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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)	OMB No 1545-0047
	The organization may have to use a copy of this return to satisfy state reporting requirements	<div> <div>2009</div> <div>Open to Public Inspection</div> </div>

A For the 2009 calendar year, or tax year beginning 09-01-2009 and ending 08-31-2010

B Check if applicable <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	Please use IRS label or print or type. See Specific Instructions.	C Name of organization Northwestern University		D Employer identification number 36-2167817
		Doing Business As		E Telephone number (847) 491-3741
		Number and street (or P O box if mail is not delivered to street address) 633 Clark St	Room/suite	G Gross receipts \$ 3,354,539,840
		City or town, state or country, and ZIP + 4 Evanston, IL 60208		
F Name and address of principal officer Eugene Sunshine 633 Clark St Evanston, IL 60208		H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I Tax-exempt status <input checked="" type="checkbox"/> 501(c) (3) <input type="checkbox"/> (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list (see instructions)		
J Website: <input checked="" type="checkbox"/> www.northwestern.edu		H(c) Group exemption number <input checked="" type="checkbox"/>		

K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other <input type="checkbox"/>	L Year of formation 1851	M State of legal domicile IL
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Part I Summary

Activities & Governance	1	Briefly describe the organization's mission or most significant activities Education and research		
	2	Check this box <input checked="" type="checkbox"/> 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	3
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	2
	5	Total number of employees (Part V, line 2a)	5	22,16
	6	Total number of volunteers (estimate if necessary)	6	
	7a	Total gross unrelated business revenue from Part VIII, column (C), line 12	7a	-11,277,01
	b	Net unrelated business taxable income from Form 990-T, line 34	7b	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	199,295,810	200,683,218
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,347,831,746	1,454,577,011
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	-55,764,935	353,410,782
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	82,205,410	87,667,763
			1,573,568,031	2,096,338,774
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	235,491,275	279,867,991
	14	Benefits paid to or for members (Part IX, column (A), line 4)		0
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	791,263,543	849,525,993
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	253,403	196,264
	b	Total fundraising expenses (Part IX, column (D), line 25) <u>28,658,760</u>		
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f)	878,539,844	853,608,939
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	1,905,548,065	1,983,199,187
	19	Revenue less expenses Subtract line 18 from line 12	-331,980,034	113,139,587
Net Assets or Fund Balances			Beginning of Current Year	End of Year
	20	Total assets (Part X, line 16)	7,920,245,885	8,362,828,437
	21	Total liabilities (Part X, line 26)	1,590,762,503	1,578,804,468
	22	Net assets or fund balances Subtract line 21 from line 20	6,329,483,382	6,784,023,969

Part II Signature Block

Sign Here	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			
	<div> <div></div> <div>Signature of officer</div> </div>			<div> <div></div> <div>2011-07-14</div> </div> <div>Date</div>
	<div> <div></div> <div>Eugene Sunshine Sr VP for Business and Finance</div> </div> <div>Type or print name and title</div>			
Paid Preparer's Use Only	Preparer's signature <div></div>	Date	Check if self-employed <div><input checked="" type="checkbox"/></div>	Preparer's identifying number (see instructions)
	Firm's name (or yours if self-employed), address, and ZIP + 4 <div></div>	<div>Deloitte Tax LLP</div> <div>111 S Wacker Drive</div> <div>Chicago, IL 60606</div>		EIN <div></div>
				Phone no <div></div> (312) 486-1000

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

University Mission Statement Northwestern is committed to excellent teaching, innovative research, and the personal and intellectual growth of its students in a diverse academic community

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 \$ 1,161,182,407 including grants of \$ 224,972,358) (Revenue \$ 899,428,407)

Education of students For the 2010 academic year, 8,496 undergraduates and 8,150 graduates and professional school students enrolled full-time at the University The exempt purpose of Northwestern University is to provide educational services to its students This includes superior undergraduate education for a diverse student body in a comprehensive range of academic and professional fields At the graduate level, Northwestern's role encompasses offerings in the major academic and professional fields, closely related to research, creative activities, and clinical services

4b

(Code) (Expenses \$ 441,906,000 including grants of \$ 54,895,633) (Revenue \$ 485,302,957)

Research activities The research program at Northwestern University is a major component of University efforts, assuring institutional leadership in scientific discovery, intellectual inquiry, and creative performance The character of this research shapes all areas of University endeavor, especially graduate education as well as undergraduate studies

4c

(Code) (Expenses \$ 109,812,000 including grants of \$) (Revenue \$ 74,842,418)

Auxiliary enterprises serve the educational mission by primarily providing residences and food services, and other various goods and services to support University student, faculty, and staff activities

4d

Other program services (Describe in Schedule O)

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




















4e

Total program service expenses

\$ 1,712,900,407

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	Yes	
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		No
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, line 10? 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? 	Yes	No	
	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	Yes	
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	Yes	
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	Yes	
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? <i>If "Yes," complete Schedule I, Parts I and II</i>	21	Yes	
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? <i>If "Yes," complete Schedule I, Parts I and III</i>	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? <i>If "Yes," complete Schedule J</i>	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? <i>If "Yes," answer questions 24b–24d and complete Schedule K. If "No," go to line 25</i>	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? <i>If "Yes," complete Schedule L, Part I</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? <i>If "Yes," complete Schedule L, Part I</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? <i>If "Yes," complete Schedule L, Part II</i>	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? <i>If "Yes," complete Schedule L, Part III</i>	27	Yes	
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? <i>If "Yes," complete Schedule L, Part IV</i>	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b	Yes	
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? <i>If "Yes," complete Schedule L, Part IV</i>	28c	Yes	
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	Yes	
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	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? <i>If "Yes," complete Schedule R, Part I</i>	33		No
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i>	34	Yes	
35	Is any related organization a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>	35	Yes	
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	Yes	
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? <i>If "Yes," complete Schedule R, Part VI</i>	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, <i>Annual Summary and Transmittal of U.S. Information Returns</i> . Enter -0- if not applicable	1a	27,305	
	b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	
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, <i>Transmittal of Wage and Tax Statements</i> filed for the calendar year ending with or within the year covered by this return	2a	22,161	
	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)			
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: NI, QA 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	No
b Did the organization make a distribution to a donor, donor advisor, or related person?			9b	No
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	36	
b	Enter the number of voting members that are independent . . .	1b	24	
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	Yes	
14	Does the organization have a written document retention and destruction policy?	14	Yes	
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	Yes	
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		No

Section C. Disclosure

17	List the States with which a copy of this Form 990 is required to be filed▶AK , AZ , KY , ME , MD , MI , NH , NY , OH , OR , SC , WA
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. <input type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> 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 ▶ Karl Turro Controller 619 Clark St Evanston, IL 60208 (847) 491-4722

1b Total	11,050,209	5,466,796	1,182,900
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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

1,557

3 Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>		Yes	No
	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? <i>If "Yes," complete Schedule J for such individual</i>	4	Yes	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>	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
LBR Consolidated Services 440 Bonner Rd Wauconda, IL 60084	Custodial services	6,901,403
LS Power Development 1700 Broadway New York, NY 10019	Investment management	3,294,850
Natural Gas Partners 125 E John Carpenter Freeway Irving, TX 75062	Investment management	2,699,440
Europa Capital LLP 132 Sloane St London SW1X9AX UK	Investment management	1,804,703
Denham Capital Management 200 Clarendon St Boston, MA 60601	Investment management	1,547,329

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

318

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	907,988				
	d	Related organizations	1d					
	e	Government grants (contributions)	1e					
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	199,775,230				
	g	Noncash contributions included in lines 1a-1f \$ 11,986,031						
	h	Total. Add lines 1a-1f		200,683,218				
Program Service Revenue			Business Code					
	2a	Tuition and fees	900,099	726,246,495	726,246,495			
	b	Research activities	900,099	485,302,957	485,302,957			
	c	Educational activities	900,099	116,216,209	116,216,209			
	d	Auxiliary enterprises	900,099	74,842,418	74,842,418			
	e	Medical departments	900,099	28,732,940	28,732,940			
	f	All other program service revenue		23,235,992	23,235,992			
	g	Total. Add lines 2a-2f		1,454,577,011				
Other Revenue	3	Investment income (including dividends, interest and other similar amounts)			126,809,581	4,944,170	121,865,411	
	4	Income from investment of tax-exempt bond proceeds . .						
	5	Royalties			95,633,145		95,633,145	
	6a	(i) Real		(ii) Personal				
		5,269,348						
		2,439,402						
		2,829,946						
	d	Net rental income or (loss)		2,829,946			2,829,946	
	7a	(i) Securities		(ii) Other				
		668,356,014		813,887,184				
		633,196,178		622,445,819				
		35,159,836		191,441,365				
	d	Net gain or (loss)		226,601,201	52,601		226,548,600	
	8a	Gross income from fundraising events (not including \$ 907,988 of contributions reported on line 1c) See Part IV, line 18						
	a	172,781						
	b	Less direct expenses		119,667				
	c	Net income or (loss) from fundraising events . .		53,114			53,114	
	9a	Gross income from gaming activities See Part IV, line 19						
a								
b	Less direct expenses							
c	Net income or (loss) from gaming activities . .							
10a	Gross sales of inventory, less returns and allowances							
a								
b	Less cost of goods sold							
c	Net income or (loss) from sales of inventory . .							
Miscellaneous Revenue			Business Code					
11a	Alumni affinity card		900,099	428,572			428,572	
b	Alumni travel study		561,520	142,910		142,910		
c	Investment in partners		523,000	-11,522,149		-11,522,149		
d	All other revenue			102,225		102,225		
e	Total. Add lines 11a-11d			-10,848,442				
12	Total revenue. See Instructions			2,096,338,774	1,459,573,782	-11,277,014	447,358,788	

