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| | | |
|---|--|---|
| Form 990  Department of the Treasury Internal Revenue Service | Return of Organization Exempt From Income Tax Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation) The organization may have to use a copy of this return to satisfy state reporting requirements | OMB No 1545-0047 2010 Open to Public Inspection |
|---|--|---|

| | | |
|--|---|--|
| A For the 2010 calendar year, or tax year beginning 07-01-2010 and ending 06-30-2011 | | |
| 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 | C Name of organization Rockhurst University Doing Business As Number and street (or P O box if mail is not delivered to street address) Room/suite 1100 ROCKHURST ROAD City or town, state or country, and ZIP + 4 KANSAS CITY, MO 64110 | D Employer identification number 44-0545813 E Telephone number (816) 501-4000 G Gross receipts \$ 85,201,650 |
| | F Name and address of principal officer REV THOMAS B CURRAN OSFS 1100 ROCKHURST ROAD KANSAS CITY, MO 64110 | H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list (see instructions) H(c) Group exemption number ▶ |
| | I Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) () ◀(insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 | |
| | J Website: ▶ WWW.ROCKHURST.EDU | |
| | K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ | |
| L Year of formation 1910 | | M State of legal domicile MO |

| Part I | | Summary | |
|-----------------------------|--|---------------------------|--------------|
| Activities & Governance | 1 Briefly describe the organization's mission or most significant activities ROCKHURST UNIVERSITY EXISTS TO TRANSFORM LIVES BY CREATING A LEARNING COMMUNITY CENTERED IN EXCELLENCE IN UNDERGRADUATE LIBERAL ARTS EDUCATION AND GRADUATE EDUCATION | | |
| | | | |
| | | | |
| | 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 | 30 |
| | 4 Number of independent voting members of the governing body (Part VI, line 1b) | 4 | 29 |
| | 5 Total number of individuals employed in calendar year 2010 (Part V, line 2a) | 5 | 1,231 |
| | 6 Total number of volunteers (estimate if necessary) | 6 | 150 |
| | 7a | 0 | |
| | 7b | 0 | |
| Revenue | 8 Contributions and grants (Part VIII, line 1h) | Prior Year | Current Year |
| | 9 Program service revenue (Part VIII, line 2g) | 14,565,019 | 6,458,632 |
| | 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) | 54,397,861 | 54,735,694 |
| | 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 2,091,219 | 2,849,260 |
| | 12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 4,050,751 | 3,797,257 |
| | | 75,104,850 | 67,840,843 |
| Expenses | 13 Grants and similar amounts paid (Part IX, column (A), lines 1–3) | 19,900,732 | 20,352,455 |
| | 14 Benefits paid to or for members (Part IX, column (A), line 4) | 0 | 0 |
| | 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) | 23,894,811 | 23,676,293 |
| | 16a Professional fundraising fees (Part IX, column (A), line 11e) | 63,000 | 61,500 |
| | b Total fundraising expenses (Part IX, column (D), line 25) <input checked="" type="checkbox"/> 1,463,617 | | |
| | 17 Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f) | 21,315,170 | 21,051,094 |
| | 18 Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25) | 65,173,713 | 65,141,342 |
| | 19 Revenue less expenses Subtract line 18 from line 12 | 9,931,137 | 2,699,501 |
| Net Assets or Fund Balances | | Beginning of Current Year | End of Year |
| | 20 Total assets (Part X, line 16) | 111,148,958 | 124,593,378 |
| | 21 Total liabilities (Part X, line 26) | 52,255,373 | 60,267,743 |
| | 22 Net assets or fund balances Subtract line 21 from line 20 | 58,893,585 | 64,325,635 |

| | | | | | |
|---|--|-----------------|----------------------|-----------------|---------------------------|
| Part II Signature Block | | | | | |
| Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge. | | | | | |
| Sign Here | Signature of officer | | | Date | |
| | GUY SWANSON VP OF FINANCE & ADMINISTRATION | | | | |
| Paid Preparer Use Only | Print/Type preparer's name | Michael J Engle | Preparer's signature | Michael J Engle | Date |
| | Firm's name ▶ BKD LLP | | | | Firm's EIN ▶ |
| | Firm's address ▶ 1201 Walnut Suite 1700 Kansas City, MO 641062246 | | | | Phone no ▶ (816) 221-6300 |
| May the IRS discuss this return with the preparer shown above? (see instructions) | | | | | |

Part III

Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III

1

Briefly describe the organization’s mission

SEE SCHEDULE O

2

Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

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?

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 \$ 36,800,434 including grants of \$ 20,352,455) (Revenue \$ 36,851,854)

Institutional Student Financial Aid is the largest program services expense for Rockhurst University. Rockhurst is committed to making its educational experience available at a reasonable cost to students and families; during the fiscal year ended June 30, 2011 the University offered institutional financial aid to over 80% of all students

4b

(Code) (Expenses \$ 13,435,080 including grants of \$ 0) (Revenue \$ 13,453,851)

Instructional expenses represent approximately 23% of total program service costs at Rockhurst. The Instructional category represents the cost of delivering the Rockhurst educational experience in the classroom, primarily the costs of salaries and benefits to over 300 full time and part time faculty members, instructional materials, books and supplies, and depreciation, maintenance and interest costs associated with the classroom facilities

4c

(Code) (Expenses \$ 8,177,874 including grants of \$ 0) (Revenue \$ 8,189,301)

Institutional support costs represent approximately 14% of the total program services cost at Rockhurst. The Institutional Support category primarily includes administrative support costs including salary and benefits for staff members, operation of the University's 24 hour Security Department, all fundraising efforts as directed by the University's Advancement Office, expenses associated with legal, accounting and insurance, as well as the depreciation, maintenance and interest costs associated with these functions

4d

Other program services (Describe in Schedule O)























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

4e

Total program service expenses \$ 58,413,388

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)? <i>If "Yes," complete Schedule A.</i>  | 1 | Yes |
| 2 | Is the organization required to complete Schedule B, Schedule of Contributors (see instruction)?  | 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? <i>If "Yes," complete Schedule C, Part I.</i> | 3 | No |
| 4 | Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II.</i> | 4 | No |
| 5 | Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III.</i> | 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? <i>If "Yes," complete Schedule D, Part I.</i>  | 6 | No |
| 7 | Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? <i>If "Yes," complete Schedule D, Part II.</i>  | 7 | No |
| 8 | Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III.</i>  | 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? <i>If "Yes," complete Schedule D, Part IV.</i>  | 9 | No |
| 10 | Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V.</i>  | 10 | Yes |
| 11 | If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable | | |
| a | Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI.</i>  | 11a | Yes |
| b | 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? <i>If "Yes," complete Schedule D, Part VII.</i>  | 11b | No |
| c | 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? <i>If "Yes," complete Schedule D, Part VIII.</i>  | 11c | No |
| d | 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? <i>If "Yes," complete Schedule D, Part IX.</i>  | 11d | No |
| e | Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X.</i>  | 11e | Yes |
| f | 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 (ASC 740)? <i>If "Yes," complete Schedule D, Part X.</i>  | 11f | Yes |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI, XII, and XIII.</i>  | 12a | No |
| b | Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional.</i>  | 12b | Yes |
| 13 | Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E.</i>  | 13 | Yes |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? | 14a | No |
| 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? <i>If "Yes," complete Schedule F, Parts I and IV.</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 ? <i>If "Yes," complete Schedule F, Parts II and IV.</i>  | 15 | No |
| 16 | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the U S ? <i>If "Yes," complete Schedule F, Parts III and IV.</i>  | 16 | No |
| 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? <i>If "Yes," complete Schedule G, Part I (see instructions).</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? <i>If "Yes," complete Schedule G, Part II.</i>  | 18 | Yes |
| 19 | Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III.</i>  | 19 | No |
| 20a | Did the organization operate one or more hospitals? <i>If "Yes," complete Schedule H.</i> | 20a | No |
| b | If "Yes" to line 20a, did the organization attach its audited financial statement to this return? Note. Some Form 990 filers that operate one or more hospitals must attach audited financial statements (see instructions) | 20b | |

