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Form **990**

Department of the Treasury
Internal Revenue Service

# Return of Organization Exempt From Income Tax

**Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)**

▶ The organization may have to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**A For the 2009 calendar year, or tax year beginning 07-01-2009 and ending 06-30-2010**

**B** Check if applicable
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Terminated
- ☐ Amended return
- ☐ Application pending

**Please use IRS label or print or type. See Specific Instructions.**

**C** Name of organization
SUFFOLK UNIVERSITY

Doing Business As

Number and street (or P O box if mail is not delivered to street address) | Room/suite
8 ASHBURTON PLACE

City or town, state or country, and ZIP + 4
BOSTON, MA 021082770

**D Employer identification number**
04-2133255

**E Telephone number**
(617) 573-8630

**G** Gross receipts $ 360,714,794

**F** Name and address of principal officer
FRANCIS X FLANNERY
8 ASHBURTON PLACE
BOSTON,MA 021082770

**H(a)** Is this a group return for affiliates? ☐ Yes ☑ No

**H(b)** Are all affiliates included? ☐ Yes ☐ No
If "No," attach a list (see instructions)

**H(c)** Group exemption number ▶

**I** Tax-exempt status ☑ 501(c) ( 3 ) ◀ (insert no ) ☐ 4947(a)(1) or ☐ 527

**J Website:** ▶ WWW SUFFOLK EDU

**K** Form of organization ☑ Corporation ☐ Trust ☐ Association ☐ Other ▶

**L** Year of formation 1906

**M** State of legal domicile MA

## Part I Summary

**1** Briefly describe the organization's mission or most significant activities
SUFFOLK UNIVERSITY'S MISSION IS TO PROVIDE QUALITY EDUCATION AT A REASONABLE COST FOR STUDENTS OF ALL AGES AND BACKGROUNDS WITH A STRONG EMPHASIS ON DIVERSITY

**2** Check this box ▶ ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets

| | | | |
|---|---|---|---|
| **3** | Number of voting members of the governing body (Part VI, line 1a) | **3** | 35 |
| **4** | Number of independent voting members of the governing body (Part VI, line 1b) | **4** | 30 |
| **5** | Total number of employees (Part V, line 2a) | **5** | 4,447 |
| **6** | Total number of volunteers (estimate if necessary) | **6** | 250 |
| **7a** | Total gross unrelated business revenue from Part VIII, column (C), line 12 | **7a** | 1,452,242 |
| **b** | Net unrelated business taxable income from Form 990-T, line 34 | **7b** | -4,336 |

| | | Prior Year | Current Year |
|---|---|---|---|
| **Revenue** | | | |
| **8** | Contributions and grants (Part VIII, line 1h) | 7,027,960 | 8,083,078 |
| **9** | Program service revenue (Part VIII, line 2g) | 262,956,940 | 277,164,927 |
| **10** | Investment income (Part VIII, column (A), lines 3, 4, and 7d ) | 3,548,335 | -4,117,942 |
| **11** | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 1,759,112 | 1,571,885 |
| **12** | Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 275,292,347 | 282,701,948 |
| **Expenses** | | | |
| **13** | Grants and similar amounts paid (Part IX, column (A), lines 1–3 ) | 43,280,357 | 57,667,124 |
| **14** | Benefits paid to or for members (Part IX, column (A), line 4) | 0 | 0 |
| **15** | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) | 121,767,286 | 125,417,534 |
| **16a** | Professional fundraising fees (Part IX, column (A), line 11e) | 0 | 0 |
| **b** | Total fundraising expenses (Part IX, column (D), line 25) ▶ 1,998,685 | | |
| **17** | Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f) | 90,184,231 | 94,901,901 |
| **18** | Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25) | 255,231,874 | 277,986,559 |
| **19** | Revenue less expenses Subtract line 18 from line 12 | 20,060,473 | 4,715,389 |

| | | Beginning of Current Year | End of Year |
|---|---|---|---|
| **Net Assets or Fund Balances** | | | |
| **20** | Total assets (Part X, line 16) | 497,534,152 | 520,196,691 |
| **21** | Total liabilities (Part X, line 26) | 326,580,385 | 337,237,596 |
| **22** | Net assets or fund balances Subtract line 21 from line 20 | 170,953,767 | 182,959,095 |

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge

**Sign Here**

****** | 2011-05-13
Signature of officer | Date

FRANCIS X FLANNERY VP, TREASURER
Type or print name and title

**Paid Preparer's Use Only**

| | | | |
|---|---|---|---|
| Preparer's signature | Date | Check if self-empolyed ☐ | Preparer's identifying number (see instructions) |
| Firm's name (or yours if self-employed), address, and ZIP + 4 | KPMG LLP<br>60 South Street<br>Boston, MA 02111 | EIN ▶ | Phone no ▶ (617) 988-1000 |

May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☐ No

## Part III Statement of Program Service Accomplishments

**1** Briefly describe the organization's mission

SUFFOLK UNIVERSITY'S MISSION IS TO PROVIDE QUALITY EDUCATION AT A REASONABLE COST FOR STUDENTS OF ALL AGES AND BACKGROUNDS WITH A STRONG EMPHASIS ON DIVERSITY

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . . ☐ Yes ☑ No

If "Yes," describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . . ☐ Yes ☑ No

If "Yes," describe these changes on Schedule O

**4** Describe the exempt purpose achievements for each of the organization's three largest program services by expenses Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

**4a** (Code ) (Expenses $ 118,486,004 including grants of $ 31,255,037 ) (Revenue $ 144,546,223 )

THE COLLEGE OF ARTS AND SCIENCES (CAS) PREPARES STUDENTS OF ALL AGES AND BACKGROUNDS TO LIVE MORE FULFILLING LIVES, TO APPRECIATE AND CONTRIBUTE TO THEIR COMMUNITIES AND TO REACH THEIR ETHICAL, PERSONAL, INTELLECTUAL, AND FINANCIAL GOALS TO HELP ITS STUDENTS MAXIMIZE THEIR POTENTIAL, THE CAS EMPHASIZES CRUCIAL AND ANALYTICAL THINKING THROUGH A RIGOROUS 'SUCCESS SKILLS' UNDERGRADUATE CORE PROGRAM IN WRITTEN AND ORAL COMMUNICATIONS, COMPUTING, ANALYZING AND INTEGRATING APPROXIMATELY 4,000 STUDENTS WERE SERVED THIS YEAR

**4b** (Code ) (Expenses $ 56,268,243 including grants of $ 14,550,898 ) (Revenue $ 67,590,695 )

THE SAWYER BUSINESS SCHOOL (SBS) CREATES A LEARNING ENVIRONMENT THAT ENABLES STUDENTS TO EMERGE AS SUCCESSFUL LEADERS IN THE GLOBAL BUSINESS AND PUBLIC SERVICE AREAS THE SBS VALUES EXCELLENCE IN EDUCATION AND RESEARCH, AND WORKS WITH ITS STUDENTS, ALUMNI, AND BUSINESS PARTNERS TO ACHIEVE THEIR GOALS THE PROGRAMS ARE BUILT ON THE CORE VALUES OF PROMOTING OPPORTUNITY, EXCELLENCE, QUALITY TEACHING, INCLUSION AND COLLABORATION, A TEAM FOCUSED ORGANIZATIONAL CULTURE AND EXCEPTIONAL SERVICE APPROXIMATELY 2,900 STUDENTS WERE SERVED THIS YEAR

**4c** (Code ) (Expenses $ 49,411,340 including grants of $ 11,861,189 ) (Revenue $ 63,525,731 )

THE LAW SCHOOL EDUCATES STUDENTS TO BECOME INFORMED, ETHICAL, AND EFFECTIVE LEGAL PRACTITIONERS CAPABLE OF POSITIVELY INFLUENCING THE PROFESSION THE STRONG SCHOLARLY AND THEORETICAL FOCUS OF THE CLASSROOM IS COMPLEMENTED BY SIGNIFICANT OPPORTUNITIES TO DEVELOP PRACTICAL LEGAL SKILLS APPROXIMATELY 1,500 STUDENTS WERE SERVED THIS YEAR

**4d** Other program services (Describe in Schedule O )

(Expenses $ including grants of $ ) (Revenue $ )

**4e** **Total program service expenses** ▶ $ 224,165,587

## Part IV Checklist of Required Schedules

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A* | 1 | Yes | |
| 2 | Is the organization required to complete Schedule B, Schedule of Contributors? | 2 | Yes | |
| 3 | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I* | 3 | | No |
| 4 | **Section 501(c)(3) organizations.** Did the organization engage in lobbying activities? *If "Yes," complete Schedule C, Part II* | 4 | Yes | |
| 5 | **Section 501(c)(4), 501(c)(5), and 501(c)(6) organizations.** Is the organization subject to the section 6033(e) notice and reporting requirement and proxy tax? *If "Yes," complete Schedule C, Part III* | 5 | | |
| 6 | Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I* | 6 | | No |
| 7 | Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? *If "Yes," complete Schedule D, Part II* | 7 | | No |
| 8 | Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III* | 8 | Yes | |
| 9 | Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV* | 9 | | No |
| 10 | Did the organization, directly or through a related organization, hold assets in term, permanent,or quasi-endowments? *If "Yes," complete Schedule D, Part V* | 10 | Yes | |
| 11 | Is the organization's answer to any of the following questions "Yes"? *If so,complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.* | 11 | Yes | |
| | ● Did the organization report an amount for land, buildings, and equipment in Part X, line10? *If "Yes," complete Schedule D, Part VI.* | | | |
| | ● Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII.* | | | |
| | ● Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII.* | | | |
| | ● Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX.* | | | |
| | ● Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X.* | | | |
| | ● Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48? *If "Yes," complete Schedule D, Part X.* | | | |
| 12 | Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI, XII, and XIII* | 12 | | No |
| 12A | Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," completing Schedule D, Parts XI, XII, and XIII is optional* | 12A | Yes | |
| 13 | Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E* | 13 | Yes | |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? | 14a | Yes | |
| b | Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, and program service activities outside the United States? *If "Yes," complete Schedule F, Part I* | 14b | Yes | |
| 15 | Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or assistance to any organization or entity located outside the U S ? *If "Yes," complete Schedule F, Part II* | 15 | | No |
| 16 | Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or assistance to individuals located outside the U S ? *If "Yes," complete Schedule F, Part III* | 16 | Yes | |
| 17 | Did the organization report a total of more than $15,000, of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* | 17 | | No |
| 18 | Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II* | 18 | | No |
| 19 | Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III* | 19 | | No |
| 20 | Did the organization operate one or more hospitals? *If "Yes," complete Schedule H* | 20 | | No |

**Part IV Checklist of Required Schedules** *(continued)*

| | | | | |
|---|---|---|---|---|
| **21** | Did the organization report more than $5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II* | **21** | | No |
| **22** | Did the organization report more than $5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III* | **22** | Yes | |
| **23** | Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J* | **23** | Yes | |
| **24a** | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer questions 24b–24d and complete Schedule K. If "No," go to line 25* | **24a** | Yes | |
| **b** | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | **24b** | | No |
| **c** | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | **24c** | | No |
| **d** | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | **24d** | | No |
| **25a** | **Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I* | **25a** | | No |
| **b** | Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I* | **25b** | | No |
| **26** | Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? *If "Yes," complete Schedule L, Part II* | **26** | | No |
| **27** | Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? *If "Yes," complete Schedule L, Part III* | **27** | | No |
| **28** | Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions) | | | |
| **a** | A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV* | **28a** | Yes | |
| **b** | A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV* | **28b** | | No |
| **c** | An entity of which a current or former officer, director, trustee, or key employee of the organization (or a family member) was an officer, director, trustee, or owner? *If "Yes," complete Schedule L, Part IV* | **28c** | Yes | |
| **29** | Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M* | **29** | Yes | |
| **30** | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M* | **30** | | No |
| **31** | Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I* | **31** | | No |
| **32** | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II* | **32** | | No |
| **33** | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301 7701-2 and 301 7701-3? *If "Yes," complete Schedule R, Part I* | **33** | | No |
| **34** | Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1* | **34** | Yes | |
| **35** | Is any related organization a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2* | **35** | Yes | |
| **36** | **Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2* | **36** | | No |
| **37** | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI* | **37** | | No |
| **38** | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? **Note.** All Form 990 filers are required to complete Schedule O | **38** | Yes | |