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	45,348,686	45,348,686		
2	Grants and other assistance to individuals in the U S See Part IV, line 22	196,307,547	196,307,547		
3	Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16	38,211,758	38,211,758		
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees	10,117,187	1,443,424	8,247,286	426,477
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7	Other salaries and wages	678,163,317	610,339,360	51,876,083	15,947,874
8	Pension plan contributions (include section 401(k) and section 403(b) employer contributions)	56,341,318	50,635,848	4,402,661	1,302,809
9	Other employee benefits	56,635,113	50,426,218	4,791,132	1,417,763
10	Payroll taxes	48,269,058	43,402,627	3,755,211	1,111,220
11	Fees for services (non-employees)				
a	Management				
b	Legal	4,378,527		4,378,527	
c	Accounting	691,320		691,320	
d	Lobbying	595,306		595,306	
e	Professional fundraising See Part IV, line 17	196,264			196,264
f	Investment management fees	88,261,058		88,261,058	
g	Other	181,120,120	158,561,573	20,982,083	1,576,464
12	Advertising and promotion	14,535,082	10,225,204	927,978	3,381,900
13	Office expenses	116,993,277	97,131,339	18,718,375	1,143,563
14	Information technology	22,360,462	22,310,723	24,151	25,588
15	Royalties	33,268,376	33,268,376		
16	Occupancy	118,711,418	117,782,752	597,160	331,506
17	Travel	54,924,829	54,023,791	379,406	521,632
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	20,281,282	19,921,854	275,014	84,414
20	Interest	28,948,372		28,948,372	
21	Payments to affiliates				
22	Depreciation, depletion, and amortization	104,963,493	101,250,113	2,705,672	1,007,708
23	Insurance				
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	Sundry payments	63,576,017	62,309,214	1,083,225	183,578
b					
c					
d					
e					
f	All other expenses				
25	Total functional expenses. Add lines 1 through 24f	1,983,199,187	1,712,900,407	241,640,020	28,658,760
26	Joint costs. Check here <input type="checkbox"/> 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)		(B)
					Beginning of year		End of year
Assets	1	Cash—non-interest-bearing				1	
	2	Savings and temporary cash investments			161,110,520	2	235,882,939
	3	Pledges and grants receivable, net			153,886,000	3	85,689,000
	4	Accounts receivable, net			284,670,741	4	318,612,841
	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			52,717,905	7	48,636,928
	8	Inventories for sale or use			3,597,191	8	2,772,023
	9	Prepaid expenses and deferred charges			58,356,139	9	62,973,901
	10a	Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a	2,465,814,024			
	b	Less accumulated depreciation	10b	984,522,309	1,436,227,439	10c	1,481,291,715
	11	Investments—publicly traded securities			521,807,695	11	493,546,481
	12	Investments—other securities See Part IV, line 11			5,176,284,925	12	5,611,657,293
	13	Investments—program-related See Part IV, line 11			13,081,496	13	167,896
	14	Intangible assets				14	
	15	Other assets See Part IV, line 11			58,505,834	15	21,597,420
	16	Total assets. Add lines 1 through 15 (must equal line 34)			7,920,245,885	16	8,362,828,437
Liabilities	17	Accounts payable and accrued expenses			210,922,360	17	207,729,076
	18	Grants payable				18	
	19	Deferred revenue			303,351,876	19	319,148,544
	20	Tax-exempt bond liabilities			611,165,655	20	608,412,043
	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			215,000,000	23	200,000,000
	24	Unsecured notes and loans payable to unrelated third parties				24	
	25	Other liabilities Complete Part X of Schedule D			250,322,612	25	243,514,805
	26	Total liabilities. Add lines 17 through 25			1,590,762,503	26	1,578,804,468
Net Assets or Fund Balances	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.						
	27	Unrestricted net assets			3,699,050,382	27	4,047,334,969
	28	Temporarily restricted net assets			1,621,873,000	28	1,698,125,000
	29	Permanently restricted net assets			1,008,560,000	29	1,038,564,000
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> 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			6,329,483,382	33	6,784,023,969
	34	Total liabilities and net assets/fund balances			7,920,245,885	34	8,362,828,437

Part XI **Financial Statements and Reporting**

	Yes	No
1 Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> 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? . . .		No
b Were the organization's financial statements audited by an independent accountant?	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	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 <input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> 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?	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 . . .	Yes	

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

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Name of the organization Northwestern University	Employer identification number 36-2167817
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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?

(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?

(ii)

a family member of a person described in (i) above?

(iii)

a 35% controlled entity of a person described in (i) or (ii) above?

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?		(v) Did you notify the organization in col (i) of your support?		(vi) Is the organization in col (i) organized in the U S ?		(vii) Amount of support?
			Yes	No	Yes	No	Yes	No	
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 IIISupport 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
1Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")						
2Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3Gross receipts from activities that are not an unrelated trade or business under section 513						
4Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5The value of services or facilities furnished by a governmental unit to the organization without charge						
6Total. Add lines 1 through 5						
7aAmounts included on lines 1, 2, and 3 received from disqualified persons						
bAmounts 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						
cAdd lines 7a and 7b						
8Public 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
9Amounts from line 6						
10aGross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
bUnrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
cAdd lines 10a and 10b						
11Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13Total support (Add lines 9, 10c, 11 and 12.)						
14First 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

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

Section D. Computation of Investment Income Percentage

17Investment income percentage for 2009 (line 10c column (f) divided by line 13 column (f))	17	
18Investment income percentage from 2008 Schedule A, Part III, line 17	18	
19a33 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		
b33 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		
20Private 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

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

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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 Northwestern University	Employer identification number 36-2167817
---	--

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)		785,982													
c Total lobbying expenditures (add lines 1a and 1b)		785,982													
d Other exempt purpose expenditures		2,007,784,036													
e Total exempt purpose expenditures (add lines 1c and 1d)		2,008,570,018													
f Lobbying nontaxable amount Enter the amount from the following table in both columns		1,000,000													
<table><tr><td>If the amount on line 1e, column (a) or (b) is:</td><td>The lobbying nontaxable amount is:</td></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000</td></tr></table>		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		
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														
g Grassroots nontaxable amount (enter 25% of line 1f)		250,000													
h Subtract line 1g from line 1a If zero or less, enter -0-		0													
i Subtract line 1f from line 1c If zero or less, enter -0-		0													
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?		<div><input type="checkbox"/> Yes <input type="checkbox"/> No</div>													

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	1,000,000	1,000,000	1,000,000	1,000,000	4,000,000
b Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000
c Total lobbying expenditures	644,715	732,476	745,207	785,982	2,908,380
d Grassroots non-taxable amount	250,000	250,000	250,000	250,000	1,000,000
e Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000
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)		(b)
		Yes	No	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?			
	b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?			
	c Media advertisements?			
	d Mailings to members, legislators, or the public?			
	e Publications, or published or broadcast statements?			
	f Grants to other organizations for lobbying purposes?			
	g Direct contact with legislators, their staffs, government officials, or a legislative body?			
	h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?			
	i Other activities? If "Yes," describe in Part IV			
	j Total lines 1c through 1i			
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
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

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
Northwestern University

Employer identification number
36-2167817

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	1
2	Aggregate contributions to (during year)	88,059
3	Aggregate grants from (during year)	607,500
4	Aggregate value at end of year	12,697,823
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? <div>Yes No</div>	
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? <div>Yes No</div>	

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
2a	
2b	
2c	
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 ▶ \$

For Privacy Act and Paperwork Reduction Act Notice, see the Intructions for Form 990

Cat No 52283D

Schedule D (Form 990) 2009

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

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

	Amount
1c	
1d	
1e	
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	4,398,200,000	5,378,142,000			
b Contributions	61,037,000	49,755,000			
c Investment earnings or losses	400,914,000	-902,883,000			
d Grants or scholarships	11,750,000	15,536,000			
e Other expenditures for facilities and programs	121,461,000	110,979,000			
f Administrative expenses		299,000			
g End of year balance	4,726,940,000	4,398,200,000			

2

Provide the estimated percentage of the year end balance held as

a

Board designated or quasi-endowment ▶ 47.000 %

b

Permanent endowment ▶ 20.000 %

c

Term endowment ▶ 33.000 %

3a

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

(i) unrelated organizations

3a(i)

No

(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		28,359,768		28,359,768
b Buildings		2,001,584,698	719,455,567	1,282,129,131
c Leasehold improvements		4,743,374	2,378,131	2,365,243
d Equipment		431,126,184	262,688,611	168,437,573
e Other				
Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) ▶				1,481,291,715

Schedule D (Form 990) 2009

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	
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	
3	Excess or (deficit) for the year Subtract line 2 from line 1	3	
4	Net unrealized gains (losses) on investments	4	
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	Total adjustments (net) Add lines 4 - 8	9	
10	Excess or (deficit) for the year per financial statements Combine lines 3 and 9	10	

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	
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12		
a	Net unrealized gains on investments	2a	
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	
3	Subtract line 2e from line 1	3	
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	
c	Add lines 4a and 4b	4c	
5	Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12)	5	

Part XIII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1	Total expenses and losses per audited financial statements	1	
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	
e	Add lines 2a through 2d	2e	
3	Subtract line 2e from line 1	3	
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	

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
Part III, Line 1a		The University does not capitalize collections. As stated in the University notes to the financial statements, the accounting policy for library collections is to expense all purchases. Museum purchases are accounted for similarly. Gifts of art and similar tangible personal property are accounted for as gifts-in-kind.
Part X	Description of Uncertain Tax Positions Under FIN 48	In accordance with the requirements of the FASB ASC Income Taxes Topic, the University makes an assessment of individual tax positions and follows a process for recognition and measurement of uncertain tax positions. Tax positions are evaluated on whether they meet the "more likely than not" standard for sustainability on examination by tax authorities.
		Part X, line 25, Asset Retirement Obligations. The University follows the FASB Interpretation No. 47, "Accounting for Conditional Asset Retirement Obligations-An Interpretation of FASB Statement No. 143"(FIN 47). FIN 47 clarifies the term conditional asset retirement obligation as it is used in SFAS No. 143, "Accounting for Asset Retirement Obligations," and requires a liability to be recorded if the fair value of the obligation to retire an asset can be reasonably estimated. Asset retirement obligations covered by FIN 47 include those for which an entity has a legal obligation to perform an asset retirement activity, however, the timing and/or method of settling the obligation are conditional on a future event that may or may not be within the control of the entity. In accordance with FIN 47, the University records all known asset retirement obligations for which the fair value of the liability can be reasonably estimated, including certain obligations relating to regulatory remediation.

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 Northwestern University	Employer identification number 36-2167817
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	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?	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?	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 Policies are included in student, faculty, and staff handbooks Policies are also periodically reprinted in school newspapers	Yes	
4 Does the organization maintain the following? a Records indicating the racial composition of the student body, faculty, and administrative staff? b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis? c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships? d Copies of all material used by the organization or on its behalf to solicit contributions? If you answered "No" to any of the above, please explain If you need more space, use Schedule O (Form 990)	Yes	
5 Does the organization discriminate by race in any way with respect to a Students' rights or privileges? b Admissions policies? c Employment of faculty or administrative staff? d Scholarships or other financial assistance? e Educational policies? f Use of facilities? g Athletic programs? h Other extracurricular activities? If you answered "Yes" to any of the above, please explain If you need more space, use Schedule O (Form 990)		No
6a Does the organization receive any financial aid or assistance from a governmental agency?	Yes	
6b Has the organization's right to such aid ever been revoked or suspended? If you answered "Yes" to either line 6a or line 6b, explain on Schedule O (Form 990)		No
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)	Yes	

[illegible]

20

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)
Grants, stipends and awards to non-resident alien students	Central America and the Caribbean	20	350,542	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	East Asia and the Pacific	839	16,374,286	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	Europe	328	6,673,930	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	Middle East and North Africa	106	2,285,770	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	North America	129	2,258,525	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	Russia and the Newly Independent States	23	580,210	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	South America	84	1,720,550	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	South Asia	194	3,764,916	ACH direct deposit or Check			
Grants, stipends and awards to non-resident alien students	Sub-Saharan Africa	53	997,476	ACH direct deposit or Check			
Grants disbursed during student's enrollment in international program	Central America and the Caribbean	2	26,216	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	East Asia and the Pacific	45	175,397	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	Europe	110	702,438	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	Middle East and North Africa	13	115,012	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	North America	1	11,114	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	South America	58	403,360	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	South Asia	5	47,433	Applied to student account, credits are refunded by check			
Grants disbursed during student's enrollment in international program	Sub-Saharan Africa	14	61,794	Applied to student account, credits are refunded by check			