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 | | No |
| 22 | Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <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 lines 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 | | No |
| 28 | Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions) | | | |
| a | A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | 28a | Yes | |
| 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 (or a family member thereof) was an officer, director, trustee, or direct or indirect 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 | | No |
| 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)? | 35 | Yes | |
| a | Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> | | | |
| 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 | | No |
| 37 | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <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 | | |
|---|---|--------------------|
| Check if Schedule O contains a response to any question in this Part V <input type="checkbox"/> | | |
| | | <div>YesNo</div> |
| 1a | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable. | <div>1a134</div> |
| b | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable. | <div>1b0</div> |
| c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? | <div>1cYes</div> |
| 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. | <div>2a1,231</div> |
| 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 (see instructions). | <div>2bYes</div> |
| 3a | Did the organization have unrelated business gross income of \$1,000 or more during the year? | <div>3aNo</div> |
| b | If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O. | <div>3b</div> |
| 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)? | <div>4aNo</div> |
| b | If "Yes," enter the name of the foreign country: <div>See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts</div> | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? | <div>5aNo</div> |
| b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | <div>5bNo</div> |
| c | If "Yes" to line 5a or 5b, did the organization file Form 8886-T? | <div>5c</div> |
| 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? | <div>6aNo</div> |
| b | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? | <div>6b</div> |
| 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? | <div>7aYes</div> |
| b | If "Yes," did the organization notify the donor of the value of the goods or services provided? | <div>7bYes</div> |
| c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? | <div>7cNo</div> |
| d | If "Yes," indicate the number of Forms 8282 filed during the year. | <div>7d</div> |
| e | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | <div>7eNo</div> |
| f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | <div>7fNo</div> |
| g | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? | <div>7g</div> |
| h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? | <div>7hYes</div> |
| 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? | <div>8</div> |
| 9 | Sponsoring organizations maintaining donor advised funds. | |
| a | Did the organization make any taxable distributions under section 4966? | <div>9a</div> |
| b | Did the organization make a distribution to a donor, donor advisor, or related person? | <div>9b</div> |
| 10 | Section 501(c)(7) organizations. Enter | |
| a | Initiation fees and capital contributions included on Part VIII, line 12. | <div>10a</div> |
| b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities. | <div>10b</div> |
| 11 | Section 501(c)(12) organizations. Enter | |
| a | Gross income from members or shareholders. | <div>11a</div> |
| b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them). | <div>11b</div> |
| 12a | Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? | <div>12a</div> |
| b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year. | <div>12b</div> |
| 13 | Section 501(c)(29) qualified nonprofit health insurance issuers. | |
| a | Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O. | <div>13a</div> |
| b | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans. | <div>13b</div> |
| c | Enter the amount of reserves on hand. | <div>13c</div> |
| 14a | Did the organization receive any payments for indoor tanning services during the tax year? | <div>14aNo</div> |
| b | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O. | <div>14b</div> |

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.
Check if Schedule O contains a response to any question in this Part VI

| Section A. Governing Body and Management | | | Yes | No |
|--|---|------|-----|----|
| 1a | Enter the number of voting members of the governing body at the end of the tax year | 1a30 | | |
| b | Enter the number of voting members included in line 1a, above, who are independent | 1b29 | | |
| 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 governing documents since the prior Form 990 was filed? | 4 | | No |
| 5 | Did the organization become aware during the year of a significant 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 | | |
| 11a | Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form? | 11a | Yes | |
| b | Describe in Schedule O the process, if any, used by the organization to review this 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 15a or 15b, describe the process in Schedule O (See instructions) | | | |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? | 16a | | No |
| b | If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements? | 16b | | |

| Section C. Disclosure | |
|-----------------------|--|
| 17 | List the States with which a copy of this Form 990 is required to be filedMO |
| 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. GUY SWANSON 1100 ROCKHURST ROAD KANSAS CITY, MO 64110 (816) 501-4862 |

Check if Schedule O contains a response to any question in this Part VII ☒

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

Form **990** (2010)

Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

| (A) Name and Title | (B) Average hours per week (describe hours for related organizations in Schedule O) | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|--|--|-----------------------|---------|--------------|------------------------------|--------|--|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| See Additional Data Table | | | | | | | | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| 1b Sub-Total | | | | | | | | | | |
| c Total from continuation sheets to Part VII, Section A | | | | | | | | | | |
| d Total (add lines 1b and 1c) | | | | | | | | 786,447 | 0 | 97,756 |

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▶10

3 Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*

4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? *If "Yes," complete Schedule J for such individual*

5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*

Yes

No

3

No

4

Yes

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 |
|----------------------------------|--------------------------------|---------------------|
| HUSCH BLACKWELL SANDERS LLP | LEGAL SERVICES | 237,755 |
| SODEXO INC | FOOD SERVICE | 2,412,724 |
| SATELLIE JANITORIAL SERVICES | JANITORIAL SERVICE | 410,298 |
| JOHN A KRUGH REALTY LLC | PROPERTY MANAGEMENT | 262,885 |
| NOEL LEVITZ | CONSULTING SERVICES | 224,572 |

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 ▶8

Form 990 (2010)

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 | 6,280 | | | |
| | b Membership dues 1b | | | | |
| | c Fundraising events 1c | 17,595 | | | |
| | d Related organizations 1d | | | | |
| | e Government grants (contributions) 1e | 1,474,058 | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above 1f | 4,960,699 | | | |
| | g Noncash contributions included in lines 1a-1f \$ | 149,686 | | | |
| | h Total. Add lines 1a-1f | 6,458,632 | | | |
| | Program Service Revenue | | Business Code | | |
| 2a Tuition and Fees | | 611600 | 50,546,891 | 50,546,891 | |
| b Housing Income | | 611710 | 4,153,237 | 4,153,237 | |
| c Student Loan Interest | | 611710 | 35,566 | 35,566 | |
| d | | | | | |
| e | | | | | |
| f All other program service revenue | | | | | |
| g Total. Add lines 2a-2f | | 54,735,694 | | | |
| Other Revenue | | 3 Investment income (including dividends, interest and other similar amounts) | | | |
| | | 650,729 | | | 650,729 |
| | 4 Income from investment of tax-exempt bond proceeds . . | 0 | | | |
| | 5 Royalties | 0 | | | |
| | 6a Gross Rents | (i) Real 183,464 | (ii) Personal | | |
| | b Less rental expenses | 138,105 | | | |
| | c Rental income or (loss) | 45,359 | | | |
| | d Net rental income or (loss) | 45,359 | | | 45,359 |
| | 7a Gross amount from sales of assets other than inventory | (i) Securities 19,397,714 | (ii) Other 8,000 | | |
| | b Less cost or other basis and sales expenses | 17,204,117 | 3,066 | | |
| | c Gain or (loss) | 2,193,597 | 4,934 | | |
| | d Net gain or (loss) | 2,198,531 | | | 2,198,531 |
| | 8a Gross income from fundraising events (not including \$ 17,595 of contributions reported on line 1c) See Part IV, line 18 | a 8,105 | | | |
| | b Less direct expenses b | 15,519 | | | |
| | c Net income or (loss) from fundraising events . . | -7,414 | | | -7,414 |
| | 9a Gross income from gaming activities See Part IV, line 19 . a | | | | |
| | b Less direct expenses b | | | | |
| | c Net income or (loss) from gaming activities . . | 0 | | | |
| | 10a Gross sales of inventory, less returns and allowances | | | | |
| | b Less cost of goods sold b | | | | |
| c Net income or (loss) from sales of inventory . . | 0 | | | | |
| Miscellaneous Revenue | Business Code | | | | |
| 11a Cafeteria Income | 722210 | 2,325,033 | 2,325,033 | | |
| b Bookstore Income | 611710 | 83,218 | 83,218 | | |
| c Athletic Income | 900099 | 120,928 | 120,928 | | |
| d All other revenue | | 1,230,133 | 1,230,133 | | |
| e Total. Add lines 11a-11d | 3,759,312 | | | | |
| 12 Total revenue. See Instructions | 67,840,843 | 58,495,006 | 0 | 2,887,205 | |

Part IX

Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns.