## Part V Statements Regarding Other IRS Filings and Tax Compliance

| | | | | Yes | No |
|---|---|---|---|---|---|
| 1a | Enter the number reported in Box 3 of Form 1096, *Annual Summary and Transmittal of U.S. Information Returns. Enter -0-* if not applicable | 1a | 417 | | |
| b | Enter the number of Forms W-2G included in line 1a *Enter -0-* if not applicable | 1b | 0 | | |
| c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? | 1c | | Yes | |
| 2a | Enter the number of employees reported on Form W-3, *Transmittal of Wage and Tax Statements* filed for the calendar year ending with or within the year covered by this return | 2a | 4,447 | | |
| b | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note:** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file this return (see instructions) | 2b | | Yes | |
| 3a | Did the organization have unrelated business gross income of $1,000 or more during the year covered by this return? | 3a | | Yes | |
| b | If "Yes," has it filed a Form 990-T for this year? *If "No," provide an explanation in Schedule O* | 3b | | Yes | |
| 4a | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? | 4a | | Yes | |
| b | If "Yes," enter the name of the foreign country ▶ SP , SG<br>See the instructions for exceptions and filing requirements for Form TD F 90-22 1, Report of Foreign Bank and Financial Accounts | | | | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | 5a | | | No |
| b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | 5b | | | No |
| c | If "Yes" to line 5a or 5b, did the organization file Form 8886-T, Disclosure by Tax-Exempt Entity Regarding Prohibited Tax Shelter Transaction? | 5c | | | |
| 6a | Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible? | 6a | | | No |
| b | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? | 6b | | | |
| 7 | **Organizations that may receive deductible contributions under section 170(c).** | | | | |
| a | Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor? | 7a | | Yes | |
| b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | 7b | | Yes | |
| c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? | 7c | | | No |
| d | If "Yes," indicate the number of Forms 8282 filed during the year | 7d | | | |
| e | Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | 7e | | | No |
| f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 7f | | | No |
| g | For all contributions of qualified intellectual property, did the organization file Form 8899 as required? | 7g | | | |
| h | For contributions of cars, boats, airplanes, and other vehicles, did the organization file a Form 1098-C as required? | 7h | | | |
| 8 | **Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? | 8 | | | |
| 9 | **Sponsoring organizations maintaining donor advised funds.** | | | | |
| a | Did the organization make any taxable distributions under section 4966? | 9a | | | |
| b | Did the organization make a distribution to a donor, donor advisor, or related person? | 9b | | | |
| 10 | **Section 501(c)(7) organizations.** Enter | | | | |
| a | Initiation fees and capital contributions included on Part VIII, line 12 | 10a | | | |
| b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | 10b | | | |
| 11 | **Section 501(c)(12) organizations.** Enter | | | | |
| a | Gross income from members or shareholders | 11a | | | |
| b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them ) | 11b | | | |
| 12a | **Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041? | 12a | | | |
| b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | 12b | | | |

**Part VI** **Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

## Section A. Governing Body and Management

| | | | | Yes | No |
|---|---|---|---|---|---|
| 1a | Enter the number of voting members of the governing body | 1a | 35 | | |
| b | Enter the number of voting members that are independent | 1b | 30 | | |
| 2 | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | | 2 | Yes | |
| 3 | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | | 3 | | No |
| 4 | Did the organization make any significant changes to its organizational documents since the prior Form 990 was filed? | | 4 | | No |
| 5 | Did the organization become aware during the year of a material diversion of the organization's assets? | | 5 | | No |
| 6 | Does the organization have members or stockholders? | | 6 | | No |
| 7a | Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body? | | 7a | | No |
| b | Are any decisions of the governing body subject to approval by members, stockholders, or other persons? | | 7b | | No |
| 8 | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following | | | | |
| a | The governing body? | | 8a | Yes | |
| b | Each committee with authority to act on behalf of the governing body? | | 8b | Yes | |
| 9 | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O | | 9 | | No |

## Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

| | | | Yes | No |
|---|---|---|---|---|
| 10a | Does the organization have local chapters, branches, or affiliates? | 10a | | No |
| b | If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization? | 10b | | |
| 11 | Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form? | 11 | Yes | |
| 11A | Describe in Schedule O the process, if any, used by the organization to review the Form 990 | | | |
| 12a | Does the organization have a written conflict of interest policy? *If "No," go to line 13* | 12a | Yes | |
| b | Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts? | 12b | Yes | |
| c | Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done | 12c | Yes | |
| 13 | Does the organization have a written whistleblower policy? | 13 | | No |
| 14 | Does the organization have a written document retention and destruction policy? | 14 | | No |
| 15 | Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? | | | |
| a | The organization's CEO, Executive Director, or top management official | 15a | Yes | |
| b | Other officers or key employees of the organization | 15b | Yes | |
| | If "Yes" to line a or b, describe the process in Schedule O (See instructions ) | | | |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? | 16a | | No |
| b | If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements? | 16b | | |

## Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed ▶ MA

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection Indicate how you make these available Check all that apply

☐ Own website ☑ Another's website ☑ Upon request

19 Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public See Additional Data Table

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization ▶

FRANCIS X FLANNERY
8 ASHBURTON PLACE
BOSTON, MA 02108
(617) 573-8400

## Part VII Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

### Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

**1a** Complete this table for all persons required to be listed Report compensation for the calendar year ending with or within the organization's tax year Use Schedule J-2 if additional space is needed

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation, and **current** key employees Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations

List persons in the following order individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons

☐ Check this box if the organization did not compensate any current or former officer, director, trustee or key employee

| (A) Name and Title | (B) Average hours per week | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| See add'l data | | | | | | | | | | |
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| | | | |
|---|---|---|---|
| **1b Total** . . . . . ▶ | 5,344,656 | 0 | 674,249 |

**2** Total number of individuals (including but not limited to those listed above) who received more than $100,000 in reportable compensation from the organization ▶ 273

| | | | Yes | No |
|---|---|---|---|---|
| **3** | Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual* . . . . . | **3** | Yes | |
| **4** | For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual* . . . . . | **4** | Yes | |
| **5** | Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? *If "Yes," complete Schedule J for such person* . . . . . | **5** | | No |

## Section B. Independent Contractors

**1** Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization

| (A) Name and business address | (B) Description of services | (C) Compensation |
|---|---|---|
| FOLEY HOAG LLP | LEGAL SERVICES | 1,150,891 |
| CHAN KRIEGER SIENIEWICZ | ARCHITECTS | 835,280 |
| RUBIN RUDMAN LLP | LEGAL SERVICES | 350,154 |
| REGAN COMMUNICATION GROUP | CONSULTING | 339,575 |
| DEVELOPMENT GUILD DDI | CONSULTING | 338,579 |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 in compensation from the organization ▶ 22

**Part VIII Statement of Revenue**

| | | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512, 513, or 514 |
|---|---|---|---|---|---|---|---|
| Contributions, gifts, grants and other similar amounts | 1a | Federated campaigns | 1a | | | | |
| | b | Membership dues | 1b | | | | |
| | c | Fundraising events | 1c | | | | |
| | d | Related organizations | 1d | | | | |
| | e | Government grants (contributions) | 1e | 5,399,897 | | | |
| | f | All other contributions, gifts, grants, and similar amounts not included above | 1f | 2,683,181 | | | |
| | g | Noncash contributions included in lines 1a-1f $ 487,493 | | | | | |
| | h | **Total.** Add lines 1a-1f | | 8,083,078 | | | |
| Program Service Revenue | | | Business Code | | | | |
| | 2a | TUITION AND FEES | 611,710 | 255,661,421 | 255,661,421 | | |
| | b | RESIDENCE HALLS AND DINING | 721,000 | 21,503,506 | 20,001,228 | 1,502,278 | |
| | c | | | | | | |
| | d | | | | | | |
| | e | | | | | | |
| | f | All other program service revenue | | | | | |
| | g | **Total.** Add lines 2a–2f | | 277,164,927 | | | |
| | 3 | Investment income (including dividends, interest and other similar amounts) | | 2,593,291 | | -50,036 | 2,643,327 |
| | 4 | Income from investment of tax-exempt bond proceeds | | 210,612 | | | 210,612 |
| | 5 | Royalties | | 0 | | | |

| | | (i) Real | (ii) Personal | | | | |
|---|---|---|---|---|---|---|---|
| 6a | Gross Rents | 1,129,968 | 0 | | | | |
| b | Less rental expenses | 865,000 | | | | | |
| c | Rental income or (loss) | 264,968 | 0 | | | | |
| d | Net rental income or (loss) | | | 264,968 | | | 264,968 |

| | | (i) Securities | (ii) Other | | | | |
|---|---|---|---|---|---|---|---|
| 7a | Gross amount from sales of assets other than inventory | 69,047,443 | 1,178,558 | | | | |
| b | Less cost or other basis and sales expenses | 75,837,903 | 1,309,943 | | | | |
| c | Gain or (loss) | -6,790,460 | -131,385 | | | | |
| d | Net gain or (loss) | | | -6,921,845 | | | -6,921,845 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Other Revenue | 8a | Gross income from fundraising events (not including $ _____ of contributions reported on line 1c) See Part IV, line 18 | a 0 | | | | |
| | b | Less direct expenses | b | | | | |
| | c | Net income or (loss) from fundraising events | | 0 | | | |
| | 9a | Gross income from gaming activities See Part IV, line 19 | a 0 | | | | |
| | b | Less direct expenses | b | | | | |
| | c | Net income or (loss) from gaming activities | | 0 | | | |
| | 10a | Gross sales of inventory, less returns and allowances | a | | | | |
| | b | Less cost of goods sold | b | | | | |
| | c | Net income or (loss) from sales of inventory | | 0 | | | |
| | | Miscellaneous Revenue | Business Code | | | | |
| | 11a | OTHER SOURCES | 900,099 | 1,306,917 | | | 1,306,917 |
| | b | | | | | | |
| | c | | | | | | |
| | d | All other revenue | | | | | |
| | e | **Total.** Add lines 11a–11d | | 1,306,917 | | | |
| | 12 | **Total revenue.** See Instructions | | 282,701,948 | 275,662,649 | 1,452,242 | -2,496,021 |

## Part IX Statement of Functional Expenses

**Section 501(c)(3) and 501(c)(4) organizations must complete all columns.**
**All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).**

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|---|---|---|---|---|
| 1 Grants and other assistance to governments and organizations in the U S See Part IV, line 21 | 0 | | | |
| 2 Grants and other assistance to individuals in the U S See Part IV, line 22 | 56,270,916 | 56,270,916 | | |
| 3 Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16 | 1,396,208 | 1,396,208 | | |
| 4 Benefits paid to or for members | 0 | | | |
| 5 Compensation of current officers, directors, trustees, and key employees | 4,812,729 | 16,025 | 4,467,528 | 329,176 |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | 0 | | | |
| 7 Other salaries and wages | 96,170,727 | 83,711,197 | 11,833,986 | 625,544 |
| 8 Pension plan contributions (include section 401(k) and section 403(b) employer contributions) | 6,432,061 | 5,726,315 | 649,447 | 56,299 |
| 9 Other employee benefits | 11,151,119 | 9,106,240 | 1,995,104 | 49,775 |
| 10 Payroll taxes | 6,850,898 | 5,811,388 | 989,428 | 50,082 |
| 11 Fees for services (non-employees) | | | | |
| a Management | 0 | | | |
| b Legal | 1,547,691 | | 1,547,691 | |
| c Accounting | 283,333 | | 283,333 | |
| d Lobbying | 120,885 | | 120,885 | |
| e Professional fundraising *See Part IV, line 17* | 0 | | | |
| f Investment management fees | 276,021 | | 276,021 | |
| g Other | 142,464 | | 142,464 | |
| 12 Advertising and promotion | 3,464,525 | 2,511,301 | 837,100 | 116,124 |
| 13 Office expenses | 4,797,948 | 1,161,110 | 3,566,398 | 70,440 |
| 14 Information technology | 4,954,904 | 2,260,468 | 2,618,346 | 76,090 |
| 15 Royalties | 0 | | | |
| 16 Occupancy | 20,755,859 | 13,525,162 | 6,978,697 | 252,000 |
| 17 Travel | 833,814 | 722,024 | 105,065 | 6,725 |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials | 0 | | | |
| 19 Conferences, conventions, and meetings | 648,753 | 624,255 | 24,498 | |
| 20 Interest | 13,077,190 | 8,055,549 | 5,021,641 | |
| 21 Payments to affiliates | 0 | | | |
| 22 Depreciation, depletion, and amortization | 11,412,740 | 7,030,248 | 4,382,492 | |
| 23 Insurance | 1,209,968 | 806,645 | 403,323 | |
| 24 Other expenses Itemize expenses not covered above (Expenses grouped together and labeled miscellaneous may not exceed 5% of total expenses shown on line 25 below ) | | | | |
| a RESIDENCE HALL EXPENSES | 12,046,206 | 12,046,206 | | |
| b ACADEMIC SERVICES & SUPPORT | 4,971,937 | 4,971,937 | | |
| c OTHER INSTRUCTION | 2,606,856 | 2,606,856 | | |
| d OTHER PUBLIC SERVICE | 2,222,247 | 2,222,247 | | |
| e OTHER INSTITUTIONAL EXPENSES | 1,751,018 | | 1,405,149 | 345,869 |
| f All other expenses | 7,777,542 | 3,583,290 | 4,173,691 | 20,561 |
| 25 **Total functional expenses.** Add lines 1 through 24f | 277,986,559 | 224,165,587 | 51,822,287 | 1,998,685 |
| 26 **Joint costs.** Check here ▶ ☐ if following SOP 98-2 Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation | | | | |

## Part X Balance Sheet

| | | | | (A) Beginning of year | | (B) End of year |
|---|---|---|---|---|---|---|
| Assets | 1 | Cash—non-interest-bearing | | | 1 | |
| | 2 | Savings and temporary cash investments | | 1,615,307 | 2 | 1,271,336 |
| | 3 | Pledges and grants receivable, net | | 3,602,198 | 3 | 2,417,457 |
| | 4 | Accounts receivable, net | | 2,428,289 | 4 | 3,395,672 |
| | 5 | Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L | | | 5 | |
| | 6 | Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) Complete Part II of Schedule L | | | 6 | |
| | 7 | Notes and loans receivable, net | | | 7 | |
| | 8 | Inventories for sale or use | | | 8 | |
| | 9 | Prepaid expenses and deferred charges | | 5,204,894 | 9 | 3,930,514 |
| | 10a | Land, buildings, and equipment cost or other basis *Complete Part VI of Schedule D* | 10a 403,454,060 | | | |
| | b | Less accumulated depreciation | 10b 100,543,969 | 286,035,257 | 10c | 302,910,091 |
| | 11 | Investments—publicly traded securities | | 131,921,470 | 11 | 148,140,442 |
| | 12 | Investments—other securities See Part IV, line 11 | | 17,208,581 | 12 | 8,600,251 |
| | 13 | Investments—program-related See Part IV, line 11 | | 11,973,835 | 13 | 16,173,497 |
| | 14 | Intangible assets | | | 14 | |
| | 15 | Other assets See Part IV, line 11 | | 37,544,321 | 15 | 33,357,431 |
| | 16 | **Total assets.** Add lines 1 through 15 (must equal line 34) | | 497,534,152 | 16 | 520,196,691 |
| Liabilities | 17 | Accounts payable and accrued expenses | | 28,543,039 | 17 | 28,062,232 |
| | 18 | Grants payable | | | 18 | |
| | 19 | Deferred revenue | | 6,433,375 | 19 | 8,684,327 |
| | 20 | Tax-exempt bond liabilities | | 266,575,000 | 20 | 294,297,404 |
| | 21 | Escrow or custodial account liability *Complete Part IV of Schedule D* | | | 21 | |
| | 22 | Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons *Complete Part II of Schedule L* | | | 22 | |
| | 23 | Secured mortgages and notes payable to unrelated third parties | | 1,592,002 | 23 | 1,074,497 |
| | 24 | Unsecured notes and loans payable to unrelated third parties | | | 24 | |
| | 25 | Other liabilities Complete Part X of Schedule D | | 23,436,969 | 25 | 5,119,136 |
| | 26 | **Total liabilities.** Add lines 17 through 25 | | 326,580,385 | 26 | 337,237,596 |
| Net Assets or Fund Balances | | **Organizations that follow SFAS 117, check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.** | | | | |
| | 27 | Unrestricted net assets | | 143,055,638 | 27 | 153,479,137 |
| | 28 | Temporarily restricted net assets | | 604,057 | 28 | 1,366,654 |
| | 29 | Permanently restricted net assets | | 27,294,072 | 29 | 28,113,304 |
| | | **Organizations that do not follow SFAS 117, check here ▶ ☐ and complete lines 30 through 34.** | | | | |
| | 30 | Capital stock or trust principal, or current funds | | | 30 | |
| | 31 | Paid-in or capital surplus, or land, building or equipment fund | | | 31 | |
| | 32 | Retained earnings, endowment, accumulated income, or other funds | | | 32 | |
| | 33 | Total net assets or fund balances | | 170,953,767 | 33 | 182,959,095 |
| | 34 | Total liabilities and net assets/fund balances | | 497,534,152 | 34 | 520,196,691 |

## Part XI Financial Statements and Reporting

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Accounting method used to prepare the Form 990 ☐ Cash ☑ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O | | | |
| 2a | Were the organization's financial statements compiled or reviewed by an independent accountant? | 2a | | No |
| b | Were the organization's financial statements audited by an independent accountant? | 2b | Yes | |
| c | If "Yes," to 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O | 2c | Yes | |
| d | If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a consolidated basis, separate basis, or both ☐ Separate basis ☑ Consolidated basis ☐ Both consolidated and separated basis | | | |
| 3a | As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? | 3a | Yes | |
| b | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits | 3b | Yes | |

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# SCHEDULE A (Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

## Public Charity Status and Public Support

**Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.**

▶ **Attach to Form 990 or Form 990-EZ.** ▶ **See separate instructions.**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

Name of the organization
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions

The organization is not a private foundation because it is (For lines 1 through 11, check only one box )

1 ☐ A church, convention of churches, or association of churches **section 170(b)(1)(A)(i).**

2 ☑ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E )

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state

_____

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II )

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☐ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)** (Complete Part II )

8 ☐ A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II )

9 ☐ An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2).** (Complete Part III )

10 ☐ An organization organized and operated exclusively to test for public safety See **section 509(a)(4).**

11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2) See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h

**a** ☐ Type I **b** ☐ Type II **c** ☐ Type III - Functionally integrated **d** ☐ Type III - Other

**e** ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)

**f** If the organization received a written determination from the IRS that it is a Type I, Type II or Type III supporting organization, check this box ☐

**g** Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

| | Yes | No |
|---|---|---|
| **(i)** a person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the the supported organization? **11g(i)** | | |
| **(ii)** a family member of a person described in (i) above? **11g(ii)** | | |
| **(iii)** a 35% controlled entity of a person described in (i) or (ii) above? **11g(iii)** | | |

**h** Provide the following information about the supported organization(s)

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1- 9 above or IRC section (see instructions)) | (iv) Is the organization in col (i) listed in your governing document? Yes | (iv) No | (v) Did you notify the organization in col (i) of your support? Yes | (v) No | (vi) Is the organization in col (i) organized in the U S ? Yes | (vi) No | (vii) Amount of support? |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| | | | | | | | | | |
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| | | | | | | | | | |
| | | | | | | | | | |
| **Total** | | | | | | | | | |

**Part II** **Support Schedule for Organizations Described in IRC 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**
(Complete only if you checked the box on line 5, 7, or 8 of Part I.)

## Section A. Public Support

| Calendar year (or fiscal year beginning in) | (a) 2005 | (b) 2006 | (c) 2007 | (d) 2008 | (e) 2009 | (f) Total |
|---|---|---|---|---|---|---|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ") | | | | | | |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 4 **Total.** Add lines 1 through 3 | | | | | | |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) | | | | | | |
| 6 **Public Support.** Subtract line 5 from line 4 | | | | | | |

## Section B. Total Support

| Calendar year (or fiscal year beginning in) | (a) 2005 | (b) 2006 | (c) 2007 | (d) 2008 | (e) 2009 | (f) Total |
|---|---|---|---|---|---|---|
| 7 Amounts from line 4 | | | | | | |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | |
| 10 Other income (Explain in Part IV ) Do not include gain or loss from the sale of capital assets | | | | | | |
| 11 **Total support** (Add lines 7 through 10) | | | | | | |

12 Gross receipts from related activities, etc (See instructions ) **12**

13 **First Five Years** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** ▶☐

## Section C. Computation of Public Support Percentage

14 Public Support Percentage for 2009 (line 6 column (f) divided by line 11 column (f)) **14**

15 Public Support Percentage for 2008 Schedule A, Part II, line 14 **15**

16a **33 1/3% support test—2009.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

b **33 1/3% support test—2008.** If the organization did not check the box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

17a **10%-facts-and-circumstances test—2009.** If the organization did not check a box on line 13, 16a, or 16b and line 14 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts and circumstances" test The organization qualifies as a publicly supported organization ▶☐

b **10%-facts-and-circumstances test—2008.** If the organization did not check a box on line 13, 16a, 16b, or 17a and line 15 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts and circumstances" test The organization qualifies as a publicly supported organization ▶☐

18 **Private Foundation** If the organization did not check a box on line 13, 16a, 16b, 17a or 17b, check this box and see instructions ▶☐

## Part III Support Schedule for Organizations Described in IRC 509(a)(2)

(Complete only if you checked the box on line 9 of Part I.)

### Section A. Public Support

| Calendar year (or fiscal year beginning in) | (a) 2005 | (b) 2006 | (c) 2007 | (d) 2008 | (e) 2009 | (f) Total |
|---|---|---|---|---|---|---|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ") | | | | | | |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | | | | | | |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 | | | | | | |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 **Total.** Add lines 1 through 5 | | | | | | |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons | | | | | | |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year | | | | | | |
| c Add lines 7a and 7b | | | | | | |
| 8 **Public Support** (Subtract line 7c from line 6 ) | | | | | | |

### Section B. Total Support

| Calendar year (or fiscal year beginning in) | (a) 2005 | (b) 2006 | (c) 2007 | (d) 2008 | (e) 2009 | (f) Total |
|---|---|---|---|---|---|---|
| 9 Amounts from line 6 | | | | | | |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 | | | | | | |
| c Add lines 10a and 10b | | | | | | |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on | | | | | | |
| 12 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV ) | | | | | | |
| 13 **Total support** (Add lines 9, 10c, 11 and 12 ) | | | | | | |

14 **First Five Years** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** ▶

### Section C. Computation of Public Support Percentage

| | | |
|---|---|---|
| 15 | Public Support Percentage for 2009 (line 8 column (f) divided by line 13 column (f)) | 15 |
| 16 | Public support percentage from 2008 Schedule A, Part III, line 15 | 16 |

### Section D. Computation of Investment Income Percentage

| | | |
|---|---|---|
| 17 | Investment income percentage for **2009** (line 10c column (f) divided by line 13 column (f)) | 17 |
| 18 | Investment income percentage from **2008** Schedule A, Part III, line 17 | 18 |

19a **33 1/3% support tests—2009.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3% and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶

b **33 1/3% support tests—2008.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶

20 **Private Foundation** If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions ▶

**Part IV** **Supplemental Information.** Supplemental Information. Complete this part to provide the explanation required by Part II, line 10; Part II, line 17a or 17b; or Part III, line 12. Provide any other additional information. See instructions

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**SCHEDULE C**
**(Form 990 or 990-EZ)**

Department of the Treasury
Internal Revenue Service

# Political Campaign and Lobbying Activities

**For Organizations Exempt From Income Tax Under section 501(c) and section 527**

▶ **Complete if the organization is described below.**
▶ **Attach to Form 990 or Form 990-EZ.** ▶ **See separate instructions.**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**If the organization answered "Yes," to Form 990, Part IV, Line 3, or Form 990-EZ, Part VI, line 46 (Political Campaign Activities), then**

- Section 501(c)(3) organizations Complete Parts I-A and B Do not complete Part I-C
- Section 501(c) (other than section 501(c)(3)) organizations Complete Parts I-A and C below Do not complete Part I-B
- Section 527 organizations Complete Part I-A only

**If the organization answered "Yes," to Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)) Complete Part II-A Do not complete Part II-B
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)) Complete Part II-B Do not complete Part II-A

**If the organization answered "Yes," to Form 990, Part IV, Line 5 (Proxy Tax) or Form 990-EZ, line 35a (regarding proxy tax), then**

- Section 501(c)(4), (5), or (6) organizations Complete Part III

| Name of the organization | Employer identification number |
|---|---|
| SUFFOLK UNIVERSITY | 04-2133255 |

## Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV

2 Political expenditures ▶ $ _____

3 Volunteer hours _____

## Part I-B Complete if the organization is exempt under section 501(c)(3).

1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ $ _____

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ $ _____

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No

4a Was a correction made? ☐ Yes ☐ No

b If "Yes," describe in Part IV

## Part I-C Complete if the organization is exempt under section 501(c) except section 501(c)(3).

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ $ _____

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt funtion activities ▶ $ _____

3 Total exempt function expenditures Add lines 1 and 2 Enter here and on Form 1120-POL, line 17b ▶ $ _____

4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No

5 State the names, addresses and employer identification number (EIN) of all section 527 political organizations to which payments were made For each organization listed, enter the amount paid from the filing organization's funds Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC) If additional space is needed, provide information in Part IV

| **(a)** Name | **(b)** Address | **(c)** EIN | **(d)** Amount paid from filing organization's funds If none, enter -0- | **(e)** Amount of political contributions received and promptly and directly delivered to a separate political organization If none, enter -0- |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**Part II-A** **Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

**A** Check ☐ if the filing organization belongs to an affiliated group

**B** Check ☐ if the filing organization checked box A and "limited control" provisions apply

| Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.) | (a) Filing Organization's Totals | (b) Affiliated Group Totals |
|---|---|---|
| **1a** Total lobbying expenditures to influence public opinion (grass roots lobbying) | | |
| **b** Total lobbying expenditures to influence a legislative body (direct lobbying) | | |
| **c** Total lobbying expenditures (add lines 1a and 1b) | | |
| **d** Other exempt purpose expenditures | | |
| **e** Total exempt purpose expenditures (add lines 1c and 1d) | | |
| **f** Lobbying nontaxable amount Enter the amount from the following table in both columns | | |
| **g** Grassroots nontaxable amount (enter 25% of line 1f) | | |
| **h** Subtract line 1g from line 1a If zero or less, enter -0- | | |
| **i** Subtract line 1f from line 1c If zero or less, enter -0- | | |

| If the amount on line 1e, column (a) or (b) is: | The lobbying nontaxable amount is: |
|---|---|
| Not over $500,000 | 20% of the amount on line 1e |
| Over $500,000 but not over $1,000,000 | $100,000 plus 15% of the excess over $500,000 |
| Over $1,000,000 but not over $1,500,000 | $175,000 plus 10% of the excess over $1,000,000 |
| Over $1,500,000 but not over $17,000,000 | $225,000 plus 5% of the excess over $1,500,000 |
| Over $17,000,000 | $1,000,000 |

**j** If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

## 4-Year Averaging Period Under Section 501(h)
**(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the instructions for lines 2a through 2f on page 4.)**

### Lobbying Expenditures During 4-Year Averaging Period

| Calendar year (or fiscal year beginning in) | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) Total |
|---|---|---|---|---|---|
| **2a** Lobbying non-taxable amount | | | | | |
| **b** Lobbying ceiling amount (150% of line 2a, column(e)) | | | | | |
| **c** Total lobbying expenditures | | | | | |
| **d** Grassroots non-taxable amount | | | | | |
| **e** Grassroots ceiling amount (150% of line 2d, column (e)) | | | | | |
| **f** Grassroots lobbying expenditures | | | | | |

## Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

| | | (a) Yes | (a) No | (b) Amount |
|---|---|---|---|---|
| 1 | During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of | | | |
| a | Volunteers? | | No | |
| b | Paid staff or management (include compensation in expenses reported on lines 1c through 1i)? | | No | |
| c | Media advertisements? | | No | |
| d | Mailings to members, legislators, or the public? | | No | |
| e | Publications, or published or broadcast statements? | | No | |
| f | Grants to other organizations for lobbying purposes? | | No | |
| g | Direct contact with legislators, their staffs, government officials, or a legislative body? | Yes | | 120,885 |
| h | Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means? | | No | |
| i | Other activities? If "Yes," describe in Part IV | | No | |
| j | Total lines 1c through 1i | | | 120,885 |
| 2a | Did the activities in line 1 cause the organization to be not described in section 501(c)(3)? | | No | |
| b | If "Yes," enter the amount of any tax incurred under section 4912 | | | |
| c | If "Yes," enter the amount of any tax incurred by organization managers under section 4912 | | | |
| d | If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year? | | | |

## Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Were substantially all (90% or more) dues received nondeductible by members? | 1 | | |
| 2 | Did the organization make only in-house lobbying expenditures of $2,000 or less? | 2 | | |
| 3 | Did the organization agree to carryover lobbying and political expenditures from the prior year? | 3 | | |

## Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) if BOTH Part III-A, lines 1 and 2 are answered "No" OR if Part III-A, line 3 is answered "Yes".

| | | | |
|---|---|---|---|
| 1 | Dues, assessments and similar amounts from members | 1 | |
| 2 | Section 162(e) non-deductible lobbying and political expenditures **(do not include amounts of political expenses for which the section 527(f) tax was paid).** | | |
| a | Current year | 2a | |
| b | Carryover from last year | 2b | |
| c | Total | 2c | |
| 3 | Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues | 3 | |
| 4 | If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year? | 4 | |
| 5 | Taxable amount of lobbying and political expenditures (see instructions) | 5 | |

## Part IV Supplemental Information

Complete this part to provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, and Part II-B, line 1i
Also, complete this part for any additional information

| Identifier | Return Reference | Explanation |
|---|---|---|
| | | |

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**SCHEDULE D** (Form 990)

Department of the Treasury
Internal Revenue Service

# Supplemental Financial Statements

▶ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11, or 12.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

## Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

| | | (a) Donor advised funds | (b) Funds and other accounts |
|---|---|---|---|
| 1 | Total number at end of year | | |
| 2 | Aggregate contributions to (during year) | | |
| 3 | Aggregate grants from (during year) | | |
| 4 | Aggregate value at end of year | | |

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds may be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit ☐ Yes ☐ No

## Part II Conservation Easements. Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply)
☐ Preservation of land for public use (e g , recreation or pleasure)
☐ Preservation of an historically importantly land area
☐ Protection of natural habitat
☐ Preservation of a certified historic structure
☐ Preservation of open space

2 Complete lines 2a–2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

| | | Held at the End of the Year |
|---|---|---|
| a | Total number of conservation easements | 2a |
| b | Total acreage restricted by conservation easements | 2b |
| c | Number of conservation easements on a certified historic structure included in (a) | 2c |
| d | Number of conservation easements included in (c) acquired after 8/17/06 | 2d |

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the taxable year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ▶ $ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIV, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

## Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets. Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education or research in furtherance of public service, provide, in Part XIV, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenues included in Form 990, Part VIII, line 1 ▶ $ _____

(ii) Assets included in Form 990, Part X ▶ $ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 relating to these items

a Revenues included in Form 990, Part VIII, line 1 ▶ $ _____

b Assets included in Form 990, Part X ▶ $ _____

## Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets *(continued)*

3 Using the organization's accession and other records, check any of the following that are a significant use of its collection items (check all that apply)

- a ☑ Public exhibition
- b ☑ Scholarly research
- c ☑ Preservation for future generations
- d ☑ Loan or exchange programs
- e ☐ Other

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIV

5 During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☑ No

## Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIV and complete the following table

| | | Amount |
|---|---|---|
| c Beginning balance | 1c | |
| d Additions during the year | 1d | |
| e Distributions during the year | 1e | |
| f Ending balance | 1f | |

2a Did the organization include an amount on Form 990, Part X, line 21? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIV

## Part V Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

| | (a) Current Year | (b) Prior Year | (c) Two Years Back | (d) Three Years Back | (e) Four Years Back |
|---|---|---|---|---|---|
| 1a Beginning of year balance | 78,859,081 | 103,094,077 | | | |
| b Contributions | 9,410,136 | 3,471,265 | | | |
| c Investment earnings or losses | 10,887,920 | -27,241,928 | | | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | 464,333 | | | |
| f Administrative expenses | | | | | |
| g End of year balance | 99,157,137 | 78,859,081 | | | |

2 Provide the estimated percentage of the year end balance held as

- a Board designated or quasi-endowment ▶ **72.880 %**
- b Permanent endowment ▶ **26.100 %**
- c Term endowment ▶ **1.020 %**

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by

| | | Yes | No |
|---|---|---|---|
| (i) unrelated organizations | 3a(i) | Yes | |
| (ii) related organizations | 3a(ii) | | No |
| b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R? | 3b | | |

4 Describe in Part XIV the intended uses of the organization's endowment funds

## Part VI Investments—Land, Buildings, and Equipment. See Form 990, Part X, line 10.

| Description of investment | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|---|---|---|---|---|
| 1a Land | | 36,416,685 | | 36,416,685 |
| b Buildings | | 256,897,850 | 54,759,677 | 202,138,173 |
| c Leasehold improvements | | 24,451,796 | 7,820,387 | 16,631,409 |
| d Equipment | | 47,299,638 | 37,963,905 | 9,335,733 |
| e Other | | 38,388,091 | 0 | 38,388,091 |
| **Total.** Add lines 1a-1e *(Column (d) should equal Form 990, Part X, column (B), line 10(c).)* ▶ | | | | 302,910,091 |

**Part VII Investments—Other Securities.** See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation Cost or end-of-year market value |
|---|---|---|
| Financial derivatives | | |
| Closely-held equity interests | | |
| Other | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 12 )* ▶ | | |

**Part VIII Investments—Program Related.** See Form 990, Part X, line 13.

| (a) Description of investment type | (b) Book value | (c) Method of valuation Cost or end-of-year market value |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 13 )* ▶ | | |

**Part IX Other Assets.** See Form 990, Part X, line 15.

| (a) Description | (b) Book value |
|---|---|
| DEPOSITS WITH BOND TRUSTEES | 33,357,431 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| **Total.** *(Column (b) should equal Form 990, Part X, col.(B) line 15.)* . . . . . ▶ | 33,357,431 |

**Part X Other Liabilities.** See Form 990, Part X, line 25.

| 1 (a) Description of Liability | (b) Amount |
|---|---|
| Federal Income Taxes | 0 |
| REFUNDABLE US GOVERNMENT GRANT | 5,119,136 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 25 )* ▶ | 5,119,136 |

**2.** Fin 48 Footnote In Part XIV, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48

## Part XI Reconciliation of Change in Net Assets from Form 990 to Financial Statements

| | | | |
|---|---|---|---|
| 1 | Total revenue (Form 990, Part VIII, column (A), line 12) | 1 | 282,701,948 |
| 2 | Total expenses (Form 990, Part IX, column (A), line 25) | 2 | 277,986,559 |
| 3 | Excess or (deficit) for the year Subtract line 2 from line 1 | 3 | 4,715,389 |
| 4 | Net unrealized gains (losses) on investments | 4 | 16,599,591 |
| 5 | Donated services and use of facilities | 5 | |
| 6 | Investment expenses | 6 | |
| 7 | Prior period adjustments | 7 | |
| 8 | Other (Describe in Part XIV) | 8 | -9,309,652 |
| 9 | Total adjustments (net) Add lines 4 - 8 | 9 | 7,289,939 |
| 10 | Excess or (deficit) for the year per financial statements Combine lines 3 and 9 | 10 | 12,005,328 |

## Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

| | | | | | |
|---|---|---|---|---|---|
| 1 | Total revenue, gains, and other support per audited financial statements | | | 1 | 300,166,539 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12 | | | | |
| a | Net unrealized gains on investments | 2a | 16,599,591 | | |
| b | Donated services and use of facilities | 2b | | | |
| c | Recoveries of prior year grants | 2c | | | |
| d | Other (Describe in Part XIV) | 2d | | | |
| e | Add lines **2a** through **2d** | | | 2e | 16,599,591 |
| 3 | Subtract line **2e** from line **1** | | | 3 | 283,566,948 |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line **1** | | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | | |
| b | Other (Describe in Part XIV) | 4b | -865,000 | | |
| c | Add lines **4a** and **4b** | | | 4c | -865,000 |
| 5 | Total Revenue Add lines **3** and **4c.** (This should equal Form 990, Part I, line 12 ) | | | 5 | 282,701,948 |

## Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

| | | | | | |
|---|---|---|---|---|---|
| 1 | Total expenses and losses per audited financial statements | | | 1 | 288,161,211 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25 | | | | |
| a | Donated services and use of facilities | 2a | | | |
| b | Prior year adjustments | 2b | | | |
| c | Other losses | 2c | | | |
| d | Other (Describe in Part XIV) | 2d | 10,174,652 | | |
| e | Add lines **2a** through **2d** | | | 2e | 10,174,652 |
| 3 | Subtract line **2e** from line **1** | | | 3 | 277,986,559 |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line **1:** | | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | | |
| b | Other (Describe in Part XIV) | 4b | | | |
| c | Add lines **4a** and **4b** | | | 4c | |
| 5 | Total expenses Add lines **3** and **4c.** (This should equal Form 990, Part I, line 18 ) | | | 5 | 277,986,559 |

## Part XIV Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, Part XI, line 8, Part XII, lines 2d and 4b, and Part XIII, lines 2d and 4b Also complete this part to provide any additional information