Additional Data

Software ID:
Software Version:
EIN: 36-2167817
Name: Northwestern University

Form 990 Schedule F Part I - Activities Outside The United States

(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
Middle East and North Africa	1	86	Maintaining offices, employees or agents	International campus in Doha, Qatar for students in journalism and communications	26,413,368
Central America and the Caribbean			Program services	Study abroad programs	51,002
East Asia and the Pacific			Program services	Study abroad programs	845,706
Europe			Program Services	Study abroad programs	1,532,448
East Asia and the Pacific			Fundraising		78,983
Central America and the Caribbean			Program Services	Business travel abroad (includes travel to attend seminars and conferences)	111,824
East Asia and the Pacific			Program services	Business travel abroad (includes travel to attend seminars and conferences)	708,104
Europe			Program services	Business travel abroad (includes travel to attend seminars and conferences)	1,849,208
Middle East and North Africa			Program services	Business travel abroad (includes travel to attend seminars and conferences)	318,086
North America			Program services	Business travel abroad (includes travel to attend seminars and conferences)	350,699
Russia and the Newly Independent States			Program services	Business travel abroad (includes travel to attend seminars and conferences)	14,314
South America			Program services	Business travel abroad (includes travel to attend seminars and conferences)	201,539
South Asia			Program services	Business travel abroad (includes travel to attend seminars and conferences)	107,816
Sub-Saharan Africa			Program services	Business travel abroad (includes travel to attend seminars and conferences)	284,913
Middle East and North Africa			Program services	Study abroad programs	1,994,786
Russia and the Newly Independent States			Program services	Study abroad program	8,294
South America			Program services	Study abroad programs	403,596
South Asia			Program services	Study abroad programs	207,732
Sub-Saharan Africa			Program services	Study abroad programs	765,886
Central America and the Caribbean			Unrelated trade or business		722
East Asia and the Pacific			Unrelated trade or business		243
Europe			Unrelated trade or business		3,135
Middle East and North Africa			Unrelated trade or business		1,472
Russia and the Newly Independent States			Unrelated trade or business		473
South America			Unrelated trade or business		2,107
Central America and the Caribbean			Investments		
Europe			Investments		
North America			Investments		
Sub-Saharan Africa			Investments		
East Asia and the Pacific			Program services	Research	2,143,541
Europe			Program services	Research	1,677,078
Middle East and North Africa			Program services	Research	172,274
North America			Program services	Research	2,022,052
South America			Program services	Research	10,336
South Asia			Program services	Research	217
Sub-Saharan Africa			Program services	Research	164
Central America and the Caribbean			Grantmaking		376,758
East Asia and the Pacific			Grantmaking		16,666,388
Europe			Grantmaking		8,455,143
Middle East and North Africa			Grantmaking		2,531,730
North America			Grantmaking		4,013,008
Russia and the Newly Independent States			Grantmaking		580,210
South America			Grantmaking		2,123,910
South Asia			Grantmaking		3,812,349
Sub-Saharan Africa			Grantmaking		1,151,165

Form 990 Schedule F Part II - Grants or Entities Outside The United States

(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 non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		East Asia and the Pacific	Grant subaward from sponsored research funds	50,668	ACH direct deposit or Check			
		East Asia and the Pacific	Grant subaward from sponsored research funds	66,037	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	726,225	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	136,610	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	135,065	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	70,875	ACH direct deposit or Check			
		Middle East and North Africa	Grant subaward from sponsored research funds	15,563	ACH direct deposit or Check			
		Middle East and North Africa	Grant subaward from sponsored research funds	115,385	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	25,000	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	29,595	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	10,250	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	22,148	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	29,869	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	4,158	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	75,506	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	57,940	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	8,865	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	5,190	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	13,851	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	63,989	ACH direct deposit or Check			

SCHEDULE G
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding
Fundraising or Gaming Activities

Complete if the organization answered "Yes" to Form 990, Part IV, lines 17, 18, or 19,
or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.
▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No. 1545-0047

2009

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I Fundraising Activities. Complete if the organization answered "Yes" to Form 990, Part IV, line 17.
Form 990-EZ filers are not required to complete this part.

- 1 Indicate whether the organization raised funds through any of the following activities. Check all that apply.
- a ☒ Mail solicitations

e ☒ Solicitation of non-government grants

b ☒ Internet and e-mail solicitations

f ☒ Solicitation of government grants

c ☒ Phone solicitations

g ☒ Special fundraising events

d ☒ In-person solicitations
- 2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising activities? ☒ Yes ☐ No
- b If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization. Form 990-EZ filers are not required to complete this table.

(i) Name of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions?		(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col (i)	(vi) Amount paid to (or retained by) organization
		Yes	No			
RuffaloCODY	Phone solicitation		No	497,870	119,790	400,172
Carol O'Brien Associates	Campaign counseling		No	0	22,960	0
R & R Newkirk	Gift planning marketing		No	0	46,689	0
Target Analytics	Campaign counseling		No	0	6,825	0
Total ▶				497,870	196,264	400,172

Part II Fundraising Events. Complete if the organization answered "Yes" to Form 990, Part IV, line 18, or reported more than \$15,000 on Form 990-EZ, line 6a. List events with gross receipts greater than \$5,000.

Revenue			(a) Event #1	(b) Event #2	(c) Other Events	(d) Total Events
			Dance Marathon	Brain Tumor	1	(Add col (a) through
			(event type)	Institute Fundraiser	(total number)	col (c))
1	Gross receipts	632,640	385,895	62,234	1,080,769
2	Less Charitable contributions	586,061	301,293	20,634	907,988
3	Gross income (line 1 minus line 2)	46,579	84,602	41,600	172,781
Direct Expenses	4	Cash prizes			
	5	Non-cash prizes			
	6	Rent/facility costs	60,883	5,575	66,458
	7	Food and beverages		23,425	23,425
	8	Entertainment	7,070	3,500	10,570
	9	Other direct expenses	14,208	5,006	19,214
	10	Direct expense summary Add lines 4 through 9 in column (d)				119,667
	11	Net income summary Combine lines 3, column d, and line 10.				53,114

Part III Gaming. Complete if the organization answered "Yes" to Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

Revenue			(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming
						(Add col (a) through col (c))
1	Gross revenue				
Direct Expenses	2	Cash prizes			
	3	Non-cash prizes			
	4	Rent/facility costs			
	5	Other direct expenses			
	6	Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
	7	Direct expense summary Add lines 2 through 5 in column (d)				
	8	Net gaming income summary Combine lines 1, column d, and line 7				

			Yes	No
9	Enter the state(s) in which the organization operates gaming activities _____			
a	Is the organization licensed to operate gaming activities in each of these states?	9a		
b	If "No," Explain _____			
10a	Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year?	10a		
b	If "Yes," Explain _____			
11	Does the organization operate gaming activities with nonmembers?	11		
12	Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming?	12		

		Yes	No
13	Indicate the percentage of gaming activity operated in		
a	The organization's facility 13a		
b	An outside facility 13b		
14	Enter the name and address of the person who prepares the organization's gaming/special events books and records		
Name ► _____			
Address ► _____			
15a	Does the organization have a contract with a third party from whom the organization receives gaming revenue?	15a	
b	If "Yes," enter the amount of gaming revenue received by the organization ► \$ _____ and the amount of gaming revenue retained by the third party ► \$ _____		
c	If "Yes," enter name and address		
Name ► _____			
Address ► _____			
16	Gaming manager information		
Name ► _____			
Gaming manager compensation ► \$ _____			
Description of services provided ► _____			
<input type="checkbox"/> Director/officer <input type="checkbox"/> Employee <input type="checkbox"/> Independent contractor			
17	Mandatory distributions		
a	Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license?	17a	
b	Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ► \$ _____		

Schedule I
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Northwestern University

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

Employer identification number

36-2167817

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
See Additional Data Table							

2

Enter total number of section 501(c)(3) and government organizations

▶ 166

3

Enter total number of other organizations

▶ 35

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
Student grants, scholarships, and fellowships are financial aid that can be used towards any type of educational related costs	9483	175,954,155			
Prizes and awards reflect prizes and awards to non-employees in recognition of an accomplishment, activity, or event	221	387,369			
Program-related investments student loans	213	2,416,577			
Other program-related investments	58	2,938,960			

Part IV **Supplemental Information.** Complete this part to provide the information required in Part I, line 2, and any other additional information.

[illegible]

Software ID:
Software Version:
EIN: 36-2167817
Name: Northwestern University

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Evanston Community Foundation Inc1007 Church St Ste 108 Evanston, IL 60201	36-3466802	501(c)(3)	62,696				Charitable fundraising conducted by student org & support of charitable community organization
Fabretto Children's Foundation3124 North 10th Street Arlington, VA 22201	36-3894824	501(c)(3)	13,844				Charitable fundraising conducted by student organization
Partners in HealthPO Box 845578 Boston, MA 02284	04-3567502	501(c)(3)	15,341				Charitable fundraising conducted by student organization
American Red Cross2200 W Harrison St Chicago, IL 60612	53-0196605	501(c)(3)	9,078				Charitable fundraising conducted by student organization
Metrosquash5655 S University Ave Chicago, IL 60637	20-2614486	501(c)(3)	8,000				Charitable fundraising conducted by student organization
Link Community Development824 W Superior Street Ste312 Chicago, IL 60642	20-8023219	501(c)(3)	8,000				Charitable fundraising conducted by student organization
Gift of AdoptionPO Box 567 Techny, IL 60082	36-1863217	501(c)(3)	8,000				Charitable fundraising conducted by student organization
Young America's Foundation110 Elden St Herndon, VA 20170	23-7042029	501(c)(3)	7,500				Charitable fundraising conducted by student organization
People's Music School Inc931 W Eastwood Ave Chicago, IL 60640	51-0192597	501(c)(3)	6,800				Charitable fundraising conducted by student organization
Habitat for Humanity Lake County IL Inc315 N Martin Luther King Jr Ave Waukegan, IL 60085	36-3659288	501(c)(3)	17,000				Charitable fundraising conducted by student organization

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) A mount of cash grant	(e) A mount of non-cash assistance	(f) Method of valuation (book, FMV , appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Chicago Academy of Sciences2430 N Cannon Dr Chicago,IL 60614	36-0895575	501(c)(3)	50,000				Support of charitable community organizations
Chicago Botanic Garden (Chicago Horticultural Society)1000 Lake Cook Rd Glencoe,IL 60022	36-2225482	501(c)(3)	115,000				Support of charitable community organizations
Lyric Opera of Chicago20 North Wacker Drive Ste 860 Chicago,IL 60606	36-6008929	501(c)(3)	7,500				Support of charitable community organizations
The Art Institute of Chicago111 S Michigan Ave Chicago,IL 60603	36-2167725	501(c)(3)	11,000				Support of charitable community organizations
Ravinia Festival418 Sheridan Road Highland Park,IL 60035	36-6002273	501(c)(3)	6,000				Support of charitable community organizations
United Way of Metropolitan Chicago560 W Lake St Chicago,IL 60661	36-0200478	501(c)(3)	15,000				Support of charitable community organizations
Orchestral Association of the Chicago Symphony220 S Michigan Ave Chicago,IL 60604	38-2167823	501(c)(3)	15,000				Support of charitable community organizations
Health for Humanity415 Linden Ave Ste B Wilmette,IL 60091	36-3820640	501(c)(3)	10,000				Support of charitable community organizations
Field Museum1400 S Lake Shore Drive Chicago,IL 60605	36-2167011	501(c)(3)	10,000				Support of charitable community organizations
Millennium Park IncDT 111 S Wacker Drive Chicago,IL 60602	36-4244167	501(c)(3)	10,000				Support of charitable community organizations

