Practice Su BW

2012 Orthopedic In Training Exam, Orthobullets Virtual Curriculum, Miller Review Course, Spine Faculty

2012 Young Lions, Stryker Course Faculty, Las Vegas NV, Bone Graft Substitutes, Su BW

2012 Decision Making Strategies for Early Career Surgeons, Medtronic, Course Faculty, Las Vegas, NV Complex Revision Spine Surgery, Su BW

2012 Decision Making Strategies for Early Career Surgeons, Medtronic, Course Faculty, Las Vegas, NV Oral Orthopedic Boards Review, Su BW

2011 Spine, Science, and Management, Medtronic, Course Faculty, Las Vegas NV Building a Practice for the Young Spine Surgeon, SuBW

2011 Spine, Science, and Management, Medtronic, Course Faculty, Las Vegas NV Complex Cervical Spine, SuBW

2011 Complex Surgery and Complications, Stryker, Course Faculty, La Jolla, CA, Bone Graft Substitutes, SuBW

2010 North American Spine Society. Occipital Condyle Plumb Line Predicts Outcome of Cervical Laminectomy Fusion K. Radcliff, BW Su

2009 *Annual Alumni Meeting, Thomas Jefferson University* (Orlando, FL) Update on Cervical Disc Replacement. Su BW.

2009 *Thomas Jefferson University Spine Fellow Lecture Series.* (Philadelphia, PA) P-15 Bone Graft Substitute, An Evidence Based Evaluation. Su BW.

2009 *Thomas Jefferson University Spine Fellow Lecture Series.* (Philadelphia, PA) Conus Medullaris vs. Cauda Equina Syndrome; Diagnosis and Intervention . Su BW.

2009 *Thomas Jefferson University Spine Fellow Lecture Series.* (Philadelphia, PA) Treatment of Lumbar Degenerative Disc Disease; An Evidence Based Evaluation of the Literature. Su BW.

2009 *Thomas Jefferson University Spine Fellow Lecture Series.* (Philadelphia, PA) Update of CPT Coding for Spine Surgeons. Su BW.

PODIUM PRESENTATIONS, Continued...

2009 *Thomas Jefferson University Spine Fellow Lecture Series*. (Philadelphia, PA) Update of Translational Research in Spinal Cord Injury. Su BW.

2009 AO Spine Fellows Meeting (Banff, Calgary) Su BW, Cha T, Kim PD, Lee J, April EW, Weidenbaum M, Vaccaro AR. A Morphologic and Radiographic Study of Lumbar Facets Relavent to Transfacet Fixation

2009 American Academy of Orthopaedic Surgeons Annual Meeting (Las Vegas, NV) Su BW, Cha T, Kim PD, Lee J, April EW, Weidenbaum M, Vaccaro AR. A Morphologic and Radiographic Study of Lumbar Facets Relavent to Transfacet Fixation

2008 *Thomas Jefferson University Spine Fellow Lecture Series*. (Philadelphia, PA) Central Cord Injury; The Rationale for Early Intervention. Su BW.

2008 *Thomas Jefferson University Spine Fellow Lecture Series*. (Philadelphia, PA) Radiographic Measurements and Classification of Adolescent Idiopathic Scoliosis. Su BW.

2008 *Thomas Jefferson University Spine Fellow Lecture Series*. (Philadelphia, PA) Treatment Principles of Adolescent Idiopathic Scoliosis. Su BW.

2008 *Thomas Jefferson University Spine Fellow Lecture Series*. (Philadelphia, PA) Thoracolumbar Burst Fractures, an Evidence Based approach. Su BW

2007 *New York Orthopaedic Hospital Sports Medicine Core Conference*.(New York, NY) Cervical Spine Injuries in the Athlete. Su BW

2005 *New York Orthopaedic Hospital Grand Rounds*. (New York, NY) Locked Plating. Kowalsky M, Su BW, Chung WC, Gonzalez-Lomas G.

2004 *Orthopaedic Research and Education Foundation, New York Metropolitan Area Resident Research Competition* (New York, NY). A Device for Zone II Flexor Tendon Repair. 1st Place Presentation

2004 *New York Orthopaedic Hospital Grand Rounds*. Tumor Rounds: Metastatic Bone Disease. Su, BW.

2004 *Orthopaedic Research Society (ORS) Annual Meeting* (San Francisco, CA). Su BW, Lee J, Solomons M, Gilberti M, Barrow A, Senoge S, Protopstaltis TS, Koff MF, Raia FJ, Parisien M, Strauch RJ, MP Rosenwasser. A Device for Flexor Tendon Repair.