| Identifier | Return Reference | Explanation |
|---|---|---|
| DESCRIPTION OF ORGANIZATION'S COLLECTIONS | PART III, LINE 4 | THE JOHN JOSEPH MOAKLEY ARCHIVE AND INSTITUTE AT SUFFOLK UNIVERSITY WAS ESTABLISHED BY SUFFOLK UNIVERSITY IN 2001 UPON CONGRESSMAN MOAKLEY'S GIFT OF HIS PAPERS THE INSTITUTE IS DEDICATED TO THE PRESERVATION, STUDY, INTERPRETATION AND CELEBRATION OF CONGRESSMAN MOAKLEY'S LEGACY OF SERVICE AND POLITICAL AND PUBLIC POLICY LEADERSHIP THROUGH PROGRAMMING AND PROMOTION OF JOE MOAKLEY'S CONGRESSIONAL PAPERS EXHIBIT PROGRAM THE MOAKLEY INSTITUTE CURATES AND PRESENTS TWO TYPES OF EXHIBITS ON THE LIFE AND LEGACY OF CONGRESSMAN JOE MOAKLEY GALLERY EXHIBITS AND TRAVELING EXHIBITS GALLERY EXHIBITS ARE PRESENTED IN THE ADAMS GALLERY AT SUFFOLK UNIVERSITY LAW SCHOOL TRAVELING EXHIBITS ARE DISPLAYED ON SUFFOLK UNIVERSITY CAMPUS AND AT TOWN HALLS, EDUCATIONAL INSTITUTIONS AND OTHER ORGANIZATIONS THROUGHOUT MASSACHUSETTS BOTH TYPES OF EXHIBITS CONNECT PEOPLE TO CONGRESSMAN MOAKLEY'S PUBLIC SERVICE AND POLITICAL LEADERSHIP LEGACY AND TO THE RESOURCES AND PROGRAMMING OF THE ARCHIVE AND INSTITUTE CONGRESSMAN MOAKLEY PAPERS THE CONGRESSMAN MOAKLEY PAPERS CONSIST OF 522 BOXES OF MATERIALS THAT DOCUMENT THE CONGRESSMAN'S EARLY LIFE, HIS WORLD WAR II SERVICE, HIS TERMS IN THE MASSACHUSETTS HOUSE OF REPRESENTATIVES AND SENATE, AND HIS SERVICE IN THE U S CONGRESS PRIMARILY, THE COLLECTION COVERS MOAKLEY'S CONGRESSIONAL CAREER FROM 1973 TO 2001 INCLUDING DOCUMENTS RELATED TO HIS LEGISLATIVE AND POLICY CAMPAIGNS CENTERED ON HUMAN RIGHTS, THE MOAKLEY COMMISSION IN EL SALVADOR, FIRE-SAFE CIGARETTES, AND HIS PROMOTION OF DISTRICT PROJECTS SUCH AS THE BOSTON HARBOR ISLANDS, THE BIG DIG AND PRESERVATION OF HISTORIC SITES JOHN JOSEPH MOAKLEY ORAL HISTORY PROJECT THE MOAKLEY ARCHIVE ORAL HISTORY PROJECT SEEKS TO DOCUMENT AND PRESERVE VALUABLE INFORMATION AND OBSERVATIONS THAT MAY NOT BE A PART OF THE PAPER, PHOTOGRAPHIC, AND AUDIOVISUAL PORTIONS OF THE MOAKLEY PAPERS RECORDING INTERVIEWS WITH THE CONGRESSMAN'S COLLEAGUES, STAFF, FAMILY, FRIENDS, CONSTITUENTS, AND OTHERS AFFECTED BY THE CENTRAL ISSUES OF HIS CAREER ALLOWS THE ARCHIVE TO DEVELOP A COMPLETE AND NUANCED PICTURE OF MOAKLEY'S LIFE AND SERVICE |
| ENDOWMENT FUNDS | PART V, LINE 4 | SUFFOLK UNIVERSITY'S ENDOWMENT CONSISTS OF APPROXIMATELY 234 INDIVIDUAL FUNDS ESTABLISHED FOR A VARIETY OF PURPOSES, INCLUDING BOTH DONOR RESTRICTED ENDOWMENT FUNDS AND FUNDS DESIGNATED BY THE BOARD OF TRUSTEES TO FUNCTION AS ENDOWMENTS SPENDING FROM THE UNIVERSITY'S ENDOWMENTS IS DONOR RESTRICTED TO VARIOUS PURPOSES A MAJORITY OF THE FUNDS PROVIDE SCHOLARSHIPS AND FINANCIAL ASSISTANCE TO UNDERGRADUATE, GRADUATE AND LAW SCHOOL STUDENTS SOME OF THE OTHER USES OF THE FUNDS INCLUDE, BUT ARE NOT LIMITED TO, SUPPORT FOR FELLOWSHIPS, THE CREATION AND FUNDING OF DEPARTMENT CHAIRS, SUPPORT FOR VARIOUS UNIVERSITY CENTERS, AND SUPPORT FOR THE UNIVERSITY'S TEACHING AND RESEARCH ACTIVITIES THE UNIVERSITY'S SPENDING POLICY IS DESIGNED TO PROVIDE THE UNIVERSITY A STABLE LEVEL OF FINANCIAL SUPPORT AND TO PRESERVE THE ENDOWMENT'S REAL VALUE |
| OTHER LIABILITIES | PART XI, LINE 2 | THE UNIVERSITY IS AN ORGANIZATION DESCRIBED UNDER INTERNAL REVENUE CODE (IRC) SECTION 501(C)(3), AND IS GENERALLY EXEMPT FROM INCOME TAXES UNDER THE PROVISIONS OF IRC SECTION 501(A) SUFFOLK UNIVERSITY MADRID CAMPUS, S L IS A TAXABLE FOREIGN SUBSIDIARY OF THE UNIVERSITY, FILING ITS OWN TAX RETURNS THE INCOME TAX CONSEQUENCE, IF ANY, FROM THIS ENTITY IS REFLECTED IN THE FINANCIAL STATEMENTS, AND DOES NOT HAVE A MATERIAL EFFECT UPON THE UNIVERSITY'S FINANCIAL STATEMENTS THE UNIVERSITY BELIEVES IT HAS TAKEN NO SIGNIFICANT UNCERTAIN TAX POSITIONS |
| OTHER CHANGES IN NET ASSETS | PART XI, LINE 8 | LOSS ON EXTINGUISHMENT OF DEBT (4,607,307) LOSS ON INTEREST RATE SWAPS (4,429,428) POST - RETIREMENT OBLIGATION (272,917) ---------- TOTAL (9,309,652) |
| OTHER REVENUE INCLUDED ON RETURN NOT IN FINANCIAL STATEMENTS | PART XII LINE 4B | RENT EXPENSE (865,000) |
| OTHER EXPENSES INCLUDED IN FINANCIAL STATEMENTS NOT ON RETURN | PART XIII, LINE 2D | LOSS ON EXTINGUISHMENT OF DEBT 4,607,307 LOSS ON INTEREST RATE SWAPS 4,429,428 POST - RETIREMENT OBLIGATION 272,917 RENT EXPENSE 865,000 ---------- TOTAL 10,174,652 |

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**SCHEDULE E** (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

# Schools

►Complete if the organization answered "Yes" to Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.

► Attach to Form 990 or Form 990-EZ.

OMB No 1545-0047

**2009**

Open to Public Inspection

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

| | | | YES | NO |
|---|---|---|---|---|
| 1 | Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body? | 1 | Yes | |
| 2 | Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships? | 2 | Yes | |
| 3 | Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe If "No," please explain | 3 | Yes | |
| | THE UNIVERSITY ADVERTISES IN LOCAL NEWSPAPERS AND PUBLICIZES ITS POLICY ON ITS WEBSITE AND IN VARIOUS LITERATURE | | | |
| 4 | Does the organization maintain the following? | | | |
| a | Records indicating the racial composition of the student body, faculty, and administrative staff? | 4a | Yes | |
| b | Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis? | 4b | Yes | |
| c | Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships? | 4c | Yes | |
| d | Copies of all material used by the organization or on its behalf to solicit contributions? | 4d | Yes | |
| | If you answered "No" to any of the above, please explain If you need more space, use Schedule O (Form 990) | | | |
| 5 | Does the organization discriminate by race in any way with respect to | | | |
| a | Students' rights or privileges? | 5a | | No |
| b | Admissions policies? | 5b | | No |
| c | Employment of faculty or administrative staff? | 5c | | No |
| d | Scholarships or other financial assistance? | 5d | | No |
| e | Educational policies? | 5e | | No |
| f | Use of facilities? | 5f | | No |
| g | Athletic programs? | 5g | | No |
| h | Other extracurricular activities? | 5h | | No |
| | If you answered "Yes" to any of the above, please explain If you need more space, use Schedule O (Form 990) | | | |
| 6a | Does the organization receive any financial aid or assistance from a governmental agency? | 6a | Yes | |
| b | Has the organization's right to such aid ever been revoked or suspended? | 6b | | No |
| | If you answered "Yes" to either line 6a or line 6b, explain on Schedule O (Form 990) | | | |
| 7 | Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Schedule O (Form 990) | 7 | Yes | |

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SCHEDULE F (Form 990)

Department of the Treasury
Internal Revenue Service

# Statement of Activities Outside the United States

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2009**

**Open to Public Inspection**

Name of the organization
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

**Part I General Information on Activities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 14b.

1 **For grantmakers.** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . ☑ Yes ☐ No

2 **For grantmakers.** Describe in Part IV the organization's procedures for monitoring the use of grant funds outside the United States

3 Activites per Region (Use Schedule F-1 (Form 990) if additional space is needed )

| (a) Region | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---|---|---|---|---|---|
| Europe (Including Iceland and Greenland) | 1 | 43 | Program Services | EDUCATION | 4,105,569 |
| Sub-Saharan Africa | 1 | 61 | Program Services | EDUCATION | 1,955,834 |
| Europe (Including Iceland and Greenland) | 0 | 0 | Program Services | EDUCATION & OTHER | 1,600,000 |
| Central America and the Caribbean | 0 | 0 | Program Services | EDUCATION & OTHER | 60,000 |
| East Asia and the Pacific | 0 | 0 | Program Services | EDUCATION & OTHER | 520,000 |
| Middle East and North Africa | 0 | 0 | Program Services | EDUCATION & OTHER | 25,000 |
| South America | 0 | 0 | Program Services | EDUCATION & OTHER | 17,000 |
| South Asia | 0 | 0 | Program Services | EDUCATION & OTHER | 105,000 |
| Sub-Saharan Africa | 0 | 0 | Program Services | EDUCATION & OTHER | 128,000 |
| North America | 0 | 0 | Program Services | EDUCATION & OTHER | 18,000 |
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| **Totals** . . . . . ▶ | 2 | 104 | | | 8,534,403 |

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than $5,000. Check this box if no one recipient received more than $5,000 . . . . . ▶ ☐
Use Schedule F-1 (Form 990) if additional space is needed.

| 1 **(a)** Name of organization | **(b)** IRS code section and EIN (if applicable) | **(c)** Region | **(d)** Purpose of grant | **(e)** Amount of cash grant | **(f)** Manner of cash disbursement | **(g)** Amount of of non-cash assistance | **(h)** Description of non-cash assistance | **(i)** Method of valuation (book, FMV, appraisal, other) |
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2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ▶ _____

3 Enter total number of other organizations or entities . . . . . ▶

**Part III** **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 16. Use Schedule F-1 (Form 990) if additional space is needed.

| (a) Type of grant or assistance | (b) Region | (c) Number of recipients | (d) Amount of cash grant | (e) Manner of cash disbursement | (f) Amount of non-cash assistance | (g) Description of non-cash assistance | (h) Method of valuation (book, FMV, appraisal, other) |
|---|---|---|---|---|---|---|---|
| FOREIGN GRANTS PAID - EUROPE | Europe/Iceland/Greenland | 200 | 1,206,569 | | | | |
| FOREIGN GRANTS PAID - SUB SAHARAN AFRICA | Sub-Saharan Africa | 42 | 73,294 | | | | |
| FOREIGN GRANTS PAID - CENTRAL AMERICA | Cent America/Caribbean | 4 | 24,580 | | | | |
| FOREIGN GRANTS PAID - EAST ASIA/PACIFIC | East Asia/Pacific | 15 | 91,765 | | | | |
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**Part IV Supplemental Information**

Complete this part to provide the information required in Part I, line 2, and any additional information.

| Identifier | ReturnReference | Explanation |
|---|---|---|
| MONITOR THE USE OF GRANT FUNDS OUTSIDE THE U S | PART I, LINE 2 | SUFFOLK UNIVERSITY DOES NOT AWARD GRANTS TO FOREIGN GOVERNMENTS OR FOREIGN ORGANIZATIONS GRANTS TO FOREIGN INDIVIDUALS ARE IN THE FORM OF SCHOLARSHIPS THAT ARE APPLIED AGAINST TUITION THAT HAS BEEN BILLED ALL GRANT FUNDS ARE MONITORED WITH AT LEAST TWO DIFFERENT DEPARTMENTS PROVIDING CHECKS AND BALANCES TO ENSURE THAT THE FUNDS ARE TRACKED, REPORTED AND USED AS REQUIRED IN THE GRANT LANGUAGE TITLE IV GRANT FUNDS ARE AWARDED BY THE FINANCIAL AID OFFICE BASED ON FINANCIAL NEED AS DETERMINED BY UNIVERSITY POLICIES RECORDS OF THE AMOUNT OF THE GRANTS, GRANTEE'S ELIGIBILITY AND SELECTION CRITERIA ARE MAINTAINED BY THE FINANCIAL AID OFFICE |
| EXPENDITURES IN REGION | PART I, COLUMN (F) | THE AMOUNTS IN COLUMN (F) ARE ESTIMATES OF FOREIGN EXPENDITURES, EXCEPT FOR EXPENDITURES IN SPAIN AND SENEGAL THE UNIVERSITY DOES NOT CURRENTLY TRACK OTHER REGIONS FOREIGN EXPENDITURES SEPARATELY |
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**Schedule I (Form 990)**

Department of the Treasury
Internal Revenue Service

# Grants and Other Assistance to Organizations, Governments and Individuals in the United States

**Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.**

▶ **Attach to Form 990**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

Name of the organization
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

## Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . ☑ Yes ☐ No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

## Part II Grants and Other Assistance to Governments and Organizations in the United States.

Complete if the organization answered "Yes" to Form 990, Part IV, line 21 for any recipient that received more than $5,000. Check this box if no one recipient received more than $5,000. Use Part IV and Schedule I-1 (Form 990) if additional space is needed . . . ▶ ☐

| (a) Name and address of organization or government | (b) EIN | (c) IRC Code section if applicable | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of non-cash assistance | (h) Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
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2 Enter total number of section 501(c)(3) and government organizations . . . ▶

3 Enter total number of other organizations . . . ▶

**Part III** **Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22. Use Schedule I-1 (Form 990) if additional space is needed.

| (a) Type of grant or assistance | (b) Number of recipients | (c) Amount of cash grant | (d) Amount of non-cash assistance | (e) Method of valuation (book, FMV, appraisal, other) | (f) Description of non-cash assistance |
|---|---|---|---|---|---|
| FINANCIAL AID - UNIVERSITY, FEDERAL AND STATE | 4959 | 56,270,916 | | | |
| See Additional Data Table | | | | | |
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**Part IV** **Supplemental Information.** Complete this part to provide the information required in Part I, line 2, and any other additional information.

| Identifier | Return Reference | Explanation |
|---|---|---|
| MONITOR THE USE OF GRANT FUNDS IN THE U S | PART I, LINE 2 | ALL GRANTS AWARDED ARE BASED ON NEED AND/OR MERIT AND CONFORM TO FEDERAL, STATE AND INSTITUTIONAL REGULATIONS ELIGIBILITY IS BASED ON A THOROUGH REVIEW AND VERIFICATION OF A FAMILY'S INCOME, ASSETS, SIZE AND NUMBER OF DEPENDENTS ENROLLED IN COLLEGE ANNUAL EXPENDITURE REPORTS ARE SUBMITTED TO THE FEDERAL AND STATE GOVERNMENTS FOR REVIEW THE FUND EXPENDITURES ARE REVIEWED FOR COMPLIANCE IN AN ANNUAL AUDIT CONDUCTED BY AN INDEPENDENT ACCOUNTING FIRM |
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**Schedule J** (Form 990)