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

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EVMark1560 Sherman Ave Evanston, IL 60201	36-3571291	501(c)(6)	19,200				Support of charitable community organizations
Chicago's North Shore Convention & Visitors' Bureau8001 Lincoln Ave Ste715 Skokie, IL 60077	36-4449110	501(c)(6)	25,000				Support of charitable community organizations
Evanston Public Library1703 Orrington Ave Evanston, IL 60201	36-3286198	501(c)(3)	10,000				Support of charitable community organization
Foundation 65PO Box 750 Evanston, IL 60204	36-4003165	501(c)(3)	36,666				Support of charitable community organizations
McGaw YMCA1420 Maple Ave Evanston, IL 60201	36-2169194	501(c)(3)	25,000				Support of charitable community organizations
City of Evanston2100 Ridge Ave Evanston, IL 60201	36-6005870	115	549,485				Support of local governmental organization
Garrett-Evangelical Theological Seminary2121 Sheridan Rd Evanston, IL 60201	36-2167085	501(c)(3)	7,500				Support of charitable community organizations
Northwestern Medical Faculty Foundation680 N Lakeshore Dr Chicago, IL 60611	36-3097297	501(c)(3)	1,808,483				Support of research activities
12th Man FoundationBernard C Richardson Zone at Kyle Field Suite 12 College Station, TX 77841	74-1185725	501(c)(3)	30,236				Support of research activities
AAAS1200 New York Avenue NW Washington, DC 20005	53-0196568	501(c)(3)	100,762				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Access Community Health Network222 N Canal St Chicago,IL 60606	36-3317058	501(c)(3)	183,030				Support of research activities
Access DuPage511 Thornhill Dr M Carol Stream,IL 60188	36-4448208	501(c)(3)	415,819				Support of research activities
Adler Planetarium & Astronomy Museum1300 S Lake Shore Dr Chicago,IL 60605	36-6210902	501(c)(3)	13,874				Support of research activities
ADT Security Services Inc1 Town Center Road Boca Raton,FL 33486	58-1814102		92,743				Support of research activities
Advocate Hope Childrens Hospital4440 W 95th St Oak Lawn,IL 60453	36-2169147	501(c)(3)	22,364				Support of research activities
Advocate Lutheran General Hospital1775 W Dempster St Park Ridge,IL 60068	36-2169147	501(c)(3)	22,364				Support of research activities
AIDS Arms Inc219 Sunset Ave Dallas,TX 75208	75-2306145	501(c)(3)	278,450				Support of research activities
Albert Einstein College of Medicine1300 Morris Park Avenue Bronx,NY 10461	13-1624225	501(c)(3)	66,412				Support of research activities
Amarillo Heart Group1901 Port Lane Amarillo,TX 79106	83-0362959	501(c)(3)	5,590				Support of research activities
American Cancer Society Illinois Division Inc225 N Michigan Ste 1200 Chicago,IL 60601	23-7040934	501(c)(3)	90,649				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
American Institutes for Research1000 Thomas Jefferson St NW Washington, DC 20007	25-0965219	501(c)(3)	63,637				Support of research activities
American Lung Association1301 Pennsylvania Ave NW Suite 800 Washington, DC 20004	13-1632524	501(c)(3)	57,152				Support of research activities
Asian Human Services4753 N Broadway Suite 700 Chicago, IL 60640	36-3005889	501(c)(3)	8,625				Support of research activities
Baptist Hospital of Miami8900 N Kendall Drive Miami, FL 33176	59-0910342	501(c)(3)	8,960				Support of research activities
Boston College140 Commonwealth Ave Chestnut Hill, MA 02467	04-2103545	501(c)(3)	39,673				Support of research activities
Boston Imaging Core Lab LLC580 Harrison Avenue Boston, MA 02118	26-1215497		41,040				Support of research activities
Boston Medical CenterOne Boston Medical Center Place Boston, MA 02118	04-3314093	501(c)(3)	11,905				Support of research activities
Boys & Girls Clubs of Chicago550 W Van Buren Street Suite 350 Chicago, IL 60607	36-2166997	501(c)(3)	10,824				Support of research activities
Brentwood Biomedical Research Institute Inc11301 Wilshire Blvd Los Angeles, CA 90073	95-4183712	501(c)(3)	8,840				Support of research activities
Brigham and Women's Hospital75 Francis St Boston, MA 02115	04-2312909	501(c)(3)	614,467				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