2004 *American Academy of Orthopaedic Surgeons (AAOS) Annual Meeting* (San Francisco, CA) Lipton CB, Heyworth BE, Su BW, Patterson AH, Rosenwasser MP. Malpractice Lawsuits for Treatment of Carpal Tunnel Syndrome in New York State.

PODIUM PRESENTATIONS, Continued...

2003 *American Society for Surgery of the Hand (ASSH) Annual Residents and Fellows Conference* (Chicago, IL). BW Su, M Solomons, A Barrow, ME Senoge, MP Rosenwasser. A Multi-Center, Randomized, Double Blind, Clinical Trial of Teno-Fix™; A Novel Device for Flexor Tendon Repair.

2003 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Chicago, IL) Lipton CB, Heyworth BE, Su BW, Patterson AH, Rosenwasser MP. Malpractice Lawsuits for Treatment of Carpal Tunnel Syndrome in New York State.

2003 *British Society for Surgery of the Hand (BSSH) and American Society for Surgery of the Hand (ASSH) Joint Scientific Meeting* (Cambridge, England), A Randomized, Double Blind, Clinical Trial of Teno Fix™; A Novel Device for Flexor Tendon Repair. M Solomons BW Su, , A Barrow, MP Rosenwasser.

2003 *New York Society for Surgery of the Hand (NYSSH) Annual Residents and Fellows Conference* (New York, NY). 1st Place Award. Lipton CB, Heyworth BE, Su BW, Patterson AH, Rosenwasser MP. Malpractice Lawsuits for Treatment of Carpal Tunnel Syndrome in New York State. 2003 Presenter: CB Lipton

2002 *American Society for Surgery of the Hand (ASSH) Adrian E. Flatt Resident and Fellows Conference in Hand Surgery* (Phoenix, AZ). The Biomechanical and Histological Analysis of Teno Fix; A Novel Device for Flexor Tendon Repair. BW Su. Protopstaltis, TS, Strauch, RJ, Rosenwasser, MP.

2002 *Columbia University, College of Physicians and Surgeons Clinical Correlation Lecture* (New York, NY), Medial and Lateral Epicondylitis, Diagnosis and Treatment, Presenters: BW Su. Protopstaltis, TS, Rosenwasser, MP.

2002 *New York Orthopedic Hospital Grand Rounds* (New York, NY), Flexor Tendon Injuries. Teno-Fix™; A Novel Device for Flexor Tendon Repair.

2002 *Doris Duke Clinical Research Fellowship Annual Meeting*, (St. Louis, MI). The Clinical Evaluation of Teno-Fix; A Novel Stainless Steel Device for Flexor Tendon Repair. Su, BW, Solomons, M, Gilberti, M, Barrow, A, Senage, S, Rosenwasser, MP.

2002 *New York Society for Surgery of the Hand (NYSSH) Annual Residents and Fellows Conference* (New York, NY). 1st Place Award. The Gross and Histological Analysis of the Teno-Fix. A Novel Device for Flexor Tendon Repair, BW Su. Raia, FJ, Quitkin, HM, Parisien, M, Strauch, RJ, Rosenwasser, MP.

2002 *New York Society for Surgery of the Hand (NYSSH) Annual Resident's and Fellows Conference* (New York, NY). 3rd Place Award. The Biomechanical Analysis of Teno Fix; A

PODIUM PRESENTATIONS, Continued...

Novel Device for Flexor Tendon Repair. Su, BW, Protopstaltis TS, Strauch, RJ, Rosenwasser, MP; Presenter: TS Protopstaltis.

2002 *The 8th Meeting of the International Society for Fracture Repair* (Toronto, Canada) , The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons. Rosenwasser, MP, Su, BW, Sinicropi, SM, Raia, FJ, Parisien, M, Strauch, RJ.

2001 *American Society for Surgery of the Hand (ASSH) Annual Meeting* (Baltimore, MD), The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons. Rosenwasser, MP, Su, BW, Sinicropi, SM, Raia, FJ, Parisien, M, Strauch, RJ.

2001 *New York Society for Surgery of the Hand (NYSSH) Annual Residents and Fellows Conference* (New York, NY). 1st Place Award. The Inflammatory Effect of Titanium Distal Radius Plates on Canine Tendons, Sinicropi, SM, Su, BW, Raia, FJ, Parisien, M, Strauch, RJ, Rosenwasser, MP.