All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|--|--|-----------------------|---------------------------------|--|-----------------------------|
| 1 | Grants and other assistance to governments and organizations in the U S See Part IV, line 21 | 0 | | | |
| 2 | Grants and other assistance to individuals in the U S See Part IV, line 22 | 20,352,455 | 20,352,455 | | |
| 3 | Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16 | 0 | | | |
| 4 | Benefits paid to or for members | 0 | | | |
| 5 | Compensation of current officers, directors, trustees, and key employees | 337,542 | | 337,542 | |
| 6 | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | 0 | | | |
| 7 | Other salaries and wages | 19,463,788 | 16,807,282 | 1,850,782 | 805,724 |
| 8 | Pension plan contributions (include section 401(k) and section 403(b) employer contributions) | 825,227 | 701,443 | 90,775 | 33,009 |
| 9 | Other employee benefits | 1,681,445 | 1,429,228 | 184,959 | 67,258 |
| 10 | Payroll taxes | 1,368,291 | 1,163,047 | 150,512 | 54,732 |
| a | Fees for services (non-employees) | | | | |
| | Management | 0 | | | |
| b | Legal | 136,603 | | 136,603 | |
| c | Accounting | 87,476 | | 87,476 | |
| d | Lobbying | 0 | | | |
| e | Professional fundraising services See Part IV, line 17 | 61,500 | | | 61,500 |
| f | Investment management fees | 134,225 | | 134,225 | |
| g | Other | 2,353,539 | 1,765,154 | 588,385 | |
| 12 | Advertising and promotion | 463,313 | 402,736 | 48,109 | 12,468 |
| 13 | Office expenses | 1,226,239 | 1,065,911 | 127,328 | 33,000 |
| 14 | Information technology | 427,638 | 371,726 | 44,404 | 11,508 |
| 15 | Royalties | 0 | | | |
| 16 | Occupancy | 2,284,394 | 1,985,715 | 237,202 | 61,477 |
| 17 | Travel | 1,046,689 | 909,837 | 108,684 | 28,168 |
| 18 | Payments of travel or entertainment expenses for any federal, state, or local public officials | 0 | | | |
| 19 | Conferences, conventions, and meetings | 459,868 | 399,741 | 47,751 | 12,376 |
| 20 | Interest | 2,957,940 | 2,571,196 | 307,141 | 79,603 |
| 21 | Payments to affiliates | 0 | | | |
| 22 | Depreciation, depletion, and amortization | 2,505,008 | 2,177,484 | 260,110 | 67,414 |
| 23 | Insurance | 498,666 | 433,467 | 51,779 | 13,420 |
| 24 | Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24f If line 24f amount exceeds 10% of line 25, column (A) amount, list line 24f expenses on Schedule O) | | | | |
| a | MAINTENANCE CONTRACTS | 778,863 | 677,029 | 80,874 | 20,960 |
| b | CONTRACTUAL SERVICES | 807,450 | 701,878 | 83,842 | 21,730 |
| c | STUDENT AID | 1,937,630 | 1,937,630 | | |
| d | REPAIRS AND MAINTENANCE | 1,207,616 | 1,049,723 | 125,394 | 32,499 |
| e | | | | | |
| f | All other expenses | 1,737,937 | 1,510,706 | 180,460 | 46,771 |
| 25 | Total functional expenses. Add lines 1 through 24f | 65,141,342 | 58,413,388 | 5,264,337 | 1,463,617 |
| 26 | Joint costs. Check here <input checked="" type="checkbox"/> if following SOP 98-2 (ASC 958-720) 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 | | | 1,095,223 | 1 | 0 |
| | 2 | Savings and temporary cash investments | | | 2,961,719 | 2 | 7,015,097 |
| | 3 | Pledges and grants receivable, net | | | 10,998,810 | 3 | 10,181,217 |
| | 4 | Accounts receivable, net | | | 1,511,308 | 4 | 1,368,141 |
| | 5 | Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees <i>Complete Part II of Schedule L</i> | | | | 5 | |
| | 6 | Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers, and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) <i>Schedule L</i> | | | | 6 | |
| | 7 | Notes and loans receivable, net | | | 514,413 | 7 | 0 |
| | 8 | Inventories for sale or use | | | | 8 | |
| | 9 | Prepaid expenses and deferred charges | | | 710,016 | 9 | 1,094,857 |
| | 10a | Land, buildings, and equipment <i>cost or other basis Complete Part VI of Schedule D</i> | 10a | 111,797,122 | | | |
| | b | Less accumulated depreciation | 10b | 44,761,785 | 64,723,627 | 10c | 67,035,337 |
| | 11 | Investments—publicly traded securities | | | 25,818,531 | 11 | 34,414,265 |
| | 12 | Investments—other securities <i>See Part IV, line 11</i> | | | 538,909 | 12 | 1,138,572 |
| | 13 | Investments—program-related <i>See Part IV, line 11</i> | | | 2,276,402 | 13 | 2,345,892 |
| | 14 | Intangible assets | | | | 14 | |
| | 15 | Other assets <i>See Part IV, line 11</i> | | | | 15 | |
| | 16 | Total assets. Add lines 1 through 15 (must equal line 34) | | | 111,148,958 | 16 | 124,593,378 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | 4,038,005 | 17 | 4,172,903 |
| | 18 | Grants payable | | | | 18 | |
| | 19 | Deferred revenue | | | | 19 | |
| | 20 | Tax-exempt bond liabilities | | | 35,855,000 | 20 | 44,645,000 |
| | 21 | Escrow or custodial account liability <i>Complete Part IV of Schedule D</i> | | | | 21 | |
| | 22 | Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons <i>Complete Part II of Schedule L</i> | | | | 22 | |
| | 23 | Secured mortgages and notes payable to unrelated third parties | | | 5,724,133 | 23 | 5,447,439 |
| | 24 | Unsecured notes and loans payable to unrelated third parties | | | | 24 | |
| | 25 | Other liabilities <i>Complete Part X of Schedule D</i> | | | 6,638,235 | 25 | 6,002,401 |
| | 26 | Total liabilities. Add lines 17 through 25 | | | 52,255,373 | 26 | 60,267,743 |
| 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 | | | 15,197,483 | 27 | 15,731,598 |
| | 28 | Temporarily restricted net assets | | | 14,246,107 | 28 | 18,268,900 |
| | 29 | Permanently restricted net assets | | | 29,449,995 | 29 | 30,325,137 |
| | | 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 | | | 58,893,585 | 33 | 64,325,635 |
| | 34 | Total liabilities and net assets/fund balances | | | 111,148,958 | 34 | 124,593,378 |

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI ☒

| | | | |
|----------|---|----------|------------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 67,840,843 |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 65,141,342 |
| 3 | Revenue less expenses Subtract line 2 from line 1 | 3 | 2,699,501 |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 4 | 58,893,585 |
| 5 | Other changes in net assets or fund balances (explain in Schedule O) | 5 | 2,732,549 |
| 6 | Net assets or fund balances at end of year Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B)) | 6 | 64,325,635 |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII ☐

| | | 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 separate basis, consolidated 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

2010

Open to Public
Inspection

| | |
|--|--|
| Name of the organization Rockhurst University | Employer identification number 44-0545813 |
|--|--|

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 described in **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)

| | Yes | No |
|----------|-----|----|
| 11g(i) | | |
| 11g(ii) | | |
| 11g(iii) | | |

| (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 Sections 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 or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

| Section A. Public Support | | | | | | |
|---|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in) ▶ | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (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) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (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 Do not include gain or loss from the sale of capital assets (Explain in Part IV) | | | | | | |
| 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 2010 (line 6 column (f) divided by line 11 column (f)) | 14 | |
| 15 Public Support Percentage for 2009 Schedule A, Part II, line 14 | 15 | |
| 16a 33 1/3% support test—2010. 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—2009. 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—2010. 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—2009. 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 IIIPart III