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Cabot Security Materials Inc 325 E Middlefield Road Mountain View, CA 94043	26-2158716		493,039				Support of research activities
Campbell-Kibler Associates Inc 80 Lakeside Dr Groton, MA 01450	04-3297519		70,135				Support of research activities
Cardiology PC 801 Princeton Ave SW Birmingham, AL 35211	63-0710054		92,836				Support of research activities
Carleton College One North College St Northfield, MN 55057	41-0694747	501(c)(3)	60,486				Support of research activities
Case Western Reserve University 10900 Euclid Ave Cleveland, OH 44106	34-1018992	501(c)(3)	33,321				Support of research activities
Chicago State University 9501 South King Drive Chicago, IL 60628	36-2580815	115	29,424				Support of research activities
Children's Memorial Hospital 2300 N Lincoln Ave Chicago, IL 60614	36-2170833	501(c)(3)	3,095,960				Support of research activities
Christopher Newport University 1 University Pl Newport News, VA 23606	54-0701501	115	14,484				Support of research activities
Cold Spring Harbor Laboratory One Bungtown Road Cold Spring Harbor, NY 11724	11-2013303	501(c)(3)	19,309				Support of research activities
Colorado State University 203 Administration Building Fort Collins, CO 80523	84-6000546	115	27,106				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Columbia University615 W 131st Street New York, NY 10027	13-1624202	501(c)(3)	44,617				Support of research activities
Cornell University222 Day Hall Ithaca, NY 14853	15-0532082	501(c)(3)	268,862				Support of research activities
Cutting Corporation4940 Hampden Ln Bethesda, MD 20814	52-0944767		6,495				Support of research activities
Dana-Farber Cancer Institute44 Binney Street Boston, MA 02115	07-6580745		72,131				Support of research activities
Dartmouth College420 Lexington Ave New York, NY 10170	02-0222111	501(c)(3)	22,379				Support of research activities
David Ostrow & Associates5455 N Sheridan Road Suite 2503 Chicago,IL 60640	20-5241516		25,083				Support of research activities
Duke UniversityChapel Dr Durham, NC 27705	56-0532129	501(c)(3)	21,889				Support of research activities
East Bay Institute for Research and Education150 Muir Road 151-I Martinez, CA 64553	68-0177975	501(c)(3)	124,065				Support of research activities
Emory University201 Dowman Dr Atlanta, GA 30322	58-0566256	501(c)(3)	54,360				Support of research activities
Family Care Health Centers401 Holly Hills Ave St Louis, MO 63111	23-7076112		63,413				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Fisk University1000 17th Ave N Nashville, TN 37208	62-0202000	501(c)(3)	20,705				Support of research activities
G4 Capital Partners14 Skillman Street Roslyn, NY 11576	20-4262458		15,000				Support of research activities
GeoEngineers Inc600 Stewart St Ste 1700 Seattle, WA 98101	91-6237984		10,638				Support of research activities
George Washington University2121 I Street NW Washington, DC 20052	53-0196584	501(c)(3)	58,690				Support of research activities
H Lee Moffit Cancer Center & Research Institute12902 Magnolia Ave Tampa, FL 33612	59-2451713	501(c)(3)	10,196				Support of research activities
Hampton University100 E Queen St Hampton, VA 23668	54-0505990	501(c)(3)	34,008				Support of research activities
Harvard University Massachusetts Hall Cambridge, MA 02138	04-2103580	501(c)(3)	103,729				Support of research activities
Health Research and Educational Trust155 N Wacker Ste 400 Chicago, IL 60606	36-2203931	501(c)(3)	17,076				Support of research activities
Health Research Incorporated Roswell Park Cancer Institute DivisionElm Carlton Sts Buffalo, NY 14263	14-1402155		78,415				Support of research activities
Hektoen Institute for Medical Research2240 W Ogden Ave Chicago, IL 60612	36-2244897	501(c)(3)	85,621				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Hematology Oncology Associates of Illinois Inc676 N St Clair Street Suite 2140 Chicago,IL 60611	36-4117454		36,159				Support of research activities
Hinshaw & Culbertson LLP222 N LaSalle Street Suite 300 Chicago,IL 60601	36-2128133		12,500				Support of research activities
Horizon Research Inc326 Cloister Ct Chapel Hill,NC 27514	56-1550276		8,948				Support of research activities
Howard Brown Health Center4025 N Sheridan Road Chicago,IL 60613	36-2894128	501(c)(3)	173,241				Support of research activities
Illinois Institute of Technology3300 S Federal St Chicago,IL 60616	36-2170136	501(c)(3)	30,652				Support of research activities
Indiana University107 S Indiana Ave Bloomington,IN 47405	35-6001673	115	297,198				Support of research activities
IP3 Inc1320 N Michigan Avenue Saginaw,MI 48602	20-0660686		7,500				Support of research activities
J Craig Venter Institute9704 Medical Center Drive Rockville,MD 20850	52-1842938	501(c)(3)	675,512				Support of research activities
Jasculca Terman and Associates Inc730 N Franklin Street Suite 510 Chicago,IL 60654	36-3136983		155,080				Support of research activities
Johns Hopkins University1101 E 33rd St Baltimore,MD 21218	52-0595110	501(c)(3)	228,252				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Kaiser Foundation Research InstitutePO Box 378066 Denver, CO 80237	94-1105628	501(c)(3)	24,607				Support of research activities
Lextech Labs3080 Ogden Avenue Suite 200 Lisle, IL 60532	26-3043481		25,000				Support of research activities
Louisiana State University3848 W Lakeshore Dr Baton Rouge, LA 70808	72-6087770	115	44,323				Support of research activities
Loyola University Chicago1032 W Sheridan Rd Chicago, IL 60660	36-1408475	501(c)(3)	83,021				Support of research activities
Massachusetts General Hospital55 Fruit St Boston, MA 02114	04-1564655	501(c)(3)	162,999				Support of research activities
Massachusetts Institute of Technology77 Massachusetts Ave Cambridge, MA 02142	04-2103594	501(c)(3)	77,999				Support of research activities
Materials & Electrochemical Research Corporation7960 South Kolb Road Tucson, AZ 85706	86-0530946		24,503				Support of research activities
Mayo Clinic Rochester200 First St SW Rochester, MN 55905	41-6011702	501(c)(3)	62,406				Support of research activities
Medical College of Wisconsin8701 Watertown Plank Rd Milwaukee, WI 53226	39-0806261	501(c)(3)	84,071				Support of research activities
Medical University of South Carolina179 Ashley Avenue Charleston, SC 29425	57-6000722	115	35,968				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Memorial Hospital of Rhode Island111 Brewster St Pawtucket, RI 02680	05-0259004	501(c)(3)	58,851				Support of research activities
Memorial Sloan-Kettering Cancer Center1275 York Avenue New York, NY 10065	13-1624182	501(c)(3)	180,000				Support of research activities
Michigan State University 113 Angell Bldg East Lansing, MI 48824	38-6005984	115	403,669				Support of research activities
Morehouse College830 Westview Dr SW Atlanta, GA 30314	58-0566205	501(c)(3)	15,342				Support of research activities
Mount Sinai HospitalOne Gustave L Levy Pl New York, NY 10029	13-1624096	501(c)(3)	9,354				Support of research activities
Moveo Integrated Branding Inc1 Parkview Plaza Suite 150 Oakbrook Terrace, IL 60181	36-3528800		15,000				Support of research activities
Nanosonix Inc8025 Lamon Avenue Skokie, IL 60077	26-2268972		135,603				Support of research activities
National Comprehensive Cancer Network275 Commerce Dr Suite 300 Fort Washington, PA 19034	23-2818395	501(c)(3)	10,000				Support of research activities
National Geographic Society 1145 17th St NW Washington, DC 20036	53-0193519	501(c)(3)	50,638				Support of research activities
neubottlecom134 Crichton Ln Palatine, IL 60067	20-2861821		16,910				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
North Carolina State UniversityCampus Box 7001 A Holladay Hall Raleigh, NC 27695	56-6000756	115	26,147				Support of research activities
NorthShore University HealthSystem Research Institute2650 Ridge Ave Evanston, IL 60201	36-4191793	501(c)(3)	2,142,058				Support of research activities
Northwestern Memorial Hospital251 E Huron St Chicago, IL 60611	37-0960170	501(c)(3)	1,670,281				Support of research activities
NOVA Scripts Central Inc6400 Arlington Blvd Falls Church, VA 22042	65-1275162		78,860				Support of research activities
Ohio State University154 W 12th Ave Columbus, OH 43210	31-6025986	115	65,842				Support of research activities
Ohio UniversityCutler Hall 108 Athens, OH 45701	31-6025986	115	51,969				Support of research activities
OhioHealth Research and Innovation Institute3545 Olentangy River Road Columbus, OH 43214	31-6059784	501(c)(3)	6,580				Support of research activities
Oncology Specialists SC1700 Luther Lane Park Ridge, IL 60068	36-4380012		5,338				Support of research activities
Oregon Health & Science University3181 Southwest Sam Jackson Park Rd Portland, OR 97239	93-1176109	115	53,345				Support of research activities
Orlando Regional Medical Center1414 Kuhl Avenue Orlando, FL 32806	59-1726273	501(c)(3)	7,420				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
OSF Saint Francis Medical Center530 NE Glen Oak Avenue Peoria,IL 61637	37-0662569		21,184				Support of research activities
Pacific Health Research & Education Institute3375 Koapaka Street Suite I-540 Honolulu,HI 96819	99-0303308	501(c)(3)	7,762				Support of research activities
Parkinson's Institute and Clinical Center675 Almanor Avenue Sunnyvale,CA 94085	94-3061594	501(c)(3)	15,558				Support of research activities
Patient Safety Organization One Inc4950 W Dickman Rd Battle Creek,MI 49037	26-1107459		62,773				Support of research activities
Pennsylvania State University308 Old Main University Park,PA 16802	24-6000376	115	174,238				Support of research activities
Pinnacle Technology681 Lawlins Road Wyckoff,NJ 07481	74-2818617		209,419				Support of research activities
Princeton UniversityOffice of Administration Princeton,NJ 08544	21-0634501	501(c)(3)	11,564				Support of research activities
Purdue UniversityOffice of Administration West Lafayette,IN 47906	35-6002041	115	61,276				Support of research activities
Quest Clinical Research 2300 Sutter Street Suite 202 San Francisco,CA 94115	94-3307206		23,310				Support of research activities
Rehabilitation Institute Research Corporation345 E Superior St Chicago,IL 60611	36-3728711	501(c)(3)	1,169,218				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Rehabilitation Institute Research Corporation345 E Superior St Chicago,IL 60611	36-3728711	501(c)(3)	1,000				Support of charitable community organization
Rensselaer Polytechnic Institute110 8th St Troy, NY 12180	14-1340095	501(c)(3)	5,490				Support of research activities
Rice University6100 Main St Houston,TX 77005	74-1109620	501(c)(3)	10,138				Support of research activities
Rockefeller University1230 York Avenue New York,NY 10065	13-1624158	501(c)(3)	444,428				Support of research activities
Rush University Medical Center1653 W Congress Parkway Chicago,IL 60612	36-2174823	501(c)(3)	1,861,378				Support of research activities
SA Ignite LLC924 South Hillside Ave Elmhurst,IL 60126	27-0288669		56,250				Support of research activities
Saint Francis Hospital and Medical Center114 Woodland St Hartford,CT 06105	47-0376601	501(c)(3)	118,955				Support of research activities
Salk Institute10010 North Torrey Pines Road La Jolla,CA 92037	95-2160097	501(c)(3)	54,730				Support of research activities
Santa Fe Institute1399 Hyde Park Rd Santa Fe,NM 87501	85-0325494	501(c)(3)	32,265				Support of research activities
Scott & White Memorial Hospital2401 S 31st Street Temple,TX 76508	74-1166904	501(c)(3)	18,220				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
Scripps Research Institute 10550 North Torrey Pines Road La Jolla, CA 92037	33-0435954	501(c)(3)	410,823				Support of research activities
SemanticBits LLC13921 Park Center Rd Ste 420 Herndon,VA 20171	20-0446789		206,261				Support of research activities
SRI International201 Washington Road Princeton,NJ 08540	94-1160950	501(c)(3)	27,539				Support of research activities
St Jude Children's Research Hospital4619 N Ravenswood Ave Chicago,IL 60640	62-0646012	501(c)(3)	25,341				Support of research activities
Stanford University295 Galvez St Stanford,CA 94305	94-1156365	501(c)(3)	742,751				Support of research activities
State University of New York Research Foundation353 Broadway Albany, NY 12246	14-1368361	501(c)(3)	101,582				Support of research activities
Tech-Synergy Inc6789 Quail Hill Parkway Irvine,CA 92603	95-4857456		38,823				Support of research activities
The Northeast Missouri Health Council Inc314 E McPherson St Kirksville, MO 63501	43-1606173	501(c)(3)	96,447				Support of research activities
Thomas Jefferson University 1020 Walnut St Philadelphia, PA 19107	23-1352651	501(c)(3)	183,521				Support of research activities
UChicago Argonne LLC Argonne National Laboratory 9500 Cass Ave Argonne,IL 60439	68-0628477		176,405				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
United BioSource Corporation 7501 Wisconsin Ave Ste 705 Bethesda, MD 20814	54-1759539		86,080				Support of research activities
University of Alabama at Birmingham 1530 3rd Ave South Birmingham, AL 35294	63-6005396	115	59,206				Support of research activities
University of Arizona 617 N Santa Rita Ave Tucson, AZ 85721	74-2652689	115	105,763				Support of research activities
University of California Davis One Shields Ave Davis, CA 95616	94-6036494	115	57,274				Support of research activities
University of California Irvine Office of Administration Irvine, CA 92697	95-2226406	115	303,010				Support of research activities
University of California Los Angeles Hillgard Ave Los Angeles, CA 90095	95-6006143	115	408,257				Support of research activities
University of California San Diego 9500 Gilman Dr La Jolla, CA 92093	95-6006144	115	25,539				Support of research activities
University of California San Francisco 505 Parnassus Ave San Francisco, CA 94143	56-6001393	115	638,687				Support of research activities
University of California Santa Barbara 4105 Cheadle Hall Santa Barbara, CA 93106	95-6006145	115	134,615				Support of research activities
University of California Santa Cruz 1156 High St Santa Cruz, CA 95064	77-0289144	115	56,987				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
University of Chicago5801 S Ellis Ave Chicago, IL 60637	36-2177139	501(c)(3)	5,782,845				Support of research activities
University of Chicago National Opinion Research Center5801 S Ellis Ave Chicago, IL 60637	36-2177139	501(c)(3)	6,737				Support of research activities
University of Cincinnati2600 Clifton Ave Cincinnati, OH 45221	31-6000989	115	24,907				Support of research activities
University of Delaware210 S College Ave Newark, DE 19716	51-6000297	115	47,397				Support of research activities
University of Florida201 Criser Hall Gainesville, FL 32611	59-6002052	115	15,423				Support of research activities
University of Illinois801 S Morgan St Chicago, IL 60607	37-6000511	115	3,725,952				Support of research activities
University of Kentucky100 Funkhouser Bldg Lexington, KY 40506	61-6001218	115	149,704				Support of research activities
University of Maryland2108 Mitchell Bldg College Park, MD 20742	52-6002033	115	37,210				Support of research activities
University of Massachusetts AmherstOffice of Administration Amherst, MA 01003	04-3167352	115	180,653				Support of research activities
University of Medicine and Dentistry of New Jersey150 Bergen St Newark, NJ 07103	22-1775306		34,557				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
University of Miami1252 Memorial Drive Coral Gables, FL 33146	59-0624458	501(c)(3)	75,030				Support of research activities
University of Michigan515 E Jefferson Ann Arbor, MI 48109	38-6000134	115	2,200,726				Support of research activities
University of Minnesota101 Pleasant St Minneapolis, MN 55455	41-6007513	115	166,977				Support of research activities
University of Missouri-Columbia105 Jesse Hall Columbia, MO 65211	43-6003859	115	66,365				Support of research activities
University of Nebraska Medical Center984230 Nebraska Medical Center Omaha, NE 68198	47-0491233	115	95,636				Support of research activities
University of New Mexico1 University of New Mexico Albuquerque, NM 87131	85-6000642	115	21,919				Support of research activities
University of Notre Dame317 Main Building Notre Dame, IN 46556	35-0868188	501(c)(3)	52,833				Support of research activities
University of Oklahoma660 Parrington Oval Norman, OK 73019	73-6017987	115	143,310				Support of research activities
University of Pennsylvania3451 Walnut Street Philadelphia, PA 19104	23-1352685	501(c)(3)	311,499				Support of research activities
University of Pittsburgh4227 Fifth Ave Pittsburgh, PA 15260	25-0965591	501(c)(3)	401,317				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
University of RochesterOffice of Administration Rochester, NY 14627	16-0743209	501(c)(3)	432,351				Support of research activities
University of Southern California1540 Alcazar St Los Angeles, CA 90089	95-1642394	501(c)(3)	281,840				Support of research activities
University of TennesseeKnoxville527 Andy Holt Tower Knoxville, TN 37996	62-6001636	115	270,331				Support of research activities
University of Texas at Austin2100 San Jacinto Blvd Austin, TX 78712	74-6000203	115	102,945				Support of research activities
University of Texas at El Paso500 W University Ave El Paso, TX 79968	74-6000813	115	11,446				Support of research activities
University of Texas at San AntonioOne UTSA Circle San Antonio, TX 78249	74-1717115	115	342,131				Support of research activities
University of Texas M D Anderson Cancer Center 1515 Holcombe Blvd Houston, TX 77030	76-0273984	115	153,290				Support of research activities
University of Texas Southwestern Med Ctr at Dallas5323 Harry Hines Blvd Dallas, TX 75390	75-6002868	115	635,379				Support of research activities
University of Virginia1 College Park Wise, VA 24293	54-6001796	115	1,402,189				Support of research activities
University of Washington1410 NE Campus Parkway Seattle, WA 98195	91-6001537	115	91,778				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
University of Wisconsin-Madison716 Langdon St Madison, WI 53706	39-1805963	115	234,047				Support of research activities
Vanderbilt UniversityOffice of Administration Nashville, TN 37240	62-0476822	501(c)(3)	144,300				Support of research activities
Voices for Illinois Children208 S La Salle Street Suite 1490 Chicago, IL 60604	36-3480909	501(c)(3)	67,500				Support of research activities
Wake Forest University Health Sciences1834 Wake Forest Rd WinstonSalem, NC 27106	90-0222618	501(c)(3)	45,652				Support of research activities
Washington State University PO Box 1495 Spokane, WA 99210	91-6001108	115	187,879				Support of research activities
Washington University in St LouisOne Brookings Dr St Louis, MO 63130	43-0653611	501(c)(3)	643,376				Support of research activities
Westat Inc1600 Research Blvd Rockville, MD 20850	84-0529566		6,819				Support of research activities
Wing Tech Inc9916 Newhall Road Potomac, MD 20854	25-1736195		132,806				Support of research activities
Wright State University3640 Colonel Glenn Hwy Dayton, OH 45435	31-0732831		30,303				Support of research activities
Yale University140 Prospect St New Haven, CT 06511	06-0646973	501(c)(3)	273,552				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