1999 *NIH Predoctoral Fellowship Conference*, Columbia University, College of Physicians and Surgeons (New York, NY), Basicervical vs. Intertrochanteric Fractures: A Retrospective Analysis of Radiographic and Functional Outcomes. Su, BW, Chapman, CB, Sinicropi, SM, Rosenwasser, MP.

1999 *The National Science Foundation Corporate and Foundation Alliance Conference* (Washington, DC) , A History of The National Journal of Young Investigators. BW Su, B Gebre, C Peterson.

1998 *National Academy of Sciences Seminar* (Washington, DC) , The Impact of an Undergraduate Research Journal: The National Journal of Young Investigators. BW Su and A Medina-Marino.

1998 *The National Science Foundation/Engineering Research Center Seminar Series Lecture* (Durham, NC), Effects of Near Field Phase Aberration in Ultrasonic Breast Imaging. BW Su. Gauss, R, Trahey, GE.

PEER REVIEWED PUBLICATIONS

Su BW, Shimer AL, Chinthakunta S, Salloum K, Ames CP, Vaccaro AR, Bucklen B, Comparison of Fatigue Strength of C2 Pedicle Screws, C2 Pars Screws, and a Hybrid Construct in C1-2 Fixation. *Submitted to Spine 2013*

Radcliff K, Su B, Kepler C, Rubin T, Shimer A, Rihn J, Harrop J, Albert T, Vaccaro A Correlation of Posterior Ligamentous Complex Injury and Neurological Injury to Loss of Vertebral Body Height, Kyphosis, and Canal Compromise. *Spine* . 2011 Dec 3

PEER REVIEWED PUBLICATIONS Continued...

Su BW, Hilibrand AS. Cervical Spine Injuries in Athletes: Cervical Disk Herniations and Fractures/Ligamentous Injuries. Athletic Spine Injuries: State of the Art. Seminars in Spine Surgery 2010 Volume 22(4):167-252

Shimer AL., Su BW. Operative versus Nonoperative Treatment of Thoracolumbar Burst Fractures. Seminars in Spine Surgery, 2010 Volume 22(1):38-43

Bessey J, Su BW, Vaccaro AR. The Application of PEEK Materials in Orthopaedic Surgery. Interactive Educational Program, Total Joints 2009

Su BW, Kim PD, Cha T, Lee J, April EW, Weidenbaum M, Vaccaro AR. An Anatomical Study of the Mid-Lateral Pars (MLP) Relative to the Pedicle Footprint in the Lower Lumbar Spine. Spine 2009 Jun 1;34(13):1355-62.

Su BW, Cha T, Kim PD, Lee J, April EW, Weidenbaum M, Vaccaro AR. A Morphologic and Radiographic Study of Lumbar Facets Relative to Transfacet Fixation. Spine 2009 May 15;34(11):E384-90.

Lipton CB, Heyworth BE, Su BW, Patterson AH, Rosenwasser MP. Malpractice Lawsuits for Treatment of Carpal Tunnel Syndrome in New York State. In preparation for the *New England Journal of Medicine*.

Su BW, Heyworth BE, Protopsaltis TS, Lipton CB, Sinicropi SM, Chapman CB, Kuremsky MA, Rosenwasser MP. Basicervical versus intertrochanteric fractures: an analysis of radiographic and functional outcomes. *Orthopedics*. 2006 Oct;29(10):919-25.

Chapman CB, Su BW, Sinicropi SM, Bruno R, Strauch RJ, Rosenwasser MP. Vitallium radial head prosthesis for acute and chronic elbow fractures and fracture-dislocations involving the radial head. *J Shoulder Elbow Surg*. 2006 Jul-Aug;15(4):463-73.

Su BW, Raia FJ, Quitkin HM, Parisien M, Strauch RJ, Rosenwasser MP. Gross and histological analysis of healing after dog flexor tendon repair with the Teno Fix device. *J Hand Surg [Br]*. 2006 Oct;31(5):524-9.

Su BW, Solomons M, Barrow A, Senoge ME, Gilberti M, Lubbers L, Diao E, Quitkin HM, Grafe MW, Rosenwasser MP. A device for zone-II flexor tendon repair. Surgical technique. *Journal of Bone and Joint Surgery [Am]*. 2006 Mar;88 Suppl 1 Pt 1:37-49.

Su B, Levine WN. Arthroscopic Bankart repair. *The Journal of the American Academy of Orthopedic Surgeons*. 2005 Nov;13(7):487-90.

PEER REVIEWED PUBLICATIONS Continued...