Department of the Treasury
Internal Revenue Service

# Compensation Information

**For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

**▶ Complete if the organization answered "Yes" to Form 990, Part IV, question 23.**

**▶ Attach to Form 990. ▶ See separate instructions.**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

## Part I Questions Regarding Compensation

| | | | Yes | No |
|---|---|---|---|---|
| **1a** | Check the appropiate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items<br>☐ First-class or charter travel ☐ Housing allowance or residence for personal use<br>☐ Travel for companions ☐ Payments for business use of personal residence<br>☐ Tax idemnification and gross-up payments ☑ Health or social club dues or initiation fees<br>☐ Discretionary spending account ☐ Personal services (e g , maid, chauffeur, chef) | | | |
| **b** | If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement orprovision of all the expenses described above? If "No," complete Part III to explain | **1b** | Yes | |
| **2** | Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a? | **2** | Yes | |
| **3** | Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director Check all that apply<br>☑ Compensation committee ☑ Written employment contract<br>☑ Independent compensation consultant ☑ Compensation survey or study<br>☑ Form 990 of other organizations ☑ Approval by the board or compensation committee | | | |
| **4** | During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization | | | |
| **a** | Receive a severance payment or change-of-control payment? | **4a** | | No |
| **b** | Participate in, or receive payment from, a supplemental nonqualified retirement plan? | **4b** | Yes | |
| **c** | Participate in, or receive payment from, an equity-based compensation arrangement? | **4c** | | No |
| | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III | | | |
| | **Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.** | | | |
| **5** | For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of | | | |
| **a** | The organization? | **5a** | | No |
| **b** | Any related organization? | **5b** | | No |
| | If "Yes," to line 5a or 5b, describe in Part III | | | |
| **6** | For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of | | | |
| **a** | The organization? | **6a** | | No |
| **b** | Any related organization? | **6b** | | No |
| | If "Yes," to line 6a or 6b, describe in Part III | | | |
| **7** | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III | **7** | | No |
| **8** | Were any amounts reported in Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regs section 53 4958-4(a)(3)? If "Yes," describe in Part III | **8** | | No |
| **9** | If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)? | **9** | | |

**Part II** **Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use Schedule J-1 if additional space needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions on row (ii) Do not list any individuals that are not listed on Form 990, Part VII

**Note.** The sum of columns (B)(i)-(iii) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a

| **(A)** Name | **(B)** Breakdown of W-2 and/or 1099-MISC compensation | | | **(C)** Retirement and other deferred compensation | **(D)** Nontaxable benefits | **(E)** Total of columns (B)(i)-(D) | **(F)** Compensation reported in prior Form 990 or Form 990-EZ |
|---|---|---|---|---|---|---|---|
| | **(i)** Base compensation | **(ii)** Bonus & incentive compensation | **(iii)** Other reportable compensation | | | | |
| See Additional Data Table | | | | | | | |
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## Part III Supplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 4c, 5a, 5b, 6a, 6b, 7, and 8 Also complete this part for any additional information

| Identifier | Return Reference | Explanation |
|---|---|---|
| HEALTH CLUB DUES | SCHEDULE J, PART I, LINE 1 | HEALTH CLUB DUES ARE PROVIDED TO BARRY BROWN AND WERE REPORTED AS TAXABLE INCOME INCLUDED ON FORM W-2 |
| NONQUALIFIED SUPPLEMENTAL RETIREMENT PLAN | PART I, LINE 4B | DAVID SARGENT $159,000 |
| COMPENSATION | PART II | DAVID SARGENT'S AMOUNTS IN COLUMN B(III) AND COLUMN F OF THE $817,328 LISTED AS 'OTHER COMPENSATION', $636,000 WAS PREVIOUSLY REPORTED AS DEFERRED COMPENSATION ON FORM 990 AS FOLLOWS FISCAL YEAR ENDED (FYE) 2007 WAS $159,000, FYE 2008 WAS $318,000 AND FYE 2009 WAS $159,000 |

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**Schedule K (Form 990)**

Department of the Treasury
Internal Revenue Service

# Supplemental Information on Tax Exempt Bonds

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 24a. Provide descriptions, explanations, and any additional information in Schedule O (Form 990).
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2009**

**Open to Public Inspection**

Name of the organization
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

## Part I Bond Issues

| | (a) Issuer Name | (b) Issuer EIN | (c) CUSIP # | (d) Date Issued | (e) Issue Price | (f) Description of Purpose | (g) Defeased | | (h) On Behalf of Issuer | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Yes | No | Yes | No |
| A | MA HEALTH & EDUCATION FACILITIES - SER 200596 | 04-2456011 | 57586EMVO | 11-13-2009 | 18,712,831 | REFUND SERIES 2005 | | X | | X |
| B | MA HEALTH & EDUCATION FACILITIES - SER 200597 | 04-2456011 | 57586EMVO | 11-13-2009 | 46,079,870 | REFUND SERIES 2005 | | X | | X |
| C | MA HEALTH & EDUCATION FACILITIES - SER 200599 | 04-2456011 | 57586EMVO | 11-13-2009 | 13,422,123 | REFUND SERIES 2005 | | X | | X |
| D | MA HEALTH & EDUCATION FACILITIES - SER 2005NM | 04-2456011 | 57586EMVO | 11-13-2009 | 22,228,016 | REFUND SERIES 2005 | | X | | X |
| E | MA HEALTH & EDUCATION FACILITIES - SER 2007ANM | 04-2456011 | 57586EMVO | 11-13-2009 | 28,789,061 | REFUND SERIES 2007 | | X | | X |

## Part II Proceeds

| | | A | B | C | D | E |
|---|---|---|---|---|---|---|
| 1 | Total proceeds of issue | 18,712,831 | 46,079,870 | 13,422,123 | 22,228,016 | 28,789,061 |
| 2 | Gross proceeds in reserve funds | 1,488,668 | 3,665,808 | 1,067,775 | 1,768,313 | 2,290,266 |
| 3 | Proceeds in refunding or defeasance escrows | 0 | 0 | 0 | 0 | 0 |
| 4 | Other unspent proceeds | 0 | 0 | 0 | 0 | 0 |
| 5 | Issuance costs from proceeds | 207,262 | 503,395 | 147,826 | 245,569 | 313,375 |
| 6 | Working capital expenditures from proceeds | 0 | 0 | 0 | 0 | 0 |
| 7 | Capital expenditures from proceeds | 0 | 0 | 0 | 0 | 0 |
| 8 | Year of substantial completion | 2009 | 2009 | 2009 | 2009 | 2009 |

| | | A | | B | | C | | D | | E | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No | Yes | No |
| 9 | Were the bonds issued as part of a current refunding issue? | X | | X | | X | | X | | X | |
| 10 | Were the bonds issued as part of an advance refunding issue? | | X | | X | | X | | X | | X |
| 11 | Has the final allocation of proceeds been made? | X | | X | | X | | X | | X | |
| 12 | Does the organization maintain adequate books and records to support the final allocation of proceeds? | X | | X | | X | | X | | X | |

## Part III Private Business Use

| | | A | | B | | C | | D | | E | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No | Yes | No |
| 1 | Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds? | | X | | X | | X | | X | | X |
| 2 | Are there any lease arrangements with respect to the financed property which may result in private business use? | X | | X | | X | | X | | X | |

## Part III Private Business Use *(Continued)*

| | | A | | B | | C | | D | | E | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No | Yes | No |
| 3a | Are there any management or service contracts with respect to the financed property which may result in private business use? | X | | X | | X | | X | | X | |
| 3b | Are there any research agreements with respect to the financed property which may result in private business use? | | X | | X | | X | | X | | X |
| 3c | Does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts or research agreements relating to the financed property? | X | | X | | X | | X | | X | |
| 4 | Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶ | 0 % | | 0 % | | 0 % | | 0 % | | 0 150 % | |
| 5 | Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶ | 0 % | | 0 % | | 0 % | | 0 % | | 9 850 % | |
| 6 | Total of lines 4 and 5 | 0 % | | 0 % | | 0 % | | 0 % | | 10 000 % | |
| 7 | Has the organization adopted management practices and procedures to ensure the post-issuance compliance of its tax-exempt bond liabilities? | X | | X | | X | | X | | X | |

## Part IV Arbitrage

| | | A | | B | | C | | D | | E | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No | Yes | No |
| 1 | Has a Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate, been filed with respect to the bond issue? | | X | | X | | X | | X | | X |
| 2 | Is the bond issue a variable rate issue? | | X | | X | | X | | X | | X |
| 3a | Has the organization or the governmental issuer identified a hedge with respect to the bond issue on its books and records? | | X | | X | | X | | X | | X |
| b | Name of provider | | | | | | | | | | |
| c | Term of hedge | | | | | | | | | | |
| 4a | Were gross proceeds invested in a GIC? | | X | | X | | X | | X | | X |
| b | Name of provider | | | | | | | | | | |
| c | Term of GIC | | | | | | | | | | |
| d | Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied? | | | | | | | | | | |
| 5 | Were any gross proceeds invested beyond an available temporary period? | | X | | X | | X | | X | | X |
| 6 | Did the bond issue qualify for an exception to rebate? | | X | | X | | X | | X | | X |

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**Schedule L** (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

# Transactions with Interested Persons

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V lines 38a or 40b.**

▶ **Attach to Form 990 or Form 990-EZ.** ▶ **See separate instructions.**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

## Part I Excess Benefit Transactions (section 501(c)(3) and section 501 (c)(4) organizations only).

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b

| 1 | (a) Name of disqualified person | (b) Description of transaction | (c) Corrected? Yes | No |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

2 Enter the amount of tax imposed on the organization managers or disqualified persons during the year under section 4958 . . . . . ▶ $

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . . . ▶ $

## Part II Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 26, or Form 990-EZ, Part V, line 38a

| (a) Name of interested person and purpose | (b) Loan to or from the organization? To | From | (c) Original principal amount | (d) Balance due | (e) In default? Yes | No | (f) Approved by board or committee? Yes | No | (g) Written agreement? Yes | No |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| Total . . . . . ▶ $ | | | | | | | | | | |

## Part III Grants or Assistance Benefitting Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of grant or type of assistance |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

## Part IV Business Transactions Involving Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of transaction | (d) Description of transaction | (e) Sharing of organization's revenues? Yes | No |
|---|---|---|---|---|---|
| 73 TREMONT STREET REALTY LLC | R STAHL, TRUSTEE | 5,773,038 | RENT - SEE SCHEDULE O | | No |
| NELSON MULLINS RILEY SCARBOROUGH | R CROWE/W HOGAN, TRUSTEES | 120,885 | LOBBYING | | No |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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SCHEDULE M (Form 990)

Department of the Treasury
Internal Revenue Service

# NonCash Contributions

▶Complete if the organization answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.

OMB No 1545-0047

2009

Open to Public Inspection

Name of the organization
SUFFOLK UNIVERSITY

Employer identification number
04-2133255

## Part I Types of Property

| | | (a) Check if applicable | (b) Number of Contributions | (c) Revenues reported on Form 990, Part VIII, line 1g | (d) Method of determining revenues |
|---|---|---|---|---|---|
| 1 | Art—Works of art | | | | |
| 2 | Art—Historical treasures | | | | |
| 3 | Art—Fractional interests | | | | |
| 4 | Books and publications | | | | |
| 5 | Clothing and household goods | | | | |
| 6 | Cars and other vehicles | | | | |
| 7 | Boats and planes | | | | |
| 8 | Intellectual property | | | | |
| 9 | Securities—Publicly traded | X | 13 | 487,493 | MEAN PRICE |
| 10 | Securities—Closely held stock | | | | |
| 11 | Securities—Partnership, LLC, or trust interests | | | | |
| 12 | Securities—Miscellaneous | | | | |
| 13 | Qualified conservation contribution—Historic structures | | | | |
| 14 | Qualified conservation contribution—Other | | | | |
| 15 | Real estate—Residential | | | | |
| 16 | Real estate—Commercial | | | | |
| 17 | Real estate—Other | | | | |
| 18 | Collectibles | | | | |
| 19 | Food inventory | | | | |
| 20 | Drugs and medical supplies | | | | |
| 21 | Taxidermy | | | | |
| 22 | Historical artifacts | | | | |
| 23 | Scientific specimens | | | | |
| 24 | Archeological artifacts | | | | |
| 25 | Other ▶ (_____) | | | | |
| 26 | Other ▶ (_____) | | | | |
| 27 | Other ▶ (_____) | | | | |
| 28 | Other ▶ (_____) | | | | |

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . | 29 | 0

| | | | Yes | No |
|---|---|---|---|---|
| 30a | During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period? | 30a | | No |
| b | If "Yes," describe the arrangement in Part II | | | |
| 31 | Does the organization have a gift acceptance policy that requires the review of any non-standard contributions? | 31 | Yes | |
| 32a | Does the organization hire or use third parties or related organizations to solicit, process, or sell non-cash contributions? | 32a | Yes | |
| b | If "Yes," describe in Part II | | | |
| 33 | If the organization did not report revenues in column (c) for a type of property for which column (a) is checked, describe in Part II | | | |

## Part II

**Supplemental Information.** Complete this part to provide the information required by Part I, lines 30b, 32b, and 33. Also complete this part for any additional information.

| Identifier | Return Reference | Explanation |
|---|---|---|
| USE OF THIRD PARTY TO SOLICIT, PROCESS, OR SELL NONCASH CONTRIBUTIONS | PART I, LINE 32B | THE UNIVERSITY USES A BROKERAGE ACCOUNT AT DEUTSCHE BANK TO RECEIVE AND SELL GIFTS OF MARKETABLE SECURITIES |

## Additional Data

**Software ID:**
**Software Version:**
**EIN:** 04-2133255
**Name:** SUFFOLK UNIVERSITY

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**SCHEDULE O**
(Form 990)