Support Schedule for Organizations Described in Section 509(a)(2)
(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

| Section A. Public Support | | | | | | |
|--|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in)  | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (f) Total |
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.") | | | | | | |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | | | | | | |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 | | | | | | |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 Total. Add lines 1 through 5 | | | | | | |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons | | | | | | |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year | | | | | | |
| c Add lines 7a and 7b | | | | | | |
| 8 Public Support (Subtract line 7c from line 6) | | | | | | |

| Section B. Total Support | | | | | | |
|--|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in)  | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (f) Total |
| 9 Amounts from line 6 | | | | | | |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | | | | | | |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 | | | | | | |
| c Add lines 10a and 10b | | | | | | |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on | | | | | | |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) | | | | | | |
| 13 Total support (Add lines 9, 10c, 11 and 12.) | | | | | | |
| 14 First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here  | | | | | | |

| Section C. Computation of Public Support Percentage | | |
|---|----|--|
| 15 Public Support Percentage for 2010 (line 8 column (f) divided by line 13 column (f)) | 15 | |
| 16 Public support percentage from 2009 Schedule A, Part III, line 15 | 16 | |

| Section D. Computation of Investment Income Percentage | | |
|--|----|--|
| 17 Investment income percentage for 2010 (line 10c column (f) divided by line 13 column (f)) | 17 | |
| 18 Investment income percentage from 2009 Schedule A, Part III, line 17 | 18 | |
| 19a 33 1/3% support tests—2010. If the organization did not check the box on line 14, and line 15 is more than 33 1/3% and line 17 is not more than 33 1/3%, check this box and stop here . The organization qualifies as a publicly supported organization  | | |
| b 33 1/3% support tests—2009. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here . The organization qualifies as a publicly supported organization  | | |
| 20 Private Foundation If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions  | | |

Part IV

Supplemental Information. Supplemental Information. Complete this part to provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Additional Data

Software ID:
Software Version:
EIN: 44-0545813
Name: Rockhurst 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 | | | |
| REV LARRY BIONDI SJ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| JAMES G CASTELLANO TRUSTEE/CHAIRPERSON | 1 0 | X | | X | | | | 0 | 0 | 0 |
| CHARLES DUNLAP TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| TERRENCE P DUNN TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| GRETCHEN L DUNFORD TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| THOMAS GERKE TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DENNIS P HOGAN III TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| RAYMOND F BEAGLE JR TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| KERMIT J FENDLER TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DUANE LOCK TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| GREG GRAVES TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| WALTER MCCORMICK TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| THOMAS A MCDONNELL TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MICHAEL O'FLAHERTY TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| REV MICHAEL D BARBER SJ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| REV NICHOLAS RASHFORD SJ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DANIEL P CHARLES TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| YOUNG SEXTON TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MARNY DONNELLY SHERMAN TRUSTEE/SECRETARY | 1 0 | X | | X | | | | 0 | 0 | 0 |
| CAROL A DIRAIMO TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| RICHARD T SULLIVAN TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| DENNIS J THUM TRUSTEE/VICE CHAIRPERSON | 1 0 | X | | X | | | | 0 | 0 | 0 |
| STEPHEN A VALENTINO TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| REV WILLIAM T OULVEY SJ TRUSTEE/RECTOR OF JESUIT COMM | 1 0 | X | | | | | | 0 | 0 | 0 |
| REV PAUL H VU SJ TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |

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

| (A) Name and Title | (B) Average hours per week | (C) Position (check all that apply) | | | | | | (D) Reportable compensation from the organization (W- 2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099- MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|--|---|-----------------------|---------|--------------|---------------------------------|--------|---|--|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| CLYDE F WENDEL TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| KAREN T HAREN TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MATTHEW WENGERT TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| REV THOMAS B CURRAN OSFS TRUSTEE/PRESIDENT | 40 0 | X | | X | | | | 0 | 0 | 0 |
| ELLEN DARLING TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| EMILY WERNER TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| MADELINE ROMIOUS TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| ROBERT P DUNN TRUSTEE | 1 0 | X | | | | | | 0 | 0 | 0 |
| GUY SWANSON VP FINANCE & ADMINISTRATION | 40 0 | | | | X | | | 166,255 | 0 | 19,272 |
| JAMES M DALEY DEAN-HELZBERG SCHOOL OF MGMT | 40 0 | | | | | X | | 143,909 | 0 | 12,825 |
| ANTHONY L TOCCO PROFESSOR & MEN'S SOCCER COACH | 40 0 | | | | | X | | 113,231 | 0 | 16,703 |
| WILLIAM HAEFELE VP ACADEMIC AFFAIRS | 40 0 | | | | | X | | 135,481 | 0 | 16,535 |
| SARA A DAVIDS EVP FOR MARKETING & PR | 40 0 | | | | | X | | 112,331 | 0 | 16,885 |
| TIMOTHY L MCDONALD DEAN-COLLEGE OF ARTS & SCIENCE | 40 0 | | | | | X | | 115,240 | 0 | 15,536 |

SCHEDULE D
(Form 990)

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

2010

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

| | |
|---|---|
| Name of the organization Rockhurst University | Employer identification number 44-0545813 |
|---|---|

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

| | | |
|---|--|------------------------------|
| | (a) Donor advised funds | (b) Funds and other accounts |
| 1 | Total number at end of year | |
| 2 | Aggregate contributions to (during year) | |
| 3 | Aggregate grants from (during year) | |
| 4 | Aggregate value at end of year | |
| 5 | Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? <div><input type="checkbox"/> Yes <input type="checkbox"/> 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><input type="checkbox"/> Yes <input type="checkbox"/> 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 |
| a | Total number of conservation easements |
| b | Total acreage restricted by conservation easements |
| c | Number of conservation easements on a certified historic structure included in (a) |
| d | Number of conservation easements included in (c) acquired after 8/17/06 |

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) 2010

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 | 30,290,638 | 28,510,789 | 34,947,027 | | |
| b Contributions | 1,087,319 | 560,825 | 1,453,389 | | |
| c Investment earnings or losses | 3,896,780 | 4,776,455 | -4,713,161 | | |
| d Grants or scholarships | 2,490,000 | 1,868,500 | 1,941,000 | | |
| e Other expenditures for facilities and programs | 0 | 1,587,869 | 1,157,008 | | |
| f Administrative expenses | 134,225 | 101,062 | 78,458 | | |
| g End of year balance | 32,650,512 | 30,290,638 | 28,510,789 | | |

2

Provide the estimated percentage of the year end balance held as

a

Board designated or quasi-endowment ▶ 0 %

b

Permanent endowment ▶ 84 088 %

c

Term endowment ▶ 15 912 %

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)

Yes

No

(ii) related organizations

3a(ii)

Yes

No

b

If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?

3b

Yes

No

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 | 1,323,980 | 5,061,867 | | 6,385,847 |
| b Buildings | 1,770,681 | 69,828,089 | 27,644,124 | 43,954,646 |
| c Leasehold improvements | | | | |
| d Equipment | | 23,317,057 | 17,117,661 | 12,199,396 |
| e Other | | 4,495,448 | | 4,495,448 |
| Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) | | | | 67,035,337 |