Nercessian OA, Martin G, Joshi RP, Su BW, Eftekhar NS. A 15- to 25- year follow-up study of primary Charnley low-friction arthroplasty: a single surgeon series. *Journal of Arthroplasty*. 2005 Feb;20(2):162-7.

Su BW, Rosenwasser MP. Author reply, Letter to Editor for a device for Zone II flexor tendon repair. *Journal of Bone and Joint Surgery [Am]*. 2005 Nov;87(11):2590-1.

Su BW, Solomons M, Barrow A, Senoge ME, Gilberti M, Lubbers L, Diao E, Quitkin HM, Rosenwasser MP. Device for zone-II flexor tendon repair. A multicenter, randomized, blinded, clinical trial. *Journal of Bone and Joint Surgery [Am]*.. 2005 May;87(5):923-35.

Sinicropi SM, Su BW, Raia FJ, Parisien M, Strauch RJ, Rosenwasser MP. The effects of implant composition on extensor tenosynovitis in a canine distal radius fracture model. *Journal of Hand Surgery [Am]*. 2005 Mar;30(2):300-7.

Su BW, Protopsaltis TS, Koff MF, Chang KP, Strauch RJ, Crow SA, Rosenwasser MP. The biomechanical analysis of a tendon fixation device for flexor tendon repair. *Journal of Hand Surgery [Am]*. 2005 Mar;30(2):237-45.

Opotowsky AR, Su BW, Bilezikian JP. Height and lower extremity length as predictors of hip fracture: results of the NHANES I Epidemiologic Follow-up Study. *Journal of Bone and Mineral Research*. 2003 Sep;18(9):1674-81.

Nercessian OA, Joshi RP, Martin G, Su BW, Eftekhar NS. Influence of demographic and technical variables on the incidence of osteolysis in Charnley primary low-friction hip arthroplasty. *Journal of Arthroplasty*. 2003 Aug;18(5):631-7

Ahmad CS, Sinicropi SM, Su B, Puffinbarger WR. Congenital medial dislocation of the patella. *Orthopedics*. 2003 Feb;26(2):189-90.

Blank PS, Su BW, Mahoney EJ, Chernomordik L, Zimmergerg J. Reversible Inhibition in Calcium Triggered Exocytosis by Lysolipids. Abstract in *Journal of General Physiology*. 1997, Volume: Vol. 110(1).

TEXTBOOKS

THE SPINE (2 Vol) , Editors: Vaccaro, Su, Chiba, Dvorak, Mayer, Rajasekaran, Vialle, Wang, and Youssef. Publisher; Jaypee. 2013

BOOK CHAPTERS

Su BW, Hartl R, Controversies in Spine Surgery, Best Evidence Recommendations, Lumbar Facet Cyst Treatment

Su BW, Hsu W. Spine Surgery: Tricks of the Trade 3rd Edition. Cortical Screw Fixation

Su BW, Chaput C. Spine Surgery: Tricks of the Trade 3rd Edition. Lumbar Facet Screw Placement

Lee J, Su BW Surgical Atlas of Spine Surgery. Lumbar Transfacet Fixation. Editors: Eck, Vaccaro Jaypee Brothers Medical Publishers.

Kennedy A, Su BW. Surgical Atlas of Spine Surgery. Cervical Pedicle Fixation. Editors: Eck, Vaccaro Jaypee Brothers Medical Publishers.

Lee J, Su BW. Physical Examination for Lumbar Spinal Stenosis. Musculoskeletal Examination of the Spine: Making the complex simple. Editors: Rihn, Cohen

Su BW, Rihn J, Albert TJ. Surgical Management of Lumbar Spinal Stenosis. Rothman-Simeone: The Spine 6th Edition. Editors: Herkowitz, Garfin, Eismont, Bell, and Balderston.

Su BW, Vaccaro AR. Artificial Disc Replacement - Cervical and Lumbar; Chapter 71. Spine Secrets 2nd Edition.

Su BW, Albert TJ. Cervical Myelopathy – Anterior versus Posterior Approach. Controversies in Spine Surgery: Evidence-Based Treatment Recommendations. Editors: JC Eck, AR Vaccaro.

Vaccaro AR, Su BW, Cha TD. Resorbable Anterior Plates. Cervical Spine Surgery: Current Trends and Challenges. Editors: Mummaneni, Kanter, Wang, and Haid.

STUDIES IN PROGRESS

The Relationship of Neck Pain to Posterior Cervical Facet Distraction following Anterior Cervical Discectomy and Fusion