(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
StandUp for Kids83 Walton St Ste 100 Atlanta, GA 30303	33-0414855	501(c)(3)	496,767				Charitable fundraising conducted by student organization

Schedule J
(Form 990)

Compensation Information

OMB No 1545-0047

2009

Open to Public Inspection

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.

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I

Questions Regarding Compensation

		Yes	No
1a	Check the appropriate 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. <div><div><input type="checkbox"/> First-class or charter travel</div><div><input checked="" type="checkbox"/> Travel for companions</div><div><input checked="" type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Discretionary spending account</div><div><input checked="" type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input checked="" type="checkbox"/> Health or social club dues or initiation fees</div><div><input checked="" type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div>		
b	If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision 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. <div><div><input checked="" type="checkbox"/> Compensation committee</div><div><input type="checkbox"/> Independent compensation consultant</div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input type="checkbox"/> Written employment contract</div><div><input checked="" type="checkbox"/> Compensation survey or study</div><div><input checked="" type="checkbox"/> Approval by the board or compensation committee</div></div>		
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	No
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 accrued 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	

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

[illegible]

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
	Part I, Line 1a	Travel for companions. The President's spouse has accompanied the President at development events for business purposes and such expenses were not treated as taxable compensation. Tax gross-up payments. The Vice President of Business and Finance, Eugene Sunshine, received a tax-gross up payment for insurance policy premiums, which was treated as taxable compensation. The Vice President and Chief Investment Officer, William McLean, received a tax-gross up payment for retirement related contributions, which was treated as taxable compensation. The Vice President of Alumni Relations and Development, Sarah Pearson, received a tax-gross up payment in connection with a tuition payment for her dependent, which was treated as taxable compensation. Housing allowance or residence for personal use. The President, Morton Schapiro, resides in University-owned housing which is provided for the convenience of the employer pursuant to Internal Revenue Code Section 119 and not treated as taxable compensation. During a period in 2009 when Henry Bienen was President, he resided in University-owned housing which was provided for the convenience of the employer pursuant to Internal Revenue Code Section 119 and not treated as taxable compensation. Individuals provided with a housing allowance are (i) The Vice President of Business and Finance, Eugene Sunshine, (ii) The Provost, Daniel Linzer, and (iii) Head Coach, Patrick Fitzgerald II. The amounts are treated as taxable compensation. Health or social club dues or initiation fees. The President, Morton Schapiro, was extended memberships in organizations that are held in the President's individual name but that reflect institutional business requirements and are not treated as taxable compensation. Henry Bienen served as President for a period in calendar year 2009 and was extended memberships in organizations that were held in the then President's individual name but that reflected institutional business requirements and were not treated as taxable compensation. The Vice President and Chief Investment Officer, William McLean, received reimbursements for social club dues and such amount was not treated as taxable compensation. Head Coach, Patrick Fitzgerald II, received reimbursements for social club dues and such amount was treated as taxable compensation. Personal Services. In connection with the University provided presidential housing, the University provides maid/cleaning services at the President's University residence. The value of the benefit is apportioned between personal living quarters and public areas of the house, and the cleaning services associated with the personal living quarters are treated as taxable compensation.

Software ID:
Software Version:
EIN: 36-2167817
Name: Northwestern 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				
Morton O Schapiro	(i)	361,183	0	14,466	173,757	48,457	597,863	0
	(ii)	0	0	0	0	0	0	0
Daniel I Linzer	(i)	432,760	0	14,175	24,500	9,039	480,474	0
	(ii)	0	0	0	0	0	0	0
Eugene S Sunshine	(i)	688,045	0	77,967	24,500	6,814	797,326	0
	(ii)	0	0	0	0	0	0	0
William J Banis	(i)	213,469	0	620	22,238	6,843	243,170	0
	(ii)	0	0	0	0	0	0	0
Alan K Cubbage	(i)	227,913	0	1,247	22,800	1,092	253,052	0
	(ii)	0	0	0	0	0	0	0
J Larry Jameson	(i)	731,406	0	929	18,350	11,566	762,251	0
	(ii)	728,436	0	17,326	24,550	15,525	785,837	0
Marilyn McCoy	(i)	225,800	0	17,296	24,500	6,888	274,484	0
	(ii)	0	0	0	0	0	0	0
Morteza A Rahimi	(i)	583,747	0	284	24,500	6,659	615,190	0
	(ii)	0	0	0	0	0	0	0
Sarah Risley Pearson	(i)	336,551	0	38,903	24,500	26,523	426,477	0
	(ii)	0	0	0	0	0	0	0
Joseph T Walsh Jr	(i)	257,873	0	552	24,500	64,835	347,760	0
	(ii)	0	0	0	0	0	0	0
William H McLean	(i)	515,056	867,317	146,638	24,500	40,508	1,594,019	0
	(ii)	0	0	0	0	0	0	0
Thomas G Cline	(i)	398,385	0	17,451	24,500	11,434	451,770	0
	(ii)	0	0	0	0	0	0	0
Henry S Bienen	(i)	1,898,936	100,000	125,584	24,500	91,755	2,240,775	375,000
	(ii)	0	0	0	0	0	0	0
Jeffrey C Miller	(i)	657,897	0	17,039	24,500	9,209	708,645	0
	(ii)	0	0	0	0	0	0	0
Ronald Nayler	(i)	278,618	0	17,039	21,417	6,857	323,931	0
	(ii)	0	0	0	0	0	0	0
Patrick M McCarthy	(i)	85,917	0	55	5,213	189	91,374	0
	(ii)	1,466,753	0	16,914	29,400	15,525	1,528,592	0
H Huntington Batjer	(i)	115,081	0	666	11,256	6,443	133,446	0
	(ii)	1,019,723	0	17,377	29,400	15,525	1,082,025	0
Patrick W Fitzgerald II	(i)	1,072,340	31,500	52,220	24,500	9,401	1,189,961	0
	(ii)	0	0	0	0	0	0	0
Murad Alam	(i)	3,000	0	0	180	17	3,197	0
	(ii)	1,145,750	0	69	29,400	6,980	1,182,199	0
Thomas A Mustoe	(i)	177,537	0	666	14,146	937	193,286	0
	(ii)	872,515	0	774	29,400	15,525	918,214	0
Lewis Landsberg	(i)	237,369	0	262	24,000	923	262,554	0
	(ii)	171,295	0	3,214	7,200	15,224	196,933	0

Schedule K
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Northwestern University

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

Employer identification number
36-2167817

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 Illinois Educational Facilities Authority	52-1297563	4520018K9	10-29-2003	183,530,698	Refund bonds issued 5/13/97, acquire,construct,or renovate univ facilities		X		X
B Illinois Finance Authority	86-1091967	45200BFC7	09-09-2004	135,800,000	Acquire, construct or renovate University facilities		X		X
C Illinois Finance Authority	86-1091967	45200BH50	10-03-2006	150,740,726	Refund bonds issued 12/3/97		X		X
D Illinois Finance Authority	86-1091967	45200FKZ1	06-25-2008	125,000,000	Acquire, construct or renovate University facilities		X		X

Part II

Proceeds

		A		B		C		D		E	
1	Total proceeds of issue	194,022,795		144,677,217		150,740,726		126,815,680			
2	Gross proceeds in reserve funds										
3	Proceeds in refunding or defeasance escrows										
4	Other unspent proceeds	21,364,003						21,364,003			
5	Issuance costs from proceeds	1,092,348		1,039,400		1,518,234		1,250,000			
6	Working capital expenditures from proceeds										
7	Capital expenditures from proceeds	158,297,067		143,637,817				104,201,677			
8	Year of substantial completion	2008		2008							
		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		
10	Were the bonds issued as part of an advance refunding issue?		X		X	X			X		
11	Has the final allocation of proceeds been made?	X		X		X			X		
12	Does the organization maintain adequate books and records to support the final allocation of proceeds?	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		
2	Are there any lease arrangements with respect to the financed property which may result in private business use?	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		
3b	Are there any research agreements with respect to the financed property which may result in private business use?	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		
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 %					
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										
6	Total of lines 4 and 5	0 %		0 %		0 %					
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			

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		
2	Is the bond issue a variable rate issue?		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			
b	Name of provider	Morgan Stanley and other banks		Morgan Stanley and other banks				other banks other banks			
c	Term of hedge	37 0000000000000		37 0000000000000				37 0000000000000			
4a	Were gross proceeds invested in a GIC?		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		
6	Did the bond issue qualify for an exception to rebate?		X		X		X		X		

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
Northwestern University

Employer identification number
36-2167817

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?		(c) Original principal amount	(d) Balance due	(e) In default?		(f) Approved by board or committee?		(g) Written agreement?	
	To	From			Yes	No	Yes	No	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
na	n/a	merit-based scholarship Amount \$ 2000
na	n/a	research grant Amount \$ 41085

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
See Additional Data Table					

Additional Data

Software ID:
Software Version:
EIN: 36-2167817
Name: Northwestern University

Form 990, Schedule L, Part IV - Business Transactions Involving Interested Persons

(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
Northern Trust	Nicholas D Chabraja,Trustee, was serving as a bank director	723,931	Bank and investment transaction fees less interest earned from bank		No
Northern Trust	William O sborn, Trustee, was serving as a bank director	723,931	Bank and investment transaction fees less interest earned from bank		No
Technology Crossover Ventures	Jay C Hoag, Trustee, partner w/ ownership interest over 5%	2,454,084	Investment in two venture capital funds Technology Crossover Ventures VI and VIIA		No
Rndtable Hlthcare Ptnrs	Lester B Knight, Trustee, was serving as a director	1,335,290	Investment in two private equity funds Roundtable Healthcare Partners and Roundtable Healthcare Partners II		No
Nicor Gas	R Eden Martin, Trustee, was serving as a director	1,270,929	Utility services		No
Aon Corporation	Lester B Knight, Trustee, was serving as a director	109,240	Insurance broker		No
Aon Corporation	R Eden Martin, Trustee, was serving as a director	109,240	Insurance broker		No
Thoma Cressey Fd	Lee M Mitchell, Trustee, partner w/ ownership interest over 5%	3,044,872	Investment in three private equity funds Thoma Cressey Fund VI, Thoma Cressey Fund VIII, and Thoma Bravo Fund IX		No
Madison Dearborn	John A Canning, Jr , Trustee, partner w/ ownership interest over 5%	309,137	Investment in five private equity funds Madison Dearborn II, III, IV, V and VI		No
New Enterprise Associates	Peter J Barris, Trustee, partner w/ ownership interest over 5%	543,242	Investment in six venture capital funds NEA VIII, VIIIA, IX, X, XI, and XII		No
RCPI Landmark Properties LLC	A Steven Crown, Trustee, partner w/ ownership interest over 5%	120,138	Property rental		No
NanoInk Inc	Ann Lurie, Trustee, direct and indirect ownership interest over 35%	45,646	License of intellectual property		No
Leigh Bienen	Family member of Henry S Bienen, Key Employee	69,657	Employment		No
Charlotte Cubbage	Family member of Alan K Cubbage, Officer	69,863	Employment		No
Jennifer Linzer	Family member of Daniel I Linzer, Officer	37,561	Employment		No
Jennifer Cline	Family member of Thomas G Cline, Officer	17,594	Employment		No

SCHEDULE M
(Form 990)

NonCash Contributions

OMB No 1545-0047

2009

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

Name of the organization
Northwestern University

Employer identification number
36-2167817

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	X	15	41,722	FMV on date of gift
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications	X		107,618	FMV on date of gift
5 Clothing and household goods	X		5,250	FMV on date of gift
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	360	10,036,205	Proceeds from sale
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests	X	1	875,210	FMV on date of gift
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	X	4	9,945	FMV on date of gift
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ► (Event/tickets)	X	78	107,583	FMV on date of gift
26 Other ► (Equip/software)	X	6	802,498	FMV on date of gift
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			3
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			No
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
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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

Northwestern University

Employer identification number

36-2167817

Identifier	Return Reference	Explanation
Form 990, Part VI, Section A, line 2		Business Relationships John A Canning, Jr and T Bondurant French John A Canning, Jr and Lester B Knight John A Canning, Jr and Timothy P Sullivan John A Canning, Jr and Eugene Sunshine Lester B Knight and D Gideon Searle Lester B Knight and Patrick G Ryan Lester B Knight and J B Pritzker Lester B Knight and William A Osborn Lester B Knight and T Bondurant French Lester B Knight and A Steven Crow n Lester B Knight and R Eden Martin Lester B Knight and M Jude Reyes

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
Northwestern University

Employer identification number
36-2167817

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

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
Rubicon Insurance Company 2020 Ridge Ave Evanston, IL 60208 36-3694409	Providing medical malpractice coverage	IL	501(c)(3)	11b	N/A
Northwestern Medical Faculty Foundation 680 N Lakeshore Dr Chicago, IL 60611 36-3097297	Patient care, teaching	IL	501(c)(3)	9	N/A
Students Publishing Company 1999 Sherdan Rd Evanston, IL 60208 36-6002654	Publishes student periodicals	IL	501(c)(3)	11a	N/A
Mcgaw Medical Center of Northwestern University 420 E Superior St Chicago, IL 60611 36-2656113	Coordination of medical residents	IL	501(c)(3)	11a	N/A
The Big Ten Conference Inc 1500 W Higgins Rd Park Ridge, IL 60068 36-3640583	Facilitate quality intercollegiate athletic competition	IL	501(c)(3)	11b	N/A
Northwestern University Employees Benefit Trust PO Box 803878 Northern Trust at Tru Chicago, IL 60680 36-3180819	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		N/A
Northwestern University Employees Benefit Trust Dental PO Box 803878 Northern Trust at Tru Chicago, IL 60680 36-3591834	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		N/A

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?		(i) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?	
							Yes	No		Yes	No

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

Part V

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

Note. Complete line 1 if any entity is listed in Parts II, III or IV

1 During the tax year, did the organization 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

b Gift, grant, or capital contribution to other organization(s)

c Gift, grant, or capital contribution from other organization(s)

d Loans or loan guarantees to or for other organization(s)

e Loans or loan guarantees by other organization(s)

f Sale of assets to other organization(s)

g Purchase of assets from other organization(s)

h Exchange of assets

i Lease of facilities, equipment, or other assets to other organization(s)

j Lease of facilities, equipment, or other assets from other organization(s)

k Performance of services or membership or fundraising solicitations for other organization(s)

l Performance of services or membership or fundraising solicitations by other organization(s)

m Sharing of facilities, equipment, mailing lists, or other assets

n Sharing of paid employees

o Reimbursement paid to other organization for expenses

p Reimbursement paid by other organization for expenses

q Other transfer of cash or property to other organization(s)

r Other transfer of cash or property from other organization(s)

Yes

No

1a

No

1b

No

1c

Yes

1d

No

1e

No

1f

No

1g

No

1h

No

1i

Yes

1j

No

1k

No

1l

No

1m

No

1n

Yes

1o

Yes

1p

Yes

1q

Yes

1r

Yes

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) Rubicon Insurance Company	Q	7,196,436
(2) Rubicon Insurance Company	P	-1,109,456
(3) Northwestern Medical Faculty Foundation	Q	2,046,638
(4) Northwestern Medical Faculty Foundation	P	43,572,070
(5) Northwestern University Employees Benefit Trust	Q	24,280,668
(6) Northwestern University Employees Benefit Trust Dental	Q	2,369,202

Schedule R (Form 990) 2009

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.

[illegible]

Software ID:
Software Version:
EIN: 36-2167817
Name: Northwestern University

Form 990, Schedule R, Part II - Identification of Related Tax-Exempt Organizations

(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 501(c)(3))	(f) Direct Controlling Entity
Rubicon Insurance Company 2020 Ridge Ave Evanston, IL60208 36-3694409	Providing medical malpractice coverage	IL	501(c)(3)	11 b	N/A
Northwestern Medical Faculty Foundation 680 N Lakeshore Dr Chicago, IL60611 36-3097297	Patient care, teaching	IL	501(c)(3)	9	N/A
Students Publishing Company 1999 Sheridan Rd Evanston, IL60208 36-6002654	Publishes student periodicals	IL	501(c)(3)	11 a	N/A
Mcgaw Medical Center of Northwestern University 420 E Superior St Chicago, IL60611 36-2656113	Coordination of medical residents	IL	501(c)(3)	11 a	N/A
The Big Ten Conference Inc 1500 W Higgins Rd Park Ridge, IL60068 36-3640583	Facilitate quality intercollegiate athletic competition	IL	501(c)(3)	11 b	N/A
Northwestern University Employees Benefit Trust PO Box 803878 Northern Trust at Tru Chicago, IL60680 36-3180819	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		N/A
Northwestern University Employees Benefit Trust Dental PO Box 803878 Northern Trust at Tru Chicago, IL60680 36-3591834	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		N/A

Form 990, Schedule R, Part V - Transactions With Related Organizations

(a) Name of other organization		(b) Transaction type(a-r)	(c) Amount Involved (\$)
(1)	Rubicon Insurance Company	Q	7,196,436
(1)	Rubicon Insurance Company	P	-1,109,456
(2)	Northwestern Medical Faculty Foundation	Q	2,046,638
(3)	Northwestern Medical Faculty Foundation	P	43,572,070
(4)	Northwestern University Employees Benefit Trust	Q	24,280,668
(5)	Northwestern University Employees Benefit Trust Dental	Q	2,369,202

Identifier	Return Reference	Explanation
Form 990, Part VI, Section A, line 2		Business Relationships continued R Eden Martin and Charles W Douglas William A Osborn and Nicholas D Chabreja William A Osborn and Miles D White M Jude Reyes and A Steven Crow n M Jude Reyes and William A Osborn M Jude Reyes and Patrick G Ryan Family Relationships Patrick G Ryan and Patrick G Ryan, Jr

Identifier	Return Reference	Explanation
Form 990, Part VI, Section B, line 11		A hard copy of the University's final Form 990 (including all required schedules), was provided to each voting member of the University's governing body prior to filing. That version of the Form 990 is identical to the one ultimately filed with the IRS. Prior to providing a copy to the governing body, a draft of the Form 990 was reviewed by the Committee on Audit of the Board of Trustees, which is comprised of a subset of members from the governing body who review the accounting procedures and controls of the University.

Identifier	Return Reference	Explanation
Form 990, Part VI, Section B, line 12c		Conflict of Interest Policies University ByLaws require that any conflict of interest of any Trustee, Officer or their immediate families be disclosed to the Board of Trustees in writing. An Officer shall call any conflict of interest to the attention of the President. If the matter is being considered by the Board of Trustees or one of its committees, such Officer is not permitted to participate in or make recommendations about the conflict of interest under discussion, except to the extent the Officer is required by the Trustees or other officers to answer pertinent questions related to the conflict. A Trustee having a conflict of interest shall call it to the attention of the Board or committee and shall abstain on voting on the subject. The Trustee is encouraged to answer pertinent questions when the his/her knowledge of the subject will assist the Board or any of its committees. Potential conflicts of interest of Trustees and Officers are reviewed by the University's General Counsel. Pursuant to the University's staff and faculty Conflict of Interest Policies, employees are required to disclose potential conflicts of interest to the University on an annual basis. Employees receive annual reminders to complete a conflict of interest questionnaire and responses are submitted electronically and reviewed by each employee's supervisor. Potential conflicts are further reviewed by the University's Department of Human Resources and action taken by senior management as needed.