Schedule D (Form 990) 2010

| | | | |
|---|---|-----------|--|
| 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 |
|--|----------------------------|---|
| LIABILITY FOR UNCERTAIN TAX POSITIONS UNDER FIN 48 | SCHEDULE D, PART X, LINE 2 | MANAGEMENT HAS EVALUATED THEIR INCOME TAX POSITIONS UNDER THE GUIDANCE INCLUDED IN ASC 740. BASED ON THEIR REVIEW, MANAGEMENT HAS NOT IDENTIFIED ANY MATERIAL UNCERTAIN TAX POSITIONS TO BE RECORDED OR DISCLOSED IN THE FINANCIAL STATEMENTS. |
| ENDOWMENT FUNDS | SCHEDULE D, PART V, LINE 4 | The University's endowment consists of approximately 300 individual funds established for a variety of purposes. The endowment includes both donor-restricted endowment funds and funds designated by the governing body to function as endowments (board designated endowment funds). As required by accounting principles generally accepted in the United States of America ("GAAP"), net assets associated with endowment funds, including board-designated endowment funds, are classified and reported based on the existence or absence of donor-imposed restrictions. The University's governing body has interpreted the State of Missouri Prudent Management of Institutional Funds Act (SPMIFA), adopted in August 2009, as requiring preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the University classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of donor-restricted endowment funds is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the University in a manner consistent with the standard of prudence prescribed by SPMIFA. In accordance with SPMIFA, the University considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds: 1. Duration and preservation of the fund. 2. Purposes of the University and the fund. 3. General economic conditions. 4. Possible effect of inflation and deflation. 5. Expected total return from investment income and appreciation or depreciation of investments. 6. Other resources of the University. 7. Investment policies of the University. Assets of the endowment fund are pooled on a market value basis. Each individual pooled endowment fund subscribes to or disposes of units on the basis of the per-unit market value at the beginning of the calendar month within which the transaction takes place. Under the University's endowment spending policy, for operational purposes the Board of Trustees annually directs that a percentage of a three-year rolling average market value of investments held for endowment purposes be allocated as a distribution of endowment income for current operations. For 2011, such percentage was 7%. The University has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs and other items supported by its endowment while seeking to maintain the purchasing power of the endowment. Endowment assets include those assets of donor-restricted endowment funds the University must hold in perpetuity or for donor-specified periods, as well as those of board-designated endowment funds. Under the University's policies, endowment assets are invested in a manner that is intended to maintain purchasing power, while reducing, to the greatest extent possible, the possibility of loss. The endowment funds return is measured on a time-weighted total return basis over a one, three and five year period of time against appropriate benchmarks and a manager universe of funds having a similar investment style. To satisfy its long-term rate of return objectives, the University relies on a total return strategy in which investment returns are achieved through both current yield (investment income such as dividends and interest) and capital appreciation (both realized and unrealized). The University targets a diversified asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints. |

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

2010

Open to Public
Inspection

Name of the organization
Rockhurst University

Employer identification number

44-0545813

Part I

- 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?
- 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?
- 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 If you need more space use Part II

- 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 Part II

- 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 Part II

- 6a Does the organization receive any financial aid or assistance from a governmental agency?

b 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 Part II

- 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 Part II

| | YES | NO |
|----|-----|----|
| 1 | Yes | |
| 2 | Yes | |
| 3 | Yes | |
| 4a | Yes | |
| 4b | Yes | |
| 4c | Yes | |
| 4d | Yes | |
| 5a | | No |
| 5b | | No |
| 5c | | No |
| 5d | | No |
| 5e | | No |
| 5f | | No |
| 5g | | No |
| 5h | | No |
| 6a | Yes | |
| 6b | | No |
| 7 | Yes | |

Part III Supplemental Information

Complete this part to provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable. Also complete this part to provide any other additional information (see instructions).

| Identifier | Return Reference | Explanation |
|---|-----------------------------------|--|
| RACIALLY NONDISCRIMINATORY POLICY | SCHEDULE E, PART I, LINE 3 | The University publishes the following nondiscrimination statement on the University website, in the University catalog, in the University newspaper, on applications for admission, in the financial aid guide and other brochures and solicitations: "Rockhurst University is committed to providing equal opportunity for all persons regardless of race, color, creed, religion, sex, pregnancy status, sexual orientation, marital status, national origin or ancestry, age, gender, disability, citizenship or intending citizenship status, gender identity, veteran status or any other status protected by law. Equal opportunity extends to all aspects of the administration of educational policies, admissions policies, scholarship and loan programs, athletics, and other school-administered policies and programs, and in its employment-related policies and procedures." |
| FINANCIAL AID OR ASSISTANCE FROM A GOVERNMENTAL AGENCY | SCHEDULE E, PART I, LINE 6A | The University participates in the Federal Pell Grant, Academic Competitiveness Grant, National Science and Mathematics Access to Retain Talent Grant, Teacher Education Assistance for College and Higher Education Grant, Federal Work Study Program, ARRA Federal Work Study Program, Federal Supplemental Educational Opportunity Grant, Federal Perkins Loan, Federal Direct Loan and Federal Family Education Loan programs. |

OMB No 1545-0047

Open to Public Inspection

44-0545813

3 Activites per Region (Use Part V if additional space is needed)

Schedule F (Form 990) 2010

1

(i) Method of valuation (book, FMV, appraisal, other)

Schedule F (Form 990) 2010

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 Part V if additional space is needed.

[illegible]

Part IV Foreign Forms

- 1

Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926 (see instructions for Form 926)*

☐

Yes

☒

No
- 2

Did the organization have an interest in a foreign trust during the tax year? *If " Yes," the organization may be required to file Form 3520 and/or Form 3520-A. (see instructions for Forms 3520 and 3520-A)*

☐

Yes

☒

No
- 3

Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with respect to Certain Foreign Corporations. (see instructions for Form 5471)*

☐

Yes

☒

No
- 4

Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see instructions for Form 8621)*

☐

Yes

☒

No
- 5

Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with respect to Certain Foreign Partnerships. (see instructions for Form 8865)*

☐

Yes

☒

No
- 6

Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to file Form 5713, International Boycott Report (see instructions for Form 5713).*

☐

Yes

☒

No

Additional Data

Software ID:
Software Version:
EIN: 44-0545813
Name: Rockhurst University

Part V **Supplemental Information**
Complete this part to provide the information (see instructions) required in Part I, line 2, and any additional information.

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

2010

Open to Public
Inspection

Name of the organization
Rockhurst University

Employer identification number
44-0545813

Part I Fundraising Activities. Complete if the organization answered "Yes" to Form 990, Part IV, line 17.

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 services?

☒ 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 and address 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 | | | |
| WILSON BENNETT TECHNOLOGY | PHONE CAMPAIGN | | No | 157,415 | 61,500 | 95,915 |
| Total ▶ | | | | 157,415 | 61,500 | 95,915 |

3

List all states in which the organization is registered or licensed to solicit funds or has been notified it is exempt from registration or licensing.

All States

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.

| | | (a) Event #1 | (b) Event #2 | (c) Other Events | (d) Total Events |
|-----------------|----|--|--------------|---------------------|----------------------------------|
| | | KC GOLF TOURNEY (event type) | (event type) | 0 (total number) | (Add col (a) through col (c)) |
| Revenue | 1 | Gross receipts | 25,700 | | 25,700 |
| | 2 | Less Charitable contributions | 17,595 | | 17,595 |
| | 3 | Gross income (line 1 minus line 2) | 8,105 | | 8,105 |
| Direct Expenses | 4 | Cash prizes | | | |
| | 5 | Non-cash prizes | 4,500 | | 4,500 |
| | 6 | Rent/facility costs | 7,321 | | 7,321 |
| | 7 | Food and beverages | 1,289 | | 1,289 |
| | 8 | Entertainment | | | |
| | 9 | Other direct expenses | 2,408 | | 2,408 |
| | 10 | Direct expense summary Add lines 4 through 9 in column (d) ▶ | | | 15,518 |
| | 11 | Net income summary Combine lines 3 and 10 in column (d). ▶ | | | -7,413 |

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.

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

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? ☐ Yes ☐ No

b If "No," Explain _____

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," Explain _____

11

Does the organization operate gaming activities with nonmembers?

☐ Yes ☐ No

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?

☐ Yes ☐ No

13

Indicate the percentage of gaming activity operated in

| | | |
|---|-----------------------------|-----|
| a | The organization's facility | 13a |
| b | An outside facility | 13b |

14

Provide 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?

☐ Yes ☐ No

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

☐ Director/officer

☐ Employee

☐ 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?

☐ Yes ☐ No

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 \$

Part IV Complete this part to provide additional information for responses to question on Schedule G (see instructions.)

| Identifier | ReturnReference | Explanation |
|------------|-----------------|-------------|
|------------|-----------------|-------------|

Schedule I
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Rockhurst 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

2010

Open to Public
Inspection

Employer identification number

44-0545813

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. Part II can be duplicated if additional space is needed. ☐

| 1 (a) Name and address of organization or government | (b) EIN | (c) IRC Code section if applicable | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of non-cash assistance | (h) Purpose of grant or assistance |
|--|---------|------------------------------------|--------------------------|-----------------------------------|---|--|------------------------------------|
| | | | | | | | |
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2

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

3

Enter total number of other organizations

Part IIIGrants 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 |
|--------------------------------|-------------------------|-------------------------|----------------------------------|--|---------------------------------------|
| (1) SCHOLARSHIPS | 1436 | 20,352,455 | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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

| Identifier | Return Reference | Explanation |
|---|----------------------------|---|
| PROCESS FOR MONITORING THE USE OF GRANTS IN THE U S | SCHEDULE I, PART I, LINE 2 | THE GRANTS MADE BY THE UNIVERSITY ARE PRIMARILY FOR STUDENT AID AND SCHOLARSHIPS A LIST OF RECIPIENTS OF SCHOLARSHIPS AND FELLOWSHIPS IS ON FILE AT THE UNIVERSITY AND IS AVAILABLE UPON REQUEST ALL STUDENTS RECEIVING SCHOLARSHIPS AND FELLOWSHIPS ARE JUDGED WORTHY BY THE UNIVERSITY ON THE BASIS OF ACADEMIC AND ATHLETIC ACHIEVEMENT, FINANCIAL NEED, AND OTHER SIMILAR STANDARDS |

Schedule J
(Form 990)

Compensation Information

OMB No 1545-0047

2010

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
Rockhurst University

Employer identification number

44-0545813

Part I

Questions Regarding Compensation

| | Yes | No |
|--|-----|----|
| <div>1a</div> <div>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><div><div><input type="checkbox"/> First-class or charter travel</div><div><input type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Discretionary spending account</div></div><div><div><input type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input type="checkbox"/> Health or social club dues or initiation fees</div><div><input type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div></div> | | |
| <div>1b</div> <div>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</div> | | |
| <div>2</div> <div>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?</div> | | |
| <div>3</div> <div>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><div><div><input checked="" type="checkbox"/> Compensation committee</div><div><input checked="" type="checkbox"/> Independent compensation consultant</div><div><input checked="" type="checkbox"/> Form 990 of other organizations</div></div><div><div><input checked="" 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></div> | | |
| <div>4</div> <div>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</div> | | |
| <div>a</div> <div>Receive a severance payment or change-of-control payment from the organization or a related organization?</div> | | No |
| <div>b</div> <div>Participate in, or receive payment from, a supplemental nonqualified retirement plan?</div> | | No |
| <div>c</div> <div>Participate in, or receive payment from, an equity-based compensation arrangement?</div> <div>If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III</div> | | No |
| <div></div> <div>Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.</div> | | |
| <div>5</div> <div>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</div> | | |
| <div>a</div> <div>The organization?</div> | | No |
| <div>b</div> <div>Any related organization?</div> <div>If "Yes," to line 5a or 5b, describe in Part III</div> | | No |
| <div>6</div> <div>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</div> | | |
| <div>a</div> <div>The organization?</div> | | No |
| <div>b</div> <div>Any related organization?</div> <div>If "Yes," to line 6a or 6b, describe in Part III</div> | | No |
| <div>7</div> <div>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</div> | | No |
| <div>8</div> <div>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</div> | | No |
| <div>9</div> <div>If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)?</div> | | |

Part II **Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

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

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

| (A) Name | | (B) Breakdown of W-2 and/or 1099-MISC compensation | | | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|---------------------|------|--|-------------------------------------|-------------------------------------|--|-------------------------|---------------------------------|--|
| | | (i) Base compensation | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | | | | |
| (1) GUY SWANSON | (i) | 166,165 | 0 | 90 | 10,074 | 9,198 | 185,527 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (2) JAMES M DALEY | (i) | 143,513 | 0 | 396 | 8,827 | 3,998 | 156,734 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (3) WILLIAM HAEFELE | (i) | 135,283 | 0 | 198 | 8,582 | 7,953 | 152,016 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (4) | | | | | | | | |
| (5) | | | | | | | | |
| (6) | | | | | | | | |
| (7) | | | | | | | | |
| (8) | | | | | | | | |
| (9) | | | | | | | | |
| (10) | | | | | | | | |
| (11) | | | | | | | | |
| (12) | | | | | | | | |
| (13) | | | | | | | | |
| (14) | | | | | | | | |
| (15) | | | | | | | | |
| (16) | | | | | | | | |

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 |
|-------------------------|--|--|
| OFFICER COMPENSATION | FORM 990, PART VII, SECTION A, LINE 1 | THE COMPENSATION PAID TO REV THOMAS B CURRAN OSFS, PRESIDENT, IS PAID TO HIS RELIGIOUS ORDER |

| | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|------------------|---------------------------|
| Schedule K (Form 990) | 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 | |
| | | | | | | | | | | | 2010 | |
| | Department of the Treasury Internal Revenue Service | | | | | | | | | | | Open to Public Inspection |
| Name of the organization Rockhurst University | | | | | | | | | | Employer identification number 44-0545813 | | |

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 | | (i) Pool financing | |
|---|--|----------------|-------------|-----------------|-----------------|----------------------------|--------------|----|-------------------------|----|--------------------|----|
| | | | | | | | Yes | No | Yes | No | Yes | No |
| A | HEALTH & ED FACILITIES AUTHORITY OF THE ST OF MO | 43-1178966 | 60636AAP8 | 02-14-2011 | 21,530,309 | SEE SCHEDULE K, PART V | | X | | X | | X |
| B | HEALTH & ED FACILITIES AUTHORITY OF THE ST OF MO | 43-1178966 | 60636AAQ6 | 02-14-2011 | 22,790,000 | SEE SCHEDULE K, PART V | | X | | X | | X |
| C | HEALTH & ED FACILITIES AUTHORITY OF THE ST OF MO | 43-1178966 | 60635HK99 | 04-26-2011 | 4,947,775 | SEE SCHEDULE K, PART V | | X | | X | | X |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

Part II

Proceeds

| | | A | | B | | C | | D | |
|----|--|------------|----|------------|----|-----------|----|-----|----|
| 1 | Amount of bonds retired | 0 | | 0 | | 0 | | | |
| 2 | Amount of bonds legally defeased | 0 | | 0 | | 0 | | | |
| 3 | Total proceeds of issue | 21,530,309 | | 22,790,000 | | 4,947,775 | | | |
| 4 | Gross proceeds in reserve funds | 1,728,688 | | 0 | | 0 | | | |
| 5 | Capitalized interest from proceeds | 481,925 | | 0 | | 0 | | | |
| 6 | Proceeds in refunding escrow | 6,960,516 | | 22,790,000 | | 0 | | | |
| 7 | Issuance costs from proceeds | 426,160 | | 0 | | 70,735 | | | |
| 8 | Credit enhancement from proceeds | 0 | | 0 | | 0 | | | |
| 9 | Working capital expenditures from proceeds | 0 | | 0 | | 4,877,040 | | | |
| 10 | Capital expenditures from proceeds | 2,750,977 | | 0 | | 0 | | | |
| 11 | Other spent proceeds | 4,418,421 | | 0 | | 0 | | | |
| 12 | Other unspent proceeds | 5,245,548 | | 0 | | 0 | | | |
| 13 | Year of substantial completion | 2011 | | 2011 | | 2011 | | | |
| | | Yes | No | Yes | No | Yes | No | Yes | No |
| 14 | Were the bonds issued as part of a current refunding issue? | X | | X | | | X | | |
| 15 | Were the bonds issued as part of an advance refunding issue? | | X | | X | | X | | |
| 16 | Has the final allocation of proceeds been made? | | X | X | | X | | | |
| 17 | Does the organization maintain adequate books and records to support the final allocation of proceeds? | X | | X | | X | | | |

Part III

Private Business Use

| | | A | | B | | C | | D | |
|---|--|-----|----|-----|----|-----|----|-----|----|
| | | 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 | | |
| 2 | Are there any lease arrangements that may result in private business use of bond-financed property? | | X | | X | | X | | |

Part III

Private Business Use (Continued)

| | | A | | B | | C | | D | |
|----|--|-----|----|-----|----|-----|----|-----|----|
| | | Yes | No | Yes | No | Yes | No | Yes | No |
| | | | | | | | | | |
| 3a | Are there any management or service contracts that may result in private business use? | | X | | X | | X | | |
| b | Are there any research agreements that may result in private business use of bond-financed property? | | X | | X | | X | | |
| c | 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? | | | | | | | | |
| 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 | 0 % | | 0 % | | 0 % | | | |
| 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 | | | |

Part IV

Arbitrage

| | | A | | B | | C | | D | |
|----|--|-------------------|----|-------------------|----|-----|----|-----|----|
| | | 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 | | |
| 2 | Is the bond issue a variable rate issue? | | X | X | | | X | | |
| 3a | Has the organization or the governmental issuer entered into a hedge with respect to the bond issue? | | X | X | | | X | | |
| b | Name of provider | BOA & WELLS FARGO | | BOA & WELLS FARGO | | | | | |
| c | Term of hedge | 21 66 | | 21 66 | | | | | |
| d | Was the hedge superintegrated? | | X | | X | | | | |
| e | Was a hedge terminated? | | X | | X | | | | |
| 4a | Were gross proceeds invested in a GIC? | | 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 | | |
| 6 | Did the bond issue qualify for an exception to rebate? | | X | | X | | X | | |

Part V

Supplemental Information

Complete this part to provide additional information for responses to questions on Schedule K (see instructions)

| Identifier | Return Reference | Explanation |
|------------------------|------------------------------|--|
| DESCRIPTION OF PURPOSE | SCHEDULE K, PART I, COLUMN F | BOND A EDUCATIONAL FACILITIES REFUNDING REVENUE BONDS ROCKHURST UNIVERSITY SERIES 2011A BOND B EDUCATIONAL FACILITIES REFUNDING REVENUE BONDS ROCKHURST UNIVERSITY SERIES 2011B BOND C REVENUE ANTICIPATION NOTE (PRIVATE EDUCATION WORKING CAPTIAL LOAN PROGRAM) SERIES 2011B |
| | | |
| | | |
| | | |

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
2010
Open to Public Inspection

Name of the organization
Rockhurst University

Employer identification number
44-0545813

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 |
|-------------------------------|--|--|
| | | |
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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 |
| (1) SEE SCHEDULE L PART V | | | | | |
| | | | | | |
| | | | | | |
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| | | | | | |

Part V

Supplemental Information
Complete this part to provide additional information for responses to questions on Schedule L (see instructions)

| Identifier | Return Reference | Explanation |
|---|---------------------|--|
| BUSINESS TRANSACTIONS WITH INTERESTED PERSONS | SCHEDULE L, PART IV | TRANSACTION 1 (A) JE DUNN CONSTRUCTION COMPANY (JE DUNN) (B) TERRENCE P DUNN IS A TRUSTEE OF ROCKHURST UNIVERSITY AND THE PRESIDENT/CEO OF JE DUNN TERRENCE P DUNN, TRUSTEE, ALSO HAS A FAMILY RELATIONSHIP WITH ROBERT P DUNN, VICE PRESIDENT - COMMUNITY AFFAIRS FOR JE DUNN (C) 3,082,992 (D) JE DUNN IS THE GENERAL CONTRACTOR FOR THE CONSTRUCTION OF THE UNIVERSITY'S NEW PARKING GARAGE FACILITY (E) NO |

SCHEDULE M
(Form 990)

NonCash Contributions

OMB No 1545-0047

2010

Open to Public Inspection

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

Name of the organization
Rockhurst University

Employer identification number
44-0545813

Part I

Types of Property

| | (a) Check if applicable | (b) Number of Contributions or items contributed | (c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g | (d) Method of determining oncash contribution amounts |
|--|-------------------------------|--|--|---|
| 1 Art—Works of art | | | | |
| 2 Art—Historical treasures | | | | |
| 3 Art—Fractional interests | | | | |
| 4 Books and publications | | | | |
| 5 Clothing and household goods | | | | |
| 6 Cars and other vehicles . | X | 2 | 9,220 | RESALE VALUE |
| 7 Boats and planes | | | | |
| 8 Intellectual property . . | | | | |
| 9 Securities—Publicly traded | X | 18 | 92,963 | FMV AT DATE RECEIVED |
| 10 Securities—Closely held stock | | | | |
| 11 Securities—Partnership, LLC, or trust interests . | | | | |
| 12 Securities—Miscellaneous | | | | |
| 13 Qualified conservation contribution—Historic structures | | | | |
| 14 Qualified conservation contribution—Other . . | | | | |
| 15 Real estate—Residential . | | | | |
| 16 Real estate—Commercial | | | | |
| 17 Real estate—Other . . | X | 1 | 47,500 | APPRAISAL VALUE |
| 18 Collectibles | | | | |
| 19 Food inventory | | | | |
| 20 Drugs and medical supplies | | | | |
| 21 Taxidermy | | | | |
| 22 Historical artifacts . . | | | | |
| 23 Scientific specimens . . | | | | |
| 24 Archeological artifacts . | | | | |
| 25 Other ► (VARIOUS) | X | 3 | 3 | RESALE VALUE |
| 26 Other ► () | | | | |
| 27 Other ► () | | | | |
| 28 Other ► () | | | | |
| 29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement | 29 | | | 0 |

| | | | |
|-----|---|-----|----|
| 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? | Yes | No |
| b | If "Yes," describe the arrangement in Part II | | No |
| 31 | Does the organization have a gift acceptance policy that requires the review of any non-standard contributions? | Yes | |
| 32a | Does the organization hire or use third parties or related organizations to solicit, process, or sell non-cash contributions? | Yes | |
| b | If "Yes," describe in Part II | | |
| 33 | If the organization did not report revenues in column (c) for a type of property for which column (a) is checked, describe in Part II | | |

Part II

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

| Identifier | Return Reference | Explanation |
|---|------------------------------|---|
| USE OF THIRD PARTIES TO SOLICIT, PROCESS OR SELL NON-CASH CONTRIBUTIONS | SCHEDULE M, PART I, LINE 32B | THE UNIVERSITY USES AN OUTSIDE BROKERAGE FIRM TO SELL SHARES OF STOCK THE UNVERSITY RECEIVES AS CONTRIBUTIONS |
| NUMBER OF CONTRIBUTIONS | SCHEDULE M, PART I, COLUMN B | THE AMOUNTS LISTED IN COLUMN B ARE A COMBINATION OF NUMBER OF CONTRIBUTIONS AND NUMBER OF ITEMS CONTRIBUTED |

SCHEDULE O

(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

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

OMB No 1545-0047

2010

Open to Public
Inspection

| | |
|--|--|
| Name of the organization Rockhurst University | Employer identification number 44-0545813 |
|--|--|

| Identifier | Return Reference | Explanation |
|------------------------|-------------------------------|--|
| ORGANIZATION'S MISSION | FORM 990, PART III, LINE 1 | ROCKHURST UNIVERSITY EXISTS TO TRANSFORM LIVES BY CREATING A LEARNING COMMUNITY CENTERED IN EXCELLENCE IN UNDERGRADUATE LIBERAL ARTS EDUCATION AND GRADUATE EDUCATION ROCKHURST IS CATHOLIC AND JESUIT, INVOLVED IN THE LIFE AND GROWTH OF THE CITY AND THE REGION, AND COMMITTED TO THE SERVICE OF THE CONTEMPORARY WORLD |

| Identifier | Return Reference | Explanation |
|-----------------------------------|--------------------------------------|--|
| BUSINESS AND FAMILY RELATIONSHIPS | FORM 990, PART VI, SECTION A, LINE 2 | TERRENCE P DUNN, GREG GRAVES AND CLYDE F WENDEL, ALL TRUSTEES, HAVE A BUSINESS RELATIONSHIP. TERRENCE P DUNN AND GREG GRAVES SERVE ON THE BOARD OF DIRECTORS FOR UMB BANK AND CLYDE F WENDEL IS THE VICE CHAIRMAN OF UMB BANK. THOMAS GERKE, TRUSTEE, AND WALTER B MCCORMICK, TRUSTEE, HAD A BUSINESS RELATIONSHIP UNTIL DECEMBER 2010. THOMAS GERKE SERVED ON THE BOARD OF DIRECTORS FOR US TELECOM ASSOCIATION, WHICH EMPLOYS WALTER B MCCORMICK. THOMAS A MCDONNELL, TRUSTEE AND TERRENCE P DUNN, TRUSTEE, HAVE A BUSINESS RELATIONSHIP. THEY SERVE ON THE BOARD OF DIRECTORS FOR KANSAS CITY SOUTHERN. TERRENCE P DUNN, TRUSTEE AND ROBERT P DUNN, TRUSTEE ARE BROTHERS. |

| Identifier | Return Reference | Explanation |
|-------------------------------|---|---|
| FORM 990 REVIEW PROCESS | FORM 990, PART VI, SECTION B, LINE 11B | An independent accounting firm prepares and review s the 990 based upon information provided by University management and accounting personnel The 990 is then review ed by University management and accounting personnel Any questions or concerns that University management and accounting personnel have are addressed and any corrections or clarifications are made The draft version 990 is then provided to the Audit Committee of the Board of Trustees for their review Any questions or concerns that the Audit Committee members have are addressed and any corrections or clarifications are made An electronic copy of the final form 990 w ith all required schedules is provided to all members of the Board of Trustees |

| Identifier | Return Reference | Explanation |
|-----------------------------|--|--|
| CONFLICT OF INTEREST POLICY | FORM 990, PART VI, SECTION B, LINE 12C | <p>A copy of the Conflict of Interest policy is provided at the time of hire for faculty and administrative staff, and thereafter is available on the University's intranet site. In the case of the Board of Trustees, a copy of the Conflict of Interest policy is provided at the time of election, and thereafter on an annual basis each June. Trustees, officers, key employees and highly compensated employees are also required to complete annually a disclosure statement regarding business and family relationships, related persons and activities. The completed disclosure statements are reviewed by University management and accounting personnel, and are kept on file in the University's Office of Finance and Human Resources. If an interested party is an employee, a member with oversight of the department employing the individual shall make a determination as to whether a conflict exists and implement the appropriate safeguards and conflict management plan to protect the University and the parties, including notifying the Board of Trustees. If the interested party is an officer, trustee or member of a committee, after disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the Board of Trustees or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining Board or committee members shall decide if a conflict of interest exists. If the governing Board of Trustees or committee has reasonable cause to believe an interested person has failed to disclose actual or possible conflicts of interest, it shall inform the interested person of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose. If, after hearing the interested person's response and after making further investigation as warranted by the circumstances, the governing Board of Trustees or committee determines the interested person has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.</p> |

| Identifier | Return Reference | Explanation |
|---------------------|---|---|
| COMPENSATION REVIEW | FORM 990, PART VI, SECTION B, LINES 15A & B | The Executive Committee of the Board of Trustees determines the annual compensation for the University President. The President's compensation is compared to salary data for a benchmark group of peer institutions. The terms of the President's compensation are documented in a written employment contract on file in the University Human Resources Department. The President's compensation is paid to his Religious Order. The University Planning & Budgeting Committee makes an annual recommendation to the President and Board of Trustees for any salary adjustments for faculty and administrative staff within the parameters of the annual operating budget. This includes key employees of the organization. Additionally, the Executive Committee of the Board of Trustees annually reviews compensation for the key employees of the University and compares compensation to salary data for a benchmark group of peer institutions. |

| Identifier | Return Reference | Explanation |
|---------------------------|---------------------------------------|---|
| AVAILABILITY OF DOCUMENTS | FORM 990, PART VI, SECTION C, LINE 19 | THE FINANCIAL STATEMENTS ARE AVAILABLE ON THE UNIVERSITY'S WEBSITE THE GOVERNING DOCUMENTS AND CONFLICT OF INTEREST POLICY ARE AVAILABLE UPON REQUEST |

| Identifier | Return Reference | Explanation |
|------------------------------|---------------------------|--|
| RECONCILIATION OF NET ASSETS | FORM 990, PART XI, LINE 5 | OTHER CHANGES IN NET ASSETS OR FUND BALANCES RELATED ORGANIZATION REVENUES \$ 42,461,816 RELATED ORGANIZATION EXPENSES (41,454,532) UNREALIZED GAINS & LOSSES 3,222,824 LOSS ON ADVANCE REFUNDING (1,088,920) MINORITY INTEREST IN EQUITY OF RUCEC (395,910) RESTRICTED INVESTMENT INCOME (10,116) CURMA INTEREST INCOME (2,613) ----- TOTAL \$ 2,732,549 ===== |

| Identifier | Return Reference | Explanation |
|--|---------------------|---|
| HOURS DEVOTED FOR RELATED ORGANIZATION | FORM 990 PART VII | NAME REV THOMAS B CURRAN OSFS TITLE TRUSTEE/PRESIDENT HOURS 1 |

| Identifier | Return Reference | Explanation |
|--|-------------------|---|
| HOURS DEVOTED FOR RELATED ORGANIZATION | FORM 990 PART VII | NAME GUY SWANSON TITLE VP FINANCE & ADMINISTRATION HOURS 1 |

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

2010

Open to Public Inspection

Name of the organization
Rockhurst University

Employer identification number
44-0545813

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

| (a) Name, address, and EIN of disregarded entity | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Total income | (e) End-of-year assets | (f) Direct controlling entity |
|---|-------------------------|--|---------------------|---------------------------|----------------------------------|
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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 | (g) Section 512(b)(13) controlled organization | |
|--|-------------------------|--|----------------------------|---|----------------------------------|---|----|
| | | | | | | Yes | No |
| (1) ROCKHURST UNIVERSITY - CEC 6901 WEST 63RD ST SHAWNEE MISSION, KS 66202 43-1576558 | CONTINUING ED | MO | 501(C)(3) | 9 | ROCKHURST U | | |
| (2) WOODROCK FOUNDATION 1100 ROCKHURST ROAD KANSAS CITY, MO 64110 43-0980688 | REAL ESTATE | MO | 501(C)(2) | N/A | ROCKHURST U | | |
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Part III

Identification of Related Organizations Taxable as a Partnership (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.)

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Predominant income (related, unrelated, excluded from tax under sections 512- 514) | (f) Share of total income | (g) Share of end-of-year assets | (h) Disproporionate allocations? | | (i) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065) | (j) General or managing partner? | | (k) Percentage ownership |
|--|-------------------------|--|-------------------------------------|---|------------------------------|---------------------------------------|--|----|---|---|----|--------------------------------|
| | | | | | | | Yes | No | | Yes | No | |
| | | | | | | | | | | | | |
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Part IV

Identification of Related Organizations Taxable as a Corporation or Trust (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.)

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Type of entity (C corp, S corp, or trust) | (f) Share of total income | (g) Share of end-of-year assets | (h) Percentage ownership |
|---|-------------------------|---|-------------------------------------|--|------------------------------|--|--------------------------------|
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Part V

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

1b No

1c No

1d Yes

1e No

1f No

1g No

1h No

1i No

1j No

1k No

1l No

1m No

1n No

1o No

1p No

1q No

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 | (d) Method of determining amount involved |
|-----------------------------------|---------------------------------|------------------------|---|
| (1) ROCKHURST UNIVERSITY - CEC | A (I) | 19,434 | |
| (2) ROCKHURST UNIVERSITY - CEC | R | 514,413 | |
| (3) | | | |
| (4) | | | |
| (5) | | | |
| (6) | | | |

Schedule R (Form 990) 2010

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]

Part VII **Supplemental Information**

Complete this part to provide additional information for responses to questions on Schedule R (see instructions)

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