Department of the Treasury
Internal Revenue Service

# Supplemental Information to Form 990

**Complete to provide information for responses to specific questions on Form 990 or to provide any additional information.**
**▶ Attach to Form 990.**

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

| Identifier | Return Reference | Explanation |
|---|---|---|
| MISSION STATEMENT | PART I AND PART III LINE 1 | SUFFOLK UNIVERSITY IS A PRIVATE, COMPREHENSIVE, URBAN UNIVERSITY LOCATED ON HISTORIC BEACON HILL IN BOSTON, WITH THREE OTHER MASSACHUSETTS LOCATIONS AND INTERNATIONAL CAMPUSES IN MADRID, SPAIN, AND DAKAR, SENEGAL SUFFOLK UNIVERSITY'S MISSION IS TO PROVIDE QUALITY EDUCATION AT A REASONABLE COST FOR STUDENTS OF ALL AGES AND BACKGROUNDS WITH STRONG EMPHASIS ON DIVERSITY THE UNIVERSITY IS COMMITTED TO EDUCATING STUDENTS TO BECOME LIFELONG LEARNERS, AS WELL AS PROFESSIONALS WHO LEAD AND SERVE THE COMMUNITIES IN WHICH THEY LIVE AND WORK THE UNIVERSITY SEEKS TO PREPARE STUDENTS TO LIVE IN A DIVERSE, GLOBAL SOCIETY, APPRECIATING THE RICHNESS OF VARIOUS CULTURES THE UNIVERSITY ACCOMPLISHES ITS MISSION BY PROVIDING EDUCATIONAL OPPORTUNITIES THROUGH UNDERGRADUATE STUDY, GRADUATE STUDY, AND PROFESSIONAL TRAINING SUFFOLK UNIVERSITY IS A TEACHING UNIVERSITY, WHERE RESEARCH AND SCHOLARSHIP ARE INTERRELATED WITH THE UNIQUE CHARACTER OF EACH ACADEMIC DISCIPLINE IT DOES SO BY MEANS OF COURSES THAT PROVIDE THEORETICAL, EXPERIENTIAL, AND PRACTICAL DIMENSIONS THE UNIVERSITY SUPPORTS AND ENCOURAGES DIVERSITY IN A CHALLENGING, SUPPORTIVE ENVIRONMENT FOR MOTIVATED AND CAPABLE STUDENTS FROM VARIOUS BACKGROUNDS AND CULTURES |

| Identifier | Return Reference | Explanation |
|---|---|---|
| FAMILY RELATIONSHIPS | PART VI, LINE 2 | BRIAN T O'NEILL, TRUSTEE, IS THE BROTHER OF WILLIAM O'NEILL, A KEY EMPLOYEE BARRY BROWN, PROVOST, IS A TRUSTEE OF CERTAIN BUSINESS INTERESTS OF ROSALIE STAHL TRUSTEES JOHN A BRENNAN AND LEO J CORCORAN HAVE A BUSINESS RELATIONSHIP TRUSTEES JOHN J O'CONNOR AND PETER A HUNTER HAVE A BUSINESS RELATIONSHIP TRUSTEES ROBERT B CROWE AND WILLIAM T HOGAN III HAVE A BUSINESS RELATIONSHIP |

| Identifier | Return Reference | Explanation |
|---|---|---|
| FORM 990 REVIEW PROCESS | PART VI, LINE 11A | THE CONTROLLER OF SUFFOLK UNIVERSITY IS RESPONSIBLE FOR DRAFTING FORM 990 THE COMPLETED DRAFT FORM 990 IS SUBMITTED FOR REVIEW TO THE UNIVERSITY'S TAX ADVISOR RECOMMENDED CHANGES ARE DISCUSSED WITH SENIOR MANAGEMENT AND INCORPORATED INTO THE RETURN THE DRAFT FORM IS THEN PROVIDED TO THE AUDIT COMMITTEE OF THE BOARD OF TRUSTEES SUFFICIENTLY IN ADVANCE OF THE FILING DEADLINE TO ENABLE A DETAILED AND CONSCIENTIOUS REVIEW BY ALL MEMBERS OF THE COMMITTEE WITH SENIOR MANAGEMENT AND THE UNIVERSITY'S TAX ADVISOR ALL QUESTIONS AND CONCERNS OF THE AUDIT COMMITTEE MEMBERS WILL BE ADDRESSED AND INCORPORATED INTO THE FORM AS APPROPRIATE AFTER THE AUDIT COMMITTEE REVIEW ALL MEMBERS OF THE BOARD OF TRUSTEES WILL BE INVITED TO REVIEW THE COMPLETED FORM 990 IN ADVANCE OF THE FILING DEADLINE VIA A SECURE WEBSITE ALL QUESTIONS AND CONCERNS OF THE MEMBERS OF THE BOARD OF TRUSTEES WILL BE ADDRESSED BY THE TREASURER AND INCORPORATED INTO THE FORM 990 AS APPROPRIATE AFTER ALL OF THE INPUT FROM THE BOARD OF TRUSTEES AND THE AUDIT COMMITTEE HAS BEEN APPROPRIATELY ADDRESSED, THE TREASURER OF THE UNIVERSITY IS AUTHORIZED TO FILE THE FORM 990 |

| Identifier | Return Reference | Explanation |
|---|---|---|
| CONFLICT OF INTEREST POLICY | PART VI, LINE 12C | THE FINANCE COMMITTEE OF THE BOARD OF TRUSTEES IS RESPONSIBLE FOR OBTAINING A CONFLICT OF INTEREST DISCLOSURE STATEMENT FROM ALL BOARD MEMBERS, OFFICERS OF THE UNIVERSITY, AND ALL EMPLOYEES OF THE UNIVERSITY HOLDING CERTAIN POSITIONS AS DETERMINED BY THE FINANCE COMMITTEE, REFERRED TO AS COVERED PERSONS THE DISCLOSURE STATEMENT IS TO BE COMPLETED UPON FIRST ACCEDING TO THE OFFICE POSITION, UPON MATERIAL CHANGE IN THE INFORMATION REQUESTED, AND IN JULY OF EACH YEAR THE FINANCE COMMITTEE PROVIDES THE BOARD WITH A SUMMARY REPORT OF ANY CONFLICT OF INTEREST AT LEAST ANNUALLY, AND MORE FREQUENTLY AS APPROPRIATE THE FINANCE COMMITTEE MAY INVITE THE COVERED PERSON TO MAKE A PRESENTATION AT A MEETING TO DISCUSS THE TRANSACTION THE FINANCE COMMITTEE WILL THEN DETERMINE BY A MAJORITY VOTE WHETHER THE TRANSACTION IS IN THE UNIVERSITY'S BEST INTEREST, AND WHETHER IT IS FAIR AND REASONABLE, AND THEREFORE WHETHER THE UNIVERSITY MAY OR MAY NOT ENTER INTO THE TRANSACTION |

| Identifier | Return Reference | Explanation |
|---|---|---|
| WHISTLEBLOWER POLICY | PART VI, LINE 13 | THE UNIVERSITY WAS DEVELOPING THE WHISTLEBLOWER POLICY DURING THE 2010 FISCAL YEAR THE POLICY WILL BE FINALIZED AND ADOPTED ON MAY 21, 2011 |

| Identifier | Return Reference | Explanation |
|---|---|---|
| DOCUMENT RETENTION POLICY | PART VI, LINE 14 | THE UNIVERSITY WAS DEVELOPING THE DOCUMENT RETENTION AND DESTRUCTION POLICY DURING THE 2010 FISCAL YEAR THE POLICY WAS FINALIZED AND ADOPTED ON SEPTEMBER 14, 2010 |

| Identifier | Return Reference | Explanation |
|---|---|---|
| COMPENSATION SETTING PROCESS | PART VI, LINE 15A | FOR THE COMPENSATION OF THE PRESIDENT, A SPECIAL PRESIDENTIAL COMPENSATION COMMITTEE OF THE BOARD OF TRUSTEES WAS FORMED THE COMMITTEE HAD THE RESPONSIBILITY FOR HIRING AN INDEPENDENT FIRM TO ANALYZE AND COMPARE THE COMPENSATION OF CEO'S AT COMPARABLE INSTITUTIONS AFTER REVIEWING THE RESULTS OF THE STUDY, THE COMMITTEE APPROVED A CONTRACT FOR A PERIOD OF SEVERAL YEARS PREPARED BY THE RETAINED INDEPENDENT FIRM THE CONTRACT INCLUDED ANNUAL SALARY ADJUSTMENTS AND PERFORMANCE AWARDS THE BOARD OF TRUSTEES VOTED ON AND APPROVED THE CONTRACT THE CHAIR OF THE BOARD OF TRUSTEES REVIEWS THE PERFORMANCE OF THE PRESIDENT AND REPORTS THE FINDINGS TO THE BOARD THE COMPENSATION OF ALL OTHER OFFICERS, AS WELL AS KEY EMPLOYEES, IS ESTABLISHED AS PART OF THE ANNUAL BUDGET APPROVAL PROCESS THE BUDGET OFFICE OBTAINS RECOMMENDATIONS FROM THE HUMAN RESOURCES OFFICE AS TO SALARY ADJUSTMENTS BASED ON THEIR STUDIES OF OTHER SIMILAR SIZE, OR OTHERWISE COMPARABLE, UNIVERSITY PERSONNEL SALARIES TYPICALLY OFFICERS AND KEY EMPLOYEES RECEIVE A FLAT PERCENTAGE INCREASE THAT IS THE SAME FOR ALL THE BOARD OF TRUSTEES APPROVES THE FINAL BUDGET |

| Identifier | Return Reference | Explanation |
|---|---|---|
| PUBLIC DISCLOSURE | PART VI, LINE 19 | ALL REQUESTS FOR GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY, FINANCIAL STATEMENTS AND TAX RETURNS ARE RECEIVED BY THE PRESIDENT AND/OR VICE PRESIDENTS OFFICES AND ARE TURNED OVER TO THE TREASURERS OFFICE FOR IMMEDIATE RESPONSE TAX RETURNS AND FINANCIAL STATEMENTS ARE ALSO AVAILABLE ON THE MASSACHUSETTS ATTORNEY GENERAL'S AND GUIDESTAR'S WEBSITES |

| Identifier | Return Reference | Explanation |
|---|---|---|
| TAX-EXEMPT BOND ISSUES - PRIVATE BUSINESS USE | SCHEDULE K | THE ONE YEAR PRIVATE USE RESULTING FROM AN UNRELATED TRADE OR BUSINESS IS OVER 5% FOR THE YEAR ENDED 06/30/2010 HOWEVER, THE AVERAGE OVER THE LIFE OF THE BOND IS WELL BELOW THE 5% PRIVATE BUSINESS USE LIMITATION |

| Identifier | Return Reference | Explanation |
|---|---|---|
| BUSINESS TRANSACTIONS INVOLVING INTERESTED PERSONS | SCHEDULE L, PART IV | SUFFOLK UNIVERSITY ENTERED INTO A MASTER LEASE DURING JULY 2004 WITH A TRUSTEE OF THE UNIVERSITY, MRS ROSALIE K STAHL THE AGREEMENT WAS MADE TO ASSIST THE UNIVERSITY WITH ITS PLANS FOR FACILITIES EXPANSION IN A VERY CROWDED DOWNTOWN BOSTON LOCATION THE TRUSTEE PURCHASED AN $85,000,000 OFFICE BUILDING AT 73 TREMONT STREET, BOSTON, MA, THROUGH A SINGLE PURPOSE ENTITY, 73 TREMONT STREET REALTY LLC, IN WHICH THE TRUSTEE IS THE SOLE SHAREHOLDER, THE LLC OBTAINED A $68,000,000 MORTGAGE ON THE PROPERTY EXISTING LEASES WERE SUBORDINATED TO THE MASTER LEASE THE MASTER LEASE OBLIGATES THE UNIVERSITY TO PAY TO THE LLC A MONTHLY RENT COMPRISED OF THREE SEPARATE COMPONENTS A) THE MORTGAGE PAYMENT, B) ONE-TWELFTH OF A 9% ANNUAL RETURN ON THE FIRST $14,000,000 OF EQUITY IN THE BUILDING, AND C) ONE TWELFTH OF A 10% ANNUAL RETURN ON THE BALANCE OF THE EQUITY IN THE BUILDING THE MASTER LEASE IS A TRUE NET LEASE AND OBLIGATES THE UNIVERSITY TO OPERATE AND MAINTAIN THE BUILDING IN ALL RESPECTS IN EXCHANGE, THE UNIVERSITY IS PERMITTED TO RETAIN ALL RENTS AND OTHER PAYMENTS DUE UNDER THE EXISTING LEASES THE VALUE OF THE BUILDING WAS ARRIVED AT THROUGH AN INDEPENDENT APPRAISAL THE TERMS OF THE MORTGAGE WERE NEGOTIATED WITH CITIZENS BANK ALSO NEGOTIATED AT ARMS LENGTH, VIA LAWYERS FOR EACH PARTY, WAS THE UNIVERSITY'S AGREEMENT TO PAY THE CLOSING AND OTHER RELATED COSTS OF THE LLC THE LEASE TERM IS FROM 7/19/2004 THROUGH 1/31/2025 WITH FOUR OPTIONS TO RENEW OF FIVE YEARS EACH TERMS AFTER THE FIRST FIVE YEARS ARE SIMILAR TO THE INITIAL YEARS DURING THE YEAR, SUFFOLK UNIVERSITY OBTAINED PROFESSIONAL SERVICES FROM NELSON MULLINS RILEY & SCARBOROUGH, LLP IN WHICH ROBERT B CROWE AND WILLIAM T HOGAN, TRUSTEES OF THE UNIVERSITY, ARE OWNERS/PRINCIPALS THE AMOUNT PAID TO NELSON MULLINS RILEY & SCARBOROUGH, LLP FOR SERVICES RENDERED WAS $120,885 FOR THE YEAR ENDED JUNE 30, 2010 THE UNIVERSITY SELECTED NELSON MULLINS RILEY & SCARBOROUGH, LLP BECAUSE OF ITS EXPERIENCE WITH EDUCATIONAL ISSUES WITHIN THE COMMONWEALTH OF MASSACHUSETTS AND WASHINGTON, DC THE UNIVERSITY BELIEVES THAT THE AMOUNTS PAID WERE AT OR BELOW FAIR MARKET VALUE FOR THE SERVICES RECEIVED DURING THE YEAR, SUFFOLK UNIVERSITY OBTAINED LEGAL SERVICES FORM NIXON PEABODY LLP DENNIS M DUGGAN JR , A TRUSTEE OF THE UNIVERSITY, IS ALSO A PARTNER IN NIXON PEABODY LLP NIXON PEABODY LLP SERVED AS BOND COUNSEL TO SUFFOLK UNIVERSITY THE AMOUNT PAID TO NIXON PEABODY LLP FOR SERVICES RENDERED WAS $20,029 FOR THE YEAR ENDED JUNE 30, 2010 MR DUGGAN WAS NOT INVOLVED IN ANY SERVICES PROVIDED TO SUFFOLK UNIVERSITY THE UNIVERSITY BELIEVES THAT THE AMOUNTS PAID WERE AT OR BELOW FAIR MARKET VALUE FOR THE SERVICES RECEIVED |