Identifier	Return Reference	Explanation
Form 990, Part VI, Section B, line 15		<p>The Compensation Committee of the Board includes members of the University's governing body who are not related or controlled by the employees whose compensation they are reviewing. To assess the reasonableness of employee compensation, the Compensation Committee of the Board relies on formal surveys and comparability data prepared and compiled by outside consultants who have expertise in the field of executive compensation assessment and benchmarking. The Compensation Committee of the Board met in June 2008 to review and approve fiscal year 2009 (September 1, 2008 to August 31, 2009) salaries and met in June 2009 to review and approve fiscal year 2010 (September 1, 2009 to August 31, 2010) salaries. Actions undertaken by the Compensation Committee of the Board are contemporaneously documented in the minutes of each meeting. Compensation Committee of the Board reviewed and approved compensation of all current officers listed in Part VII, Section A. The Committee reviewed and approved compensation of all current key employees listed in Part VII, Section A with the exception of Jeffrey Miller (Vice Dean and Chief Operating Officer of Feinberg School of Medicine). Jeffrey Miller's compensation is reviewed and approved annually by the Vice President for Medical Affairs and Dean of the Feinberg School of Medicine and comparability data prepared by third-party professional consultants is used to assess his compensation.</p>

Identifier	Return Reference	Explanation
Form 990, Part VI, Section C, line 19		Governing documents The University maintains an Office for University Relations where information requests from the public are processed Conflict of Interest Policies The University's conflict of interest policy for faculty and staff is posted on the University's website Additional detail policies, including the trustee policy, are available upon request Financial Statements The University's annual audited consolidated financial statements are available as pdf documents to be downloaded on demand from the University website

Identifier	Return Reference	Explanation
Schedule G, Part I, Line 2b, Column (v)	Explanation of Fundraising Payments	The following professional fundraisers received reimbursements for expenses associated with their services to the University (the amount of expenses reimbursed paid are reflected) RuffaloCODY (\$11,539) and Carol O'Brien Associates (\$680) Agreements with professional fundraising services permit reimbursement for direct expenses such as printing, mailing and shipping

Identifier	Return Reference	Explanation
		Schedule G, Part I, line 3 State exemptions and registrations No registration is required in Delaware, Idaho, Indiana, Iowa, Montana, Nebraska, Nevada, South Dakota, Vermont or Wyoming University has requested confirmation of exemption from New Jersey The University continues the process of registering, applying for exemption from registration or confirming exemption from registration in the states not listed in Part I, line 3 that require such action

Identifier	Return Reference	Explanation
		Schedule J, Part I Average hours per week devoted to related organizations The following individuals listed in column A provided estimated average hours per week to related organizations as noted J Larry Jameson, 30 hours Patrick M. McCarthy, 40 hours Murad Alam, 40 hours Thomas A. Mustoe, 30 hours H. Huntington Batjer, 30 hours Lewis Landsberg, 30 hours

Identifier	Return Reference	Explanation
		Schedule K, Part I, column (c) Bond Issues, CUSIP# The following bond issuances are associated with additional CUSIP numbers as noted (B) IFA - Series 2004 CUSIP #45200BFD5, (D) IFA-Series 2008 CUSIP #45200FLA5, and #45200FLB3

Identifier	Return Reference	Explanation
		Schedule K, Part III, line 3c Private Business Use The University engages bond counsel and performs a review of management or service contracts and research agreements at the time of any new bond issuances, generally every two years. At that time all existing bond issuances and private use are re-examined and re-documented. The University monitors private use changes internally on an ongoing basis.

Identifier	Return Reference	Explanation
		Schedule K, Part IV, line 3 Arbitrage, Name of provider and term of hedge Hedge providers and terms of hedges for bonds (B) IFA-Series 2004 and (D) IFA-Series 2008 are as follow s Morgan Stanley Capital Services, 25 and 37 years, Bank of America, 25 and 37 years, JP Morgan, 25 and 37 years

Identifier	Return Reference	Explanation
		Schedule K, Part II, Line 9 Bond (A) Form 8038 Bond (A)IEFA - Series 2003 bond proceeds were used in part to refund 1993 bonds on December 1, 2003, and therefore represent a current refunding of the 1993 bonds Form 8038 line 27 states that it is a current refunding, however, there is a typographical error on line 35 indicating a final 1993 bond call date of December 1, 2013 The correct date is December 1, 2003, the University has requested that the issuer file an amended Form 8038 to correct this error

Identifier	Return Reference	Explanation
		Schedule K, Part II, Line 9 Bond (C) Form 8038 Bond(C)IFA - Series 2006 bonds were issued to refund bonds issued December 3, 1997 Form 8038 incorrectly identified the costs of issuance on line 30 as non-refunding proceeds of the issue, these proceeds should be reflected on line 24 There were no non-refunding proceeds of the 2006 issue, the University has requested that the issuer file an amended Form 8038 to correct this error

Identifier	Return Reference	Explanation
		Schedule K, Part III, line 4 Funding sources and private usage The University finances acquisition, construction, or renovation of University facilities with multiple funding sources including tax exempt bond issues There is a small amount of monitored private use within the facilities partially financed by bonds, however such usage was financed from other sources

Identifier	Return Reference	Explanation
		Schedule K, Part IV, line 5 Gross proceeds investment period As disclosed on the Form 8038-T filed November 2009 for Bond (B) IFA - Series 2006, gross proceeds were invested beyond an available temporary period and the University calculated and made a yield reduction payment in the amount of \$310,118

Identifier	Return Reference	Explanation
		<p>Schedule L, Part III, part IV Interested Persons Schedule L, Part III Grant or assistance benefitting interested persons was given pursuant to objective criteria Schedule L, Part IV Amounts reflected with respect to the business transaction relating to Technology Crossover Ventures represent venture capital purchases less capital gains and income during the tax year Amounts reflected with respect to the business transaction relating to Roundtable Healthcare Partners represent expenses and private equity purchases less capital gains and income during the tax year Amounts reflected with respect to the business transactions relating to Aon Corporation represent payments made to its affiliate, Aon Risk Services of Illinois during the tax year Amounts reflected with respect to the business transaction relating to Thoma Cressey Funds represent capital gains and income less expenses and private equity purchases during the tax year Amounts reflected with respect to the business transaction relating to Madison Dearborn represent capital gains and income less expenses and private equity purchases during the tax year Amounts reflected with respect to the business transaction relating to New Enterprise Associates represent capital gains less venture capital purchases during the tax year Investment of University assets are governed by an Investment Policy and monitored by an Investment Committee of the Board of Trustees</p>

Identifier	Return Reference	Explanation
		Schedule R, Part II Identification of Related Tax-Exempt Organizations Northwestern Medical Faculty Foundation is included as a "related organization" because under its current bylaw s, its clinical department chairs comprise a majority of its directors These individuals are also employed as chairs of the corresponding academic departments w ithin the Feinberg School of Medicine of Northw estern University How ever, the tw o organizations do not stand in the roles of parent and subsidiary They are separate legal entities, and Northw estern Medical Faculty Foundation is not subject to control by Northw estern University or vice-versa

Identifier	Return Reference	Explanation
		Schedule R, Part V Method used to determine the value of services, cash, and other assets Transactions to and from external entities are recorded in the University's financial system Payments received are identified and recorded into the appropriate chart string (account code) with a description of the purpose Payments made to vendors are recorded into the appropriate chart string (account code) with a description of the payee and purpose

Identifier	Return Reference	Explanation
Part VI, Line 9	Local chapters, branches, or affiliates	The University does not have local chapters, branches, lodges, units or similar affiliates. As described in Schedule F, the University has one international campus, located in Doha, Qatar. The University has a number of affiliation agreements and arrangements with other research and educational institutions but the University does not have authority to exercise supervision and control of such institutions.

Identifier	Return Reference	Explanation
Part VI, Line 16b	Joint venture arrangements	The University does not have a written policy regarding joint ventures in general. However, joint venture agreements are reviewed by the University's Office of General Counsel to evaluate whether the arrangement furthers the mission of the University and to ensure the safeguarding of University's assets. The University also has guidelines concerning joint ventures in its technology transfer and investments policies.

Additional Data

Software ID:

Software Version:

EIN: 36-2167817

Name: Northwestern 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			
Peter J Barris Trustee	1 00	X						0	0	0
Judith S Block Trustee	1 00	X						0	0	0
John A Canning Jr Trustee	1 00	X						0	0	0
Nicholas D Chabreja Trustee	1 00	X						0	0	0
A Steven Crown Trustee	1 00	X						0	0	0
Richard H Dean Trustee	1 00	X						0	0	0
Charles W Douglas Trustee	1 00	X						0	0	0
D Cameron Findlay Trustee	1 00	X						0	0	0
Dennis J FitzSimons Trustee	1 00	X						0	0	0
T Bondurant French Trustee	1 00	X						0	0	0
Christopher B Galvin Trustee	1 00	X						0	0	0
J Douglas Gray Trustee and Lecturer	1 00	X						8,450	6,650	0
Philip L Harris Trustee	1 00	X						0	0	0
Thomas Z Hayward Jr Trustee	1 00	X						0	0	0
Jay C Hoag Trustee	1 00	X						0	0	0
Lester B Knight Trustee	1 00	X						0	0	0
Timothy K Krauskopf Trustee	1 00	X						0	0	0
Edward M Liddy Trustee	1 00	X						0	0	0
Ann Lurie Trustee	1 00	X						0	0	0
J Landis Martin Trustee	1 00	X						0	0	0
R Eden Martin Trustee	1 00	X						0	0	0
Lee M Mitchell Trustee	1 00	X						0	0	0
William A Osborn Trustee	1 00	X						0	0	0
JB Pritzker Trustee	1 00	X						0	0	0
M Jude Reyes Trustee	1 00	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			
Patrick G Ryan Trustee	1 00	X						0	0	0
Patrick G Ryan Jr Trustee	1 00	X						0	0	0
Paul L Sagan Trustee	1 00	X						0	0	0
William E Sagan Trustee	1 00	X						0	0	0
D Gideon Searle Trustee	1 00	X						0	0	0
Andrew E Senyer MD Trustee	1 00	X						0	0	0
Benjamin W Slivka Trustee	1 00	X						0	0	0
Timothy P Sullivan Trustee	1 00	X						0	0	0
David B Weinberg Trustee	1 00	X						0	0	0
Miles D White Trustee	1 00	X						0	0	0
William Wrigley Jr Trustee	1 00	X						0	0	0
Morton O Schapiro President	40 00			X				375,649	0	222,214
Daniel I Linzer Provost	40 00			X				446,935	0	33,539
Eugene S Sunshine Senior VP for Business	40 00			X				766,012	0	31,314
William J Banis VP Student Affairs	40 00			X				214,089	0	29,081
Alan K Cubbage VP University Relations	40 00			X				229,160	0	23,892
J Larry Jameson VP for Medical Affairs a	30 00			X				732,335	745,762	69,991
Marilyn McCoy VP for Administration	40 00			X				243,096	0	31,388
Morteza A Rahimi VP Information Technolog	40 00			X				584,031	0	31,159
Sarah Risley Pearson VP for Development	40 00			X				375,454	0	51,023
Joseph T Walsh Jr VP for Research	40 00			X				258,425	0	89,335
William H McLean VP and Chief Investment	40 00			X				1,529,011	0	65,008
Thomas G Cline VP and General Counsel	40 00			X				415,836	0	35,934
Henry S Bienen President Emeritus	40 00				X			2,124,520	0	116,255
Jeffrey C Miller Vice Dean, COO Medical S	40 00				X			674,936	0	33,709

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			
Ronald Naylor Assoc VP Facilities Man	40 00				X			295,657	0	28,274
Patrick M McCarthy Professor, Medical Schoo	10 00					X		85,972	1,483,667	50,327
H Huntington Batjer Professor, Medical Schoo	30 00					X		115,747	1,037,100	62,624
Patrick W Fitzgerald II Head Coach	30 00					X		1,156,060	0	33,901
Murad Alam Asst Professor, Medical	10 00					X		3,000	1,145,819	36,577
Thomas A Mustoe Professor, Medical Schoo	30 00					X		178,203	873,289	60,008
Lewis Landsberg Former VP Medical A ffair	30 00						X	237,631	174,509	47,347

Form 990, Part VIII - Statement of Revenue - 2a - 2g Program Service Revenue -

	Business Code	(A) Total Revenue	(B) Related or Exempt Function Revenue	(C) Unrelated Business Revenue	(D) Revenue Excluded from Tax under IRC 512, 513, or 514
Tuition and fees	900,099	726,246,495	726,246,495		
Research activities	900,099	485,302,957	485,302,957		
Educational activities	900,099	116,216,209	116,216,209		
Auxilliary enterprises	900,099	74,842,418	74,842,418		
Medical departments	900,099	28,732,940	28,732,940		