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# SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

## Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 33, 34, 35, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

**2009**

**Open to Public Inspection**

**Name of the organization**
SUFFOLK UNIVERSITY

**Employer identification number**
04-2133255

**Part I** **Identification of Disregarded Entities** (Complete if the organization answered "Yes" on Form 990, Part IV, line 33.)

| (a) Name, address, and EIN of disregarded entity | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Total income | (e) End-of-year assets | (f) Direct controlling entity |
|---|---|---|---|---|---|
| | | | | | |
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| | | | | | |
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| | | | | | |

**Part II** **Identification of Related Tax-Exempt Organizations** (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.)

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Exempt Code section | (e) Public charity status (if section 501(c)(3)) | (f) Direct controlling entity |
|---|---|---|---|---|---|
| | | | | | |
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**Part III** **Identification of Related Organizations Taxable as a Partnership** (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.)

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Predominant income (related, unrelated, excluded from tax under sections 512-514) | (f) Share of total income | (g) Share of end-of-year assets | (h) Disproportionate allocations? Yes | (h) No | (i) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065) | (j) General or managing partner? Yes | (j) No |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | |
| | | | | | | | | | | | |
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**Part IV** **Identification of Related Organizations Taxable as a Corporation or Trust** (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.)

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Type of entity (C corp, S corp, or trust) | (f) Share of total income | (g) Share of end-of-year assets | (h) Percentage ownership |
|---|---|---|---|---|---|---|---|
| SUFFOLK UNIVERSITY MADRID CAMPUS SL<br>CALLE VINA 3<br>MADRID 28003<br>SP<br>99-9999999 | HIGHER EDUCATION | SP | NA | C CORP | 3,103,840 | 694,456 | 100 000 % |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

## Part V Transactions With Related Organizations (Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35, or 36.)

| | | Yes | No |
|---|---|---|---|
| **Note.** Complete line 1 if any entity is listed in Parts II, III or IV | | | |
| **1** During the tax year, did the orgranization engage in any of the following transactions with one or more related organizations listed in Parts II-IV? | | | |
| **a** Receipt of **(i)** interest **(ii)** annuities **(iii)** royalties **(iv)** rent from a controlled entity | 1a | | No |
| **b** Gift, grant, or capital contribution to other organization(s) | 1b | Yes | |
| **c** Gift, grant, or capital contribution from other organization(s) | 1c | | No |
| **d** Loans or loan guarantees to or for other organization(s) | 1d | | No |
| **e** Loans or loan guarantees by other organization(s) | 1e | | No |
| **f** Sale of assets to other organization(s) | 1f | | No |
| **g** Purchase of assets from other organization(s) | 1g | | No |
| **h** Exchange of assets | 1h | | No |
| **i** Lease of facilities, equipment, or other assets to other organization(s) | 1i | | No |
| **j** Lease of facilities, equipment, or other assets from other organization(s) | 1j | | No |
| **k** Performance of services or membership or fundraising solicitations for other organization(s) | 1k | | No |
| **l** Performance of services or membership or fundraising solicitations by other organization(s) | 1l | Yes | |
| **m** Sharing of facilities, equipment, mailing lists, or other assets | 1m | | No |
| **n** Sharing of paid employees | 1n | | No |
| **o** Reimbursement paid to other organization for expenses | 1o | | No |
| **p** Reimbursement paid by other organization for expenses | 1p | | No |
| **q** Other transfer of cash or property to other organization(s) | 1q | | No |
| **r** Other transfer of cash or property from other organization(s) | 1r | | No |

**2** If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

| (a) Name of other organization | (b) Transaction type(a-r) | (c) Amount involved |
|---|---|---|
| **(1)** SUFFOLK UNIVERSITY MADRID CAMPUS SL | B | 573,638 |
| **(2)** SUFFOLK UNIVERSITY MADRID CAMPUS SL | L | 3,367,614 |
| **(3)** | | |
| **(4)** | | |
| **(5)** | | |
| **(6)** | | |

**Part VI** **Unrelated Organizations Taxable as a Partnership** (Complete if the organization answered "Yes" on Form 990, Part IV, line 37.)

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization See instructions regarding exclusion for certain investment partnerships

| (a) Name, address, and EIN of entity | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Are all partners section 501(c)(3) organizations? | | (e) Share of end-of-year assets | (f) Disproprtionate allocations? | | (g) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065) | (h) General or managing partner? | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Yes | No | | Yes | No | | Yes | No |
| | | | | | | | | | | |
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## Additional Data

**Software ID:**
**Software Version:**
**EIN:** 04-2133255
**Name:** SUFFOLK UNIVERSITY

**Form 990, Part VII - Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

| (A) Name and Title | (B) Average hours per week | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| HON MARIANNE B BOWLER TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JOHN A BRENNAN JR ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| HON LAWRENCE L CAMERON TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| IRWIN CHAFETZ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| LEO J CORCORAN ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| ROBERT B CROWE TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| GERARD F DOHERTY ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DENNIS M DUGGAN JR ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DENNIS FERNANDEZ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JILL S GABBE TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| HON ROBERT W GARDNER JR TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| RUSSELL A GAUDREAU JR ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MICHAEL G GEORGE TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MARGARET A GERAGHTY TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JEANNE M HESSION TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JOSEPH P HOAR TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| WILLIAM T HOGAN III ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| PETER A HUNTER ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| J ROBERT JOHNSON TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| NICHOLAS MACARONIS ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DEBORAH F MARSON ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MARTIN T MEEHAN ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| ANDREW C MEYER JR ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| RALPH MITCHELL TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JAMES T MORRIS ESQ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |

## Form 990, Part VII - Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

| (A) Name and Title | (B) Average hours per week | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| JOHN J O'CONNOR<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| BRIAN T O'NEILL ESQ<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| GEORGE A RAMIREZ ESQ<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| CAROL SAWYER PARKS<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| ROSALIE K STAHL<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| TARA TAYLOR<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| FRANCIS M VAZZA<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DENNIS WALCZEWSKI<br>TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DAVID SARGENT<br>PRESIDENT | 50 0 | X | | X | | | | 1,282,126 | 0 | 199,661 |
| FRANCIS X FLANNERY<br>VP/TREASURER | 50 0 | X | | X | | | | 302,115 | 0 | 32,592 |
| BARRY BROWN<br>PROVOST | 50 0 | | | X | | | | 368,371 | 0 | 44,382 |
| JANICE GRIFFITH<br>VP-ACADEMIC AFFAIRS | 50 0 | | | X | | | | 275,394 | 0 | 29,395 |
| JOHN NUCCI<br>VP-EXTERNAL AFFAIRS | 50 0 | | | X | | | | 305,510 | 0 | 22,050 |
| NANCY STOLL<br>VP-STUDENT AFFAIRS | 50 0 | | | X | | | | 165,896 | 0 | 14,760 |
| MARGUERITE DENNIS<br>VP-ENROLLMENT/INTL PROGRAMS | 50 0 | | | X | | | | 256,003 | 0 | 24,550 |
| CHRISTOPHER MOSHER<br>VP-ADVANCEMENT | 50 0 | | | X | | | | 132,732 | 0 | 21,772 |
| DANIELLE MANNING<br>ASSISTANT TREASURER | 50 0 | | | X | | | | 88,877 | 0 | 0 |
| KENNETH GREENBERG<br>DEAN | 50 0 | | | | X | | | 317,746 | 0 | 22,050 |
| BERNARD V KEENAN<br>DEAN | 50 0 | | | | X | | | 238,244 | 0 | 46,482 |
| WILLIAM O'NEILL<br>DEAN | 50 0 | | | | X | | | 300,797 | 0 | 40,661 |
| ALFRED AMAN<br>DEAN | 50 0 | | | | | X | | 246,894 | 0 | 23,188 |
| KAREN M BLUM<br>ASC DEAN/PROFESSOR | 50 0 | | | | | X | | 227,482 | 0 | 33,965 |
| KI C HAN<br>ASSOCIATE DEAN | 50 0 | | | | | X | | 211,712 | 0 | 17,849 |
| MARC PERLIN<br>ASSOCIATE DEAN | 50 0 | | | | | X | | 230,799 | 0 | 41,344 |
| ALASDAIR S ROBERTS<br>PROFESSOR | 50 0 | | | | | X | | 225,473 | 0 | 43,562 |

## Form 990, Part VII - Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

| (A) Name and Title | (B) Average hours per week | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| MICHAEL F DWYER<br>FORMER ASSISTANT TREASURER | 50 0 | | | | | | X | 168,485 | 0 | 15,986 |

## Form 990, Part IX - Statement of Functional Expenses - 24a - 24e Other Expenses

| *Do not include amounts reported on line 6b, 8b, 9b, and 10b of Part VIII.* | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|---|---|---|---|---|
| RESIDENCE HALL EXPENSES | 12,046,206 | 12,046,206 | | |
| ACADEMIC SERVICES & SUPPORT | 4,971,937 | 4,971,937 | | |
| OTHER INSTRUCTION | 2,606,856 | 2,606,856 | | |
| OTHER PUBLIC SERVICE | 2,222,247 | 2,222,247 | | |
| OTHER INSTITUTIONAL EXPENSES | 1,751,018 | | 1,405,149 | 345,869 |

**Additional Data**

Return to Form

**Software ID:**
**Software Version:**
**EIN:** 04-2133255
**Name:** SUFFOLK UNIVERSITY

## Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

| (A) Name | | (B) Breakdown of W-2 and/or 1099-MISC compensation | | | (C) Deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|---|---|---|---|---|---|---|---|---|
| | | (i) Base Compensation | (ii) Bonus & incentive compensation | (iii) Other compensation | | | | |
| DAVID SARGENT | (I) | 464,798 | 0 | 817,328 | 181,050 | 18,611 | 1,481,787 | 636,000 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| FRANCIS X FLANNERY | (I) | 300,000 | 0 | 2,115 | 22,050 | 10,542 | 334,707 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| BARRY BROWN | (I) | 345,000 | 0 | 23,371 | 22,050 | 22,332 | 412,753 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JANICE GRIFFITH | (I) | 275,000 | 0 | 394 | 22,050 | 7,345 | 304,789 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| JOHN NUCCI | (I) | 280,307 | 0 | 25,203 | 22,050 | 0 | 327,560 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| NANCY STOLL | (I) | 164,000 | 0 | 1,896 | 14,760 | 0 | 180,656 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MARGUERITE DENNIS | (I) | 256,003 | 0 | 0 | 22,050 | 2,500 | 280,553 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CHRISTOPHER MOSHER | (I) | 132,732 | 0 | 0 | 12,075 | 9,697 | 154,504 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| KENNETH GREENBERG | (I) | 310,000 | 0 | 7,746 | 22,050 | 0 | 339,796 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| BERNARD V KEENAN | (I) | 238,244 | 0 | 0 | 22,050 | 24,432 | 284,726 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| WILLIAM O'NEILL | (I) | 297,466 | 0 | 3,331 | 22,050 | 18,611 | 341,458 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ALFRED AMAN | (I) | 170,775 | 0 | 76,119 | 18,917 | 4,271 | 270,082 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| KAREN M BLUM | (I) | 169,030 | 0 | 58,452 | 17,341 | 16,624 | 261,447 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| KI C HAN | (I) | 136,500 | 0 | 75,212 | 1,225 | 16,624 | 229,561 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MARC PERLIN | (I) | 230,799 | 0 | 0 | 21,533 | 19,811 | 272,143 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ALASDAIR S ROBERTS | (I) | 215,000 | 0 | 10,473 | 20,430 | 23,132 | 269,035 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MICHAEL F DWYER | (I) | 154,954 | 0 | 13,531 | 13,946 | 2,040 | 184,471 | 0 |
| | (II) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |