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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

2011

Open to Public Inspection

A For the 2011 calendar year, or tax year beginning 09-01-2011 and ending 08-31-2012

B Check if applicable

☐ Address change

☐ Name change

☐ Initial return

☐ Terminated

☐ Amended return

☐ Application pending

C Name of organization
Northwestern University

Doing Business As

Number and street (or P O box if mail is not delivered to street address)
633 Clark St

Room/suite

City or town, state or country, and ZIP + 4
Evanston, IL 60208

F Name and address of principal officer
Eugene Sunshine
633 Clark St
Evanston,IL 60208

H(a) Is this a group return for affiliates?

☐ Yes ☒ No

H(b) Are all affiliates included?

☐ Yes ☐ No

If "No," attach a list (see instructions)

H(c) Group exemption number ▶

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

J Website: ▶ www.northwestern.edu

K Form of organization ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation 1851

M State of legal domicile IL

Part I		Summary		
Activities & Governance	1	Briefly describe the organization's mission or most significant activities Education and research		
	2	Check this box <input 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	36
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	26
Revenue	5	Total number of individuals employed in calendar year 2011 (Part V, line 2a)	5	22,517
	6	Total number of volunteers (estimate if necessary)	6	152
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	-1,317,981
	b	Net unrelated business taxable income from Form 990-T, line 34	7b	0
	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9	Program service revenue (Part VIII, line 2g)	191,440,295	265,414,664
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,545,225,391	1,582,568,067
Expenses	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	528,461,744	346,027,966
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	101,051,025	125,525,219
	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	2,366,178,455	2,319,535,916
	14	Benefits paid to or for members (Part IX, column (A), line 4)	310,452,467	336,067,759
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	0	0
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	901,697,344	989,249,620
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶35,902,274	154,958	155,359
Net Assets or Fund Balances	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)		
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	809,001,977	774,600,821
	19	Revenue less expenses Subtract line 18 from line 12	2,021,306,746	2,100,073,559
			344,871,709	219,462,357
			Beginning of Current Year	End of Year
	20	Total assets (Part X, line 16)	9,335,729,608	9,839,073,934
	21	Total liabilities (Part X, line 26)	1,527,416,817	1,739,966,403
	22	Net assets or fund balances Subtract line 21 from line 20	7,808,312,791	8,099,107,531

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

Eugene Sunshine Sr VP for Business and Finance

2013-07-12

Date

Paid Preparer's Use Only

Preparer's signature

Travis L Patton

Date

2013-07-12

Check if self-employed ☐

Preparer's taxpayer identification number (see instructions)

P00369623

Firm's name (or yours if self-employed), address, and ZIP + 4

PricewaterhouseCoopers LLP
1301 K Street NW Suite 800W
Washington, DC 20005

EIN ▶ 13-4008324

Phone no ▶ (212) 414-1000

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat No 11282Y

Form 990 (2011)

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

Northwestern's mission is to provide the highest-quality education for its students, to develop innovative programs in research, and to sustain an academic community that embraces these enterprises

2

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

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

3

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

If "Yes," describe these changes on Schedule O

4

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

4a

(Code) (Expenses \$ 1,379,346,954 including grants of \$ 265,714,493) (Revenue \$ 982,938,531)

Education of students For the 2012 academic year, 8,494 undergraduates and 8,352 graduates and professional school students enrolled full-time at the University The exempt purpose of Northwestern University is to provide educational services to its students This includes superior undergraduate education for a diverse student body in a comprehensive range of academic and professional fields At the graduate level, Northwestern's role encompasses offerings in the major academic and professional fields, closely related to research, creative activities, and clinical services

4b

(Code) (Expenses \$ 425,743,000 including grants of \$ 70,353,266) (Revenue \$ 527,840,580)

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

4c

(Code) (Expenses \$ 102,521,000 including grants of \$ 0) (Revenue \$ 76,507,254)

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

4d

Other program services (Describe in Schedule O)


























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

4e

Total program service expenses \$ 1,907,610,954

Part IV

Checklist of Required Schedules

		Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A 	1	Yes
2	Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? 	2	Yes
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I 	3	No
4	Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II 	4	Yes
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? If "Yes," complete Schedule C, Part III 	5	No
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I 	6	Yes
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? If "Yes," complete Schedule D, Part II 	7	No
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III 	8	No
9	Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV 	9	No
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V 	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? If "Yes," complete Schedule D, Part VI. 	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? If "Yes," complete Schedule D, Part VII. 	11b	Yes
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? If "Yes," complete Schedule D, Part VIII. 	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? If "Yes," complete Schedule D, Part IX. 	11d	No
e	Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X. 	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)? If "Yes," complete Schedule D, Part X. 	11f	Yes
12a	Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI, XII, and XIII 	12a	No
b	Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional 	12b	Yes
13	Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E 	13	Yes
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a	Yes
b	Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Part I 	14b	Yes
15	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the U S ? If "Yes," complete Schedule F, Part II and IV 	15	Yes
16	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the U S ? If "Yes," complete Schedule F, Part III and IV 	16	Yes
17	Did the organization report a total of more than \$15,000, of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I 	17	Yes
18	Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II 	18	Yes
19	Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III 	19	No
20a	Did the organization operate one or more hospitals? If "Yes," complete Schedule H	20a	No
b	If "Yes" to line 20a, did the organization attach its audited financial statement to this return? Note. All Form 990 filers that operated one or more hospitals must attach audited financial statements	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	Yes	
22	Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22	Yes	
23	Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer questions 24b–24d and complete Schedule K. If "No," go to line 25</i>	24a	Yes	
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		No
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		No
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		No
25a	Section 501(c)(3) and 501(c)(4) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>	25a		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b		No
26	Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II</i>	26	Yes	
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III</i>	27	Yes	
28	Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b	Yes	
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c	Yes	
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	Yes	
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33		No
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i>	34	Yes	
35a	Is any related organization a controlled entity of the filing organization within the meaning of section 512(b)(13)?	35a	Yes	
b	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>	35b	Yes	
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	Yes	
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? Note. All Form 990 filers are required to complete Schedule O	38	Yes	

Part V Statements Regarding Other IRS Filings and Tax Compliance						
Check if Schedule O contains a response to any question in this Part V <input type="checkbox"/>						
		Yes	No			
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable. .	1a	23,789			
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.	1b	0			
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	Yes			
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements filed for the calendar year ending with or within the year covered by this return. .	2a	22,517			
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).	2b	Yes			
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	Yes			
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O.	3b	Yes			
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account or securities account)? .	4a	Yes			
b	If "Yes," enter the name of the foreign country: NI, QA, UK See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts					
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a				No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b				No
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c				
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible?	6a				No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b				
7	Organizations that may receive deductible contributions under section 170(c).					
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	Yes			
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	Yes			
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c				No
d	If "Yes," indicate the number of Forms 8282 filed during the year.	7d				
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e				No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f				No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g				
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h				
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8				No
9	Sponsoring organizations maintaining donor advised funds.					
a	Did the organization make any taxable distributions under section 4966?	9a				No
b	Did the organization make a distribution to a donor, donor advisor, or related person?	9b				No
10	Section 501(c)(7) organizations. Enter					
a	Initiation fees and capital contributions included on Part VIII, line 12.	10a				
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.	10b				
11	Section 501(c)(12) organizations. Enter					
a	Gross income from members or shareholders.	11a				
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them).	11b				
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a				
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.	12b				
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. All 501(c)(29) organizations must list in Schedule O each state in which they are licensed to issue qualified health plans, the amount of reserves required by each state, and the amount of reserves the organization allocated to each state.	13a				
b	Enter the aggregate amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.	13b				
c	Enter the aggregate amount of reserves on hand.	13c				
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a				No
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O.	14b				

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			
1b	Enter the number of voting members included in line 1a, above, who are independent			
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	Yes	
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5		No
6	Did the organization have members or stockholders?	6		No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a		No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	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	Did the organization have local chapters, branches, or affiliates?	10a		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b		
11a	Has the organization provided a complete 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 the Form 990			
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13	12a	Yes	
b	Were officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	Yes	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	12c	Yes	
13	Did the organization have a written whistleblower policy?	13		No
14	Did the organization have a written document retention and destruction policy?	14		No
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official	15a	Yes	
b	Other officers or key employees of the organization	15b	Yes	
	If "Yes," to line 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	Yes	
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b		No

Section C. Disclosure

17	List the States with which a copy of this Form 990 is required to be filed▶AK , AZ , KY , MD , MI , NH , NY , OH , OR , SC
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 made 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 made its governing documents, conflict of interest policy, and financial statements available to the public. See Additional Data Table.
20	State the name, physical address, and telephone number of the person who possesses the books and records of the organization ▶ Karl Turro Controller 619 Clark St Evanston, IL 60208 (847) 491-4722

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

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

Form **990** (2011)

Part VII

1b	Sub-Total	▼			
c	Total from continuation sheets to Part VII, Section A	▼			
d	Total (add lines 1b and 1c)	▼	11,411,290	6,919,666	2,006,687

2 Total number of individuals (including but not limited to those listed \$100,000 of reportable compensation from the organization) **1,725**

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

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
LBR Consolidated Services 440 Bonner Rd Wauconda, IL 60084	Custodial services	9,154,493
Bridgewater Associates LP One Glendinning Place Westport, CT 06880	Investment management	2,306,297
The Free Enterprise System Inc One Sodrel Drive Jeffersonville, IN 47130	Transportation services	2,060,626
The Family Institute 618 Library Place Evanston, IL 60201	Instruction services	1,825,231
Northwestern Memorial Hospital 251 East Huron Chicago, IL 60611	Clinical services	1,337,626

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization 356

Part VIII

Statement of Revenue

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
Contributions, gifts, grants and other similar amounts	1a	Federated campaigns . . .	1a				
	b	Membership dues	1b				
	c	Fundraising events	1c	1,233,749			
	d	Related organizations	1d				
	e	Government grants (contributions)	1e	7,275,755			
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	256,905,160			
	g	Noncash contributions included in lines 1a-1f \$ 23,993,322					
	h	Total. Add lines 1a-1f		265,414,664			
Program Service Revenue			Business Code				
	2a	Tuition and fees	900099	799,143,228	799,143,228		
	b	Research activities	900099	527,840,580	527,840,580		
	c	Educational activities	900099	122,915,380	122,915,380		
	d	Auxiliary enterprises	900099	76,507,254	76,507,254		
	e	Medical departments	900099	32,353,935	32,353,935		
	f	All other program service revenue		23,807,690	23,807,690		
	g	Total. Add lines 2a-2f		1,582,568,067			
Other Revenue	3	Investment income (including dividends, interest and other similar amounts)		78,304,309	4,838,036		73,466,273
	4	Income from investment of tax-exempt bond proceeds . .					
	5	Royalties		122,601,732			122,601,732
	6a	Gross rents	(i) Real				
			(ii) Personal				
			5,803,205				
			1,956,198				
	b	Less rental expenses					
	c	Rental income or (loss)	3,847,007				
	d	Net rental income or (loss)		3,847,007			3,847,007
	7a	Gross amount from sales of assets other than inventory	(i) Securities				
			(ii) Other				
			531,858,045				
			907,626,942				
	b	Less cost or other basis and sales expenses	520,427,833	651,333,497			
	c	Gain or (loss)	11,430,212	256,293,445			
	d	Net gain or (loss)		267,723,657	-119,738		267,843,395
	8a	Gross income from fundraising events (not including \$ 1,233,749 of contributions reported on line 1c) See Part IV, line 18					
	a		303,271				
	b	Less direct expenses	b	304,696			
	c	Net income or (loss) from fundraising events . .		-1,425			-1,425
	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 . .						
10a	Gross sales of inventory, less returns and allowances	a					
a							
b	Less cost of goods sold	b					
c	Net income or (loss) from sales of inventory . .						
Miscellaneous Revenue		Business Code					
11a	Alumni affinity card	900099	395,886			395,886	
b	Alumni travel study	561520	205,860		205,860		
c	Investment in partners	523000	-1,616,427		-1,616,427		
d	All other revenue		92,586		92,586		
e	Total. Add lines 11a-11d		-922,095				
12	Total revenue. See Instructions		2,319,535,916	1,587,286,365	-1,317,981	468,152,868	

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)

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

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 United States See Part IV, line 21	63,044,059	63,044,059		
2	Grants and other assistance to individuals in the United States See Part IV, line 22	267,459,805	267,459,805		
3	Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16	5,563,895	5,563,895		
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees	10,475,144	3,014,463	6,687,073	773,608
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7	Other salaries and wages	803,642,700	746,634,210	38,180,020	18,828,470
8	Pension plan contributions (include section 401(k) and section 403(b) employer contributions)	59,317,282	54,163,634	3,445,748	1,707,900
9	Other employee benefits	65,693,924	60,085,542	3,749,785	1,858,597
10	Payroll taxes	50,120,570	45,724,812	2,939,021	1,456,737
11	Fees for services (non-employees)				
a	Management				
b	Legal	4,123,254		4,123,254	
c	Accounting	716,647		716,647	
d	Lobbying	518,088		518,088	
e	Professional fundraising See Part IV, line 17	155,359			155,359
f	Investment management fees	38,974,787		38,974,787	
g	Other	154,021,343	145,044,966	6,916,279	2,060,098
12	Advertising and promotion	18,164,015	12,805,653	1,025,481	4,332,881
13	Office expenses	138,964,057	133,829,552	2,643,959	2,490,546
14	Information technology	17,262,157	12,907,078	4,167,252	187,827
15	Royalties	41,338,833	41,334,082	4,751	
16	Occupancy	105,828,162	104,117,792	1,384,181	326,189
17	Travel	45,948,027	44,265,667	651,108	1,031,252
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	23,316,815	22,327,664	690,623	298,528
20	Interest	34,722,435		34,722,435	
21	Payments to affiliates				
22	Depreciation, depletion, and amortization	111,474,465	108,538,060	2,565,427	370,978
23	Insurance				
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	Revenue sharing/refunds	14,630,153	14,630,153		
b	Prizes and awards	8,743,470	8,743,470		
c	Bad debt expenses	3,090,590	3,090,590		
d	Research subject pmts	2,609,718	2,609,718		
e					
f	All other expenses	10,153,805	7,676,089	2,454,412	23,304
25	Total functional expenses. Add lines 1 through 24f	2,100,073,559	1,907,610,954	156,560,331	35,902,274
26	Joint costs. Check here <input 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	
	2	Savings and temporary cash investments			340,241,344	2	612,618,001
	3	Pledges and grants receivable, net			61,341,000	3	99,289,000
	4	Accounts receivable, net			325,259,064	4	275,488,106
	5	Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L			2,682,452	5	2,753,689
	6	Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). Complete Part II of Schedule L				6	
	7	Notes and loans receivable, net			55,820,322	7	73,008,377
	8	Inventories for sale or use			2,358,173	8	1,997,899
	9	Prepaid expenses and deferred charges			13,797,217	9	14,547,205
	10a	Land, buildings, and equipment, cost or other basis. Complete Part VI of Schedule D	10a	2,738,956,738	1,529,055,712		1,576,024,652
	b	Less: accumulated depreciation	10b	1,162,932,086		10c	
	11	Investments—publicly traded securities			527,187,065	11	559,049,053
	12	Investments—other securities. See Part IV, line 11			6,477,054,590	12	6,624,131,379
	13	Investments—program-related. See Part IV, line 11			166,568	13	166,565
	14	Intangible assets				14	
	15	Other assets. See Part IV, line 11			766,101	15	8
	16	Total assets. Add lines 1 through 15 (must equal line 34)			9,335,729,608	16	9,839,073,934
Liabilities	17	Accounts payable and accrued expenses			204,988,091	17	233,685,946
	18	Grants payable				18	
	19	Deferred revenue			309,024,098	19	252,332,777
	20	Tax-exempt bond liabilities			605,458,446	20	602,309,819
	21	Escrow or custodial account liability. Complete Part IV of Schedule D				21	
	22	Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L				22	
	23	Secured mortgages and notes payable to unrelated third parties			170,000,000	23	170,000,000
	24	Unsecured notes and loans payable to unrelated third parties				24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D			237,946,182	25	481,637,861
	26	Total liabilities. Add lines 17 through 25			1,527,416,817	26	1,739,966,403
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			4,718,287,791	27	4,926,357,531
	28	Temporarily restricted net assets			2,015,356,000	28	2,047,109,000
	29	Permanently restricted net assets			1,074,669,000	29	1,125,641,000
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 30 through 34.						
	30	Capital stock or trust principal, or current funds				30	
	31	Paid-in or capital surplus, or land, building or equipment fund				31	
	32	Retained earnings, endowment, accumulated income, or other funds				32	
	33	Total net assets or fund balances			7,808,312,791	33	8,099,107,531
34	Total liabilities and net assets/fund balances			9,335,729,608	34	9,839,073,934	

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	2,319,535,916
2	Total expenses (must equal Part IX, column (A), line 25)	2	2,100,073,559
3	Revenue less expenses Subtract line 2 from line 1	3	219,462,357
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	7,808,312,791
5	Other changes in net assets or fund balances (explain in Schedule O)	5	71,332,383
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	8,099,107,531

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

Name of the organization
Northwestern University

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

2011

Open to Public Inspection

Employer identification number

36-2167817

Part I

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

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

- 1

☐

A church, convention of churches, or association of churches **section 170(b)(1)(A)(i).**
- 2

☒

A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E)
- 3

☐

A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4

☐

A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state
- 5

☐

An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II)
- 6

☐

A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7

☐

An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)** (Complete Part II)
- 8

☐

A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II)
- 9

☐

An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2).** (Complete Part III)
- 10

☐

An organization organized and operated exclusively to test for public safety See**section 509(a)(4).**
- 11

☐

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

a

☐

Type I

b

☐

Type II

c

☐

Type III - Functionally integrated

d

☐

Type III - Other

e

☐

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

f

☐

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

g

☐

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

(i)

a person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the the supported organization?

(ii)

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

(iii)

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

h

☐

Provide the following information about the supported organization(s)

	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 IRC 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I 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) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(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) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income (Explain in Part IV) Do not include gain or loss from the sale of capital assets						
11 Total support (Add lines 7 through 10)						
12 Gross receipts from related activities, etc (See instructions)					12	
13 First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here						

Section C. Computation of Public Support Percentage						
14 Public Support Percentage for 2011 (line 6 column (f) divided by line 11 column (f))		14				
15 Public Support Percentage for 2010 Schedule A, Part II, line 14		15				
16a 33 1/3% support test—2011. 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—2010. 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—2011. 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—2010. If the organization did not check a box on line 13, 16a, 16b, or 17a and line 15 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts and circumstances" test The organization qualifies as a publicly supported organization						
18 Private Foundation If the organization did not check a box on line 13, 16a, 16b, 17a or 17b, check this box and see instructions						

Part III

Support Schedule for Organizations Described in IRC 509(a)(2)
(Complete only if you checked the box on line 9 of Part I 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) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(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) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 Total support (Add lines 9, 10c, 11 and 12.)						
14 First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here						

Section C. Computation of Public Support Percentage			
15 Public Support Percentage for 2011 (line 8 column (f) divided by line 13 column (f))	15		
16 Public support percentage from 2010 Schedule A, Part III, line 15	16		

Section D. Computation of Investment Income Percentage			
17 Investment income percentage for 2011 (line 10c column (f) divided by line 13 column (f))	17		
18 Investment income percentage from 2010 Schedule A, Part III, line 17	18		
19a 33 1/3% support tests—2011. 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—2010. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization			
20 Private Foundation If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions			

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

Facts And Circumstances Test

Explanation

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF.	OMB No 1545-0047
		2011

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

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<input checked="" type="checkbox"/> 501(c)(3) (enter number) organization
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation
	<input type="checkbox"/> 527 political organization
Form 990-PF	<input type="checkbox"/> 501(c)(3) exempt private foundation
	<input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation
	<input type="checkbox"/> 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule—

☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor Complete Parts I and II

Special Rules

☒ For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not aggregate to more than \$1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of \$5,000 or more during the year ▶ \$ _____

Caution. An Organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer “No” on Part IV, line 2 of its Form 990, or check the box in the heading of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

SCHEDULE C

(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

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

▶ Complete if the organization is described below.

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

OMB No 1545-0047

2011

Open to Public Inspection

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

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

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

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

If the organization answered “Yes,” to Form 990, Part IV, Line 5 (Proxy Tax) or Form 990-EZ, line 35c (Proxy Tax), then

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

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

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

1

Provide a description of the organization's direct and indirect political campaign activities on behalf of or in opposition to candidates for public office in Part IV

2

Political expenditures

▶ \$

3

Volunteer hours

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

1

Enter the amount of any excise tax incurred by the organization under section 4955

▶ \$

2

Enter the amount of any excise tax incurred by organization managers under section 4955

▶ \$

3

If the organization incurred a section 4955 tax, did it file Form 4720 for this year?

☐ Yes ☐ No

4a

Was a correction made?

☐ Yes ☐ No

b

If "Yes," describe in Part IV

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

1

Enter the amount directly expended by the filing organization for section 527 exempt function activities

▶ \$

2

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

▶ \$

3

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

▶ \$

4

Did the filing organization file Form 1120-POL for this year?

☐ Yes ☐ No

5

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

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

Part II-A

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

- A

Check

☐

if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures)
- B

Check

☐

if the filing organization checked box A and "limited control" provisions apply

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing Organization's Totals	(b) Affiliated Group Totals												
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)															
b Total lobbying expenditures to influence a legislative body (direct lobbying)		748,516													
c Total lobbying expenditures (add lines 1a and 1b)		748,516													
d Other exempt purpose expenditures		2,101,292,930													
e Total exempt purpose expenditures (add lines 1c and 1d)		2,102,041,446													
f Lobbying nontaxable amount Enter the amount from the following table in both columns		1,000,000													
<table><tr><td>If the amount on line 1e, column (a) or (b) is:</td><td>The lobbying nontaxable amount is:</td></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000</td></tr></table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000	Over \$17,000,000	\$1,000,000		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000														
Over \$17,000,000	\$1,000,000														
g Grassroots nontaxable amount (enter 25% of line 1f)		250,000													
h Subtract line 1g from line 1a If zero or less, enter -0-		0													
i Subtract line 1f from line 1c If zero or less, enter -0-		0													
j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?		<div><input type="checkbox"/> Yes <input type="checkbox"/> No</div>													

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

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) Total
2a Lobbying non-taxable amount	1,000,000	1,000,000	1,000,000	1,000,000	4,000,000
b Lobbying ceiling amount (150% of line 2a, column(e))					6,000,000
c Total lobbying expenditures	745,207	785,982	764,514	748,516	3,044,219
d Grassroots non-taxable amount	250,000	250,000	250,000	250,000	1,000,000
e Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000
f Grassroots lobbying expenditures					

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

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

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

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

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

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

Part IV Supplemental Information

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

Identifier	Return Reference	Explanation
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SCHEDULE D
(Form 990)

Supplemental Financial Statements

OMB No 1545-0047

2011

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b

Attach to Form 990. See separate instructions.

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

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

	(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year	1
2	Aggregate contributions to (during year)	128,284
3	Aggregate grants from (during year)	385,000
4	Aggregate value at end of year	14,774,685
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?	
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
6	Did the organization inform all grantees, donors, and donor advisors in writing that grant funds may be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit	
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

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

1

Purpose(s) of conservation easements held by the organization (check all that apply)

☐ Preservation of land for public use (e g , recreation or pleasure)

☐ Preservation of an historically importantly land area

☐ Protection of natural habitat

☐ Preservation of a certified historic structure

☐ Preservation of open space

2

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

	Held at the End of the Year
2a	
2b	
2c	
2d	

3

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

4

Number of states where property subject to conservation easement is located

5

Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

☐ Yes ☐ No

6

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

7

Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year

\$

8

Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and 170(h)(4)(B)(ii)?

☐ Yes ☐ No

9

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

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

1a

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

b

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

(i)

Revenues included in Form 990, Part VIII, line 1

\$

(ii)

Assets included in Form 990, Part X

\$

2

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

a

Revenues included in Form 990, Part VIII, line 1

\$

b

Assets included in Form 990, Part X

\$

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

Cat No 52283D

Schedule D (Form 990) 2011

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	5,474,935,000	4,726,940,000	4,398,200,000	5,378,142,000	
b Contributions	210,535,000	146,273,000	61,037,000	49,755,000	
c Investment earnings or losses	204,262,000	856,610,000	400,914,000	-902,883,000	
d Grants or scholarships	41,493,408	52,624,971	11,750,000	15,536,000	
e Other expenditures for facilities and programs	273,919,592	202,263,029	121,461,000	110,979,000	
f Administrative expenses				299,000	
g End of year balance	5,574,319,000	5,474,935,000	4,726,940,000	4,398,200,000	

2

Provide the estimated percentage of the year end balance held as

a

Board designated or quasi-endowment ▶ 48 000 %

b

Permanent endowment ▶ 18 000 %

c

Term endowment ▶ 34 000 %

3a

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

(i) unrelated organizations

3a(i)

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

4

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

Part VI

Land, Buildings, and Equipment. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		28,388,669		28,388,669
b Buildings		2,231,604,654	844,734,074	1,386,870,580
c Leasehold improvements		10,469,674	3,860,942	6,608,732
d Equipment		468,493,741	314,337,070	154,156,671
e Other				
Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) ▶				1,576,024,652

Schedule D (Form 990) 2011

Part XI

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

1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	
3	Excess or (deficit) for the year Subtract line 2 from line 1	3	
4	Net unrealized gains (losses) on investments	4	
5	Donated services and use of facilities	5	
6	Investment expenses	6	
7	Prior period adjustments	7	
8	Other (Describe in Part XIV)	8	
9	Total adjustments (net) Add lines 4 - 8	9	
10	Excess or (deficit) for the year per financial statements Combine lines 3 and 9	10	

Part XII

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

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

Part XIII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

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

Part XIV

Supplemental Information

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

Identifier	Return Reference	Explanation
	Part III, Line 1a	The University does not capitalize collections. As stated in the University notes to the financial statements, the accounting policy for library collections is to expense all purchases. Museum purchases are accounted for similarly. Gifts of art and similar tangible personal property are accounted for as gifts-in-kind.
Description of Intended Use of Endowment Funds	Part V, Line 4	The University's endowment funds purposes include instruction, research, library collections, scholarships and awards, and building construction.
Description of Uncertain Tax Positions Under FIN 48	Part X	The University makes an assessment of individual tax positions and follows a process for recognition and measurement of uncertain tax positions. Tax positions are evaluated on whether they meet the "more likely than not" standard for sustainability on examination by tax authorities.
		Part X, line 25, Asset Retirement Obligations. The University records all known asset retirement obligations (ARO) for which the fair value of the liability can be reasonably estimated, including certain obligations relating to regulatory remediation. ARO covered include those for which an entity has a legal obligation to perform an asset retirement activity, however, the timing and/or method of settling the obligation are conditional on a future event that may or may not be within the control of the entity.

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

2011

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

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?

1

Yes

2

Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?

2

Yes

3

Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe If "No," please explain If you need more space use Part II

3

Yes

4

Does the organization maintain the following?

a

Records indicating the racial composition of the student body, faculty, and administrative staff?

4a

Yes

b

Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?

4b

Yes

c

Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?

4c

Yes

d

Copies of all material used by the organization or on its behalf to solicit contributions?

4d

Yes

5

Does the organization discriminate by race in any way with respect to

a

Students' rights or privileges?

5a

No

b

Admissions policies?

5b

No

c

Employment of faculty or administrative staff?

5c

No

d

Scholarships or other financial assistance?

5d

No

e

Educational policies?

5e

No

f

Use of facilities?

5f

No

g

Athletic programs?

5g

No

h

Other extracurricular activities?

5h

No

6a

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

6a

Yes

b

Has the organization's right to such aid ever been revoked or suspended?

6b

No

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

7

Yes

Paperwork Reduction Act Notice, see the Instructions for Form 990.

Cat No 50085D

Schedule E (Form 990 or 990-EZ) 2011

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
Explanation of Nondiscriminatory Policy Publication	Schedule E, Part I, Line 3	Policies are included in student, faculty, and staff handbooks. Policies are also periodically reprinted in school newspapers.
Explanation of Government Financial Assistance	Schedule E, Part I, Line 6	The University receives financial support from agencies of the federal government for research purposes and for financial aid to students; additional financial aid support for students is received from agencies of the State of Illinois.
Explanation of Racial Nondiscrimination Compliance	Schedule E, Part I, Line 7	Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship, or veteran status in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

OMB No 1545-0047

Open to Public Inspection

36-2167817

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

Schedule F (Form 990) 2011

Part II

Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 ☐

Use Part V if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
	See Add'l Data								

2

Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter

2

3

Enter total number of other organizations or entities

15

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

Part V

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

Identifier	Return Reference	Explanation
Procedure for Monitoring Grants Outside the U S		Schedule F, Part I, Line 2 Grants or other assistance are awarded to foreign organizations or entities pursuant to the University policies and procedures for all grant subawards Such subawards are monitored through the University's Office for Sponsored Research (OSR) and the University's Office of Accounting Services for Research and Sponsored Programs (ASRSP) All subaward documentation including purchase orders, related charges and invoices are reviewed and monitored by ASRSP and confirmed with the principal investigator The principal investigator must certify that the subaward costs are in accordance with OMB A-21 cost principles, also, ASRSP requests and collects audit reports from subaward recipients to monitor compliance If the information is not furnished to ASRSP, payment may be withheld Grants and other assistance are awarded to students on the basis of financial need following University policies developed to meet regulatory requirements (federal methodology) and guided by the College Board (institutional methodology) Merit scholarships are awarded based upon talent (eg, academic, music, and athletic) All of these awarded grants are allowed to be used by the students towards any type of costs, no subsequent monitoring is required

Identifier	Return Reference	Explanation
	Schedule F	<p>Schedule F, Part I The program services listed in Part I reflect international educational programs in w hich the University had material involvement in the design, development and/or control of the program and/or curriculum While Northw estern University provides its students w ith access to a multitude of study abroad programs and exchanges located throughout the w orld, the University does not administer or operate the educational courses taught by all of these programs Rather, under reciprocity and affiliation agreements, the University helps facilitate its student access to such international programs and recognizes credit earned by students at such foreign educational institutions, and such exchange programs are excluded from Schedule F, Part I Under Northw estern University's current accounting procedures, all expenses associated w ith study abroad international programs are not separately tracked, and therefore some expenditures per program are not listed in Part I, column (f) of Schedule F Schedule F, Part I, column(f), line 3 Expenditures reported in the Form 990, Schedule F, Part I are prepared using the accrual method of accounting University activities are assigned a unique identifying number Direct expenses are recorded w ith respect to each activity in the University's electronic financial recording system Such direct expenses, for the relevant tax year, are reflected in column (f) Schedule F, Part II, line 1 In connection w ith the monitoring of subaw ards through OSR, approved purchase orders and invoices are documented and accounted for in the University's electronic financial recording system, and such amounts are reflected in Part II, line 1 Schedule F, Part II, line 3 Foreign recipient organizations w ithout 501(c)(3) designation are universities, colleges, or hospitals Schedule F, Part III, method used to report cash grants and column (c) Cash grants given to individuals are recorded in an electronic reporting tool The data recorded includes information as to participation by undergraduate students in study abroad programming Individual recipients of cash grants are coded w ith unique identifying numbers Grants associated w ith undergraduate students coded as participating in a study abroad are review ed to assess w hether there is an overlap betw een the grant disbursement date and the dates of the applicable study abroad program The number of such students, based on their unique identifying numbers, are summed and reflected in Part III, column (c)</p>

Schedule F (Form 990) 2010

Additional Data

Software ID:

Software Version:

EIN: 36-2167817

Name: Northwestern University

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Middle East and North Africa	1	112	Maintaining offices, employees or agents	International campus in Doha, Qatar for students in journalism and communications	39,825,326
East Asia and the Pacific			Fundraising		125,711
Europe (Including Iceland & Greenland) -			Fundraising		114,608
North America - Canada and Mexico, but			Fundraising		4,042
South America - Argentina, Bolivia,			Fundraising		3,059
South Asia - Afghanistan, Bangladesh,			Fundraising		35,218
Central America and the Caribbean			Program Services	Business travel abroad (includes travel to attend seminars and conferences)	114,373
East Asia and the Pacific			Program services	Business travel abroad (includes travel to attend seminars and conferences)	924,740
Europe			Program services	Business travel abroad (includes travel to attend seminars and conferences)	2,099,088
Middle East and North Africa			Program services	Business travel abroad (includes travel to attend seminars and conferences)	362,732
North America			Program services	Business travel abroad (includes travel to attend seminars and conferences)	273,444
Russia and the Newly Independent States			Program services	Business travel abroad (includes travel to attend seminars and conferences)	61,845
South America			Program services	Business travel abroad (includes travel to attend seminars and conferences)	157,031
South Asia			Program services	Business travel abroad (includes travel to attend seminars and conferences)	269,380
Sub-Saharan Africa			Program services	Business travel abroad (includes travel to attend seminars and conferences)	221,977
Central America and the Caribbean			Program services	Study abroad programs	750,024
East Asia and the Pacific			Program services	Study abroad programs	2,437,054
Europe			Program services	Study abroad programs	2,261,506
Middle East and North Africa			Program services	Study abroad programs	1,575,966
South America			Program services	Study abroad programs	186,511
South Asia			Program services	Study abroad programs	38,488
Sub-Saharan Africa			Program services	Study abroad programs	423,853
Central America and the Caribbean			Unrelated trade or business		515
East Asia and the Pacific			Unrelated trade or business		2,340
Europe			Unrelated trade or business		7,624
South Asia			Unrelated trade or business		5,980
North America			Unrelated trade or business		814
Russia and the Newly Independent States			Unrelated trade or business		301
South America			Unrelated trade or business		1,649
Central America and the Caribbean			Investments		160,438,833
Europe			Investments		296,154,197
North America			Investments		65,340,351
Sub-Saharan Africa			Investments		40,270,137
Central America and the Caribbean			Program services	Research	500
East Asia and the Pacific			Program services	Research	16,807
Europe			Program services	Research	2,342,715
Middle East and North Africa			Program services	Research	112,258
North America			Program services	Research	2,178,284
South America			Program services	Research	3,999
South Asia			Program services	Research	4,997
Sub-Saharan Africa			Program services	Research	6,120
East Asia and the Pacific			Grantmaking		293,787
Europe			Grantmaking		3,234,225
Middle East and North Africa			Grantmaking		154,081
North America			Grantmaking		1,626,643
South America			Grantmaking		153,915
Russia and the Newly Independent States			Grantmaking		9,996
Sub-Saharan Africa			Grantmaking		68,247

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

(a) Name of organization	(b) IRS code section and EIN(if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		East Asia and the Pacific	Grant subaward from sponsored research funds	12,976	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	453,073	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	173,877	ACH direct deposit or Check			

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

(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		Europe	Grant subaward from sponsored research funds	196,239	ACH direct deposit or Check			
		Europe	Grant subaward from sponsored research funds	47,396	ACH direct deposit or Check			
		Middle East and North Africa	Grant subaward from sponsored research funds	98,672	ACH direct deposit or Check			

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

(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America	Grant subaward from sponsored research funds	1,409,734	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	8,764	ACH direct deposit or Check			
		North America	Grant subaward from sponsored research funds	49,795	ACH direct deposit or Check			

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

(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America	Grant subaward from sponsored research funds	16,194	ACH direct deposit or Check			
		East Asia and the Pacific	Grant subaward from sponsored research funds	15,000	ACH direct deposit or Check			
		Europe (Including Iceland & Greenland)	Grant subaward from sponsored research funds	117,600	ACH direct deposit or Check			

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

(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America	Grant subaward from sponsored research funds	105,025	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	22,094	ACH direct deposit or Check			
		Europe (Including Iceland & Greenland)	Grant subaward from sponsored research funds	22,241	ACH direct deposit or Check			

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

(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
		North America	Grant subaward from sponsored research funds	37,132	ACH direct deposit or Check			
		Sub-Saharan Africa	Charitable fundraising conducted by student organization	23,000	Check			

SCHEDULE G
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding
Fundraising or Gaming Activities

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

OMB No 1545-0047

2011

Open to Public
Inspection

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

b ☒ Internet and e-mail solicitations

c ☒ Phone solicitations

d ☒ In-person solicitations

e ☒ Solicitation of non-government grants

f ☒ Solicitation of government grants

g ☒ Special fundraising events
- 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			
RuffaloCODY 65 Kirkwood North Rd SW Cedar Rapids, IA 52406	Phone solicitation		No	122,725	42,082	79,452
Sheila Smith 2357 Colts Neck Rd Blacklick, OH 43004	Campaign counseling		No	0	17,500	0
R & R Newkirk 8695 S Archer 10 Willow Springs, IL 60480	Gift planning marketing		No	0	33,151	0
Robert Burdenski 2736 N Hampden Court 207 Chicago, IL 60614	Fundraising consultant		No	0	42,813	0
Mission Measurement LLC 2 N LaSalle St Chicago, IL 60602	Fundraising consultant		No	0	8,563	0
Target Analytics 1030 Massachusetts Ave Cambridge, MA 02138	Fundraising data consultant		No	0	11,250	0
Total ▶				122,725	155,359	79,452

- 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.

AZ, AK, AR, CT, GA, IL, KS, NM, NC, ND, PA, RI, TN, TX, UT, WV, WI, AL, CA, FL, HI, KY, MD, ME, MI, MO, MN, NH, MS, NY, OR, OK, OH, SC, WA, VA

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

Revenue			(a) Event #1	(b) Event #2	(c) Other Events	(d) Total Events	
			<u>Dance Marathon</u>	<u>Brain Tumor</u>	<u>5</u>	(Add col (a) through	
			(event type)	<u>Institute Fundraiser</u>	(total number)	col (c))	
				(event type)			
1	Gross receipts	. . .	839,618	412,976	284,426	1,537,020	
2	Less Charitable contributions	. . .	767,573	333,836	132,340	1,233,749	
3	Gross income (line 1 minus line 2)	. . .	72,045	79,140	152,086	303,271	
Direct Expenses	4	Cash prizes	. . .				
	5	Non-cash prizes	. .		3,208	3,208	
	6	Rent/facility costs	. .	72,027	9,601	9,000	90,628
	7	Food and beverages	. .		53,570	86,934	140,504
	8	Entertainment	. . .		6,500	8,440	14,940
	9	Other direct expenses	.	26,706	6,261	22,449	55,416
	10	Direct expense summary Add lines 4 through 9 in column (d) ▶					(304,696)
	11	Net income summary Combine lines 3 and 10 in column (d). ▶					-1,425

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			
Direct Expenses	2	Cash prizes			
	3	Non-cash prizes			
	4	Rent/facility costs			
	5	Other direct expenses . . .			
	6	Volunteer labor	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	7	Direct expense summary Add lines 2 through 5 in column (d) ▶			()
	8	Net gaming income summary Combine lines 1 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
Explanation of Fundraising Payments	Schedule G, Part I, Line 2b, Column (v)	The following professional fundraisers received reimbursements for expenses associated with their services to the University (the amount of expenses reimbursed are reflected) RuffaloCODY (\$1,191) in accordance with the agreement with professional fundraiser which permits reimbursement for direct expenses such as mailing and shipping, R & R Newkirk (\$12,055) as agreed for postage and mailing, S Smith (\$2,861) as agreed for travel, and R Burdenski (\$230) as agreed for travel, printing and mailing
	Schedule R, Part I, Line 3	No registration is required in Delaware, Idaho, Indiana, Iowa, Montana, Nebraska, Nevada, South Dakota, Vermont or Wyoming University has requested confirmation of exemption from New Jersey

Schedule I
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Northwestern University

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

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

OMB No 1545-0047

2011

Open to Public
Inspection

Employer identification number
36-2167817

Part I

General Information on Grants and Assistance

- 1

Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?

☒ Yes ☐ No
- 2

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

Part II

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

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

2

Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶

178

3

Enter total number of other organizations listed in the line 1 table ▶

34

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

(a)Type of grant or assistance	(b)Number of recipients	(c)Amount of cash grant	(d)Amount of non-cash assistance	(e)Method of valuation (book, FMV, appraisal, other)	(f)Description of non-cash assistance
(1) Student grants, scholarships, stipends, and fellowships are financial aid that can be used towards any type of educational related costs	11017	246,811,702			
(2) Prizes and awards reflect prizes and awards to non-employees in recognition of an accomplishment, activity, or event	299	630,138			
(3) Program-related investments student loans	639	15,304,135			
(4) Other program-related investments	59	4,713,830			

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

Identifier	Return Reference	Explanation
Procedure for Monitoring Grants in the U S	Part I, Line 2	Schedule I, Part I, Line 2 Grants given to support of charitable community organizations Such grants are extended only for charitable purposes to organizations that are exempt under Code Section 501(c)(3) After qualifications for the grant are met and the grant is disbursed to the charitable organization there is no subsequent monitoring by the University Grants or other assistance are awarded to organizations or entities in the U S pursuant to the University policies and procedures for all grant subawards Such subawards are monitored through the University's Office for Sponsored Research (OSR) and the University's Office of Accounting Services for Research and Sponsored Programs (ASRSP) All subaward documentation including purchase orders, related charges and invoices are reviewed and monitored by ASRSP and confirmed with the principal investigator The principal investigator must certify that the subaward costs are in accordance with OMB A-21 cost principles, also, ASRSP requests and collects audit reports from subaward recipients to monitor compliance If the information is not furnished to ASRSP, payment may be withheld Grants and other assistance are awarded to students on the basis of financial need following University policies developed to meet regulatory requirements (federal methodology) and guided by the College Board (institutional methodology) Merit scholarships are awarded based upon talent (eg, academic, music, and athletic) All of these awarded grants are allowed to be used by the students towards any type of costs, no subsequent monitoring is required
Schedule I		Part III Prizes and awards reflect prizes and awards extended to non-employees in recognition of an accomplishment, activity, or event Prizes and awards given to employees are included as compensation and reported on an employee's Form W-2 Program-related investments Long term student-related loan balances as of 8/31/2012 were \$14,799,967 which represent outstanding loan balances of 416 individuals Total short term and emergency student loans issued for the tax year were \$504,168 which represent loans issued to 223 individuals Other program-related investments reflects certain investment portfolio balances as of 8/31/2012 Such investment portfolios are managed by students enrolled in an asset management practicum under the guidance of faculty

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

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Evanston Community Foundation Inc 1007 Church St Ste 108 Evanston, IL 60201	36-3466802	501(c)(3)	130,602				Charitable fundraising conducted by student org & support of charitable community organization
McGaw YMCA 1420 Maple Ave Evanston, IL 60201	36-2169194	501(c)(3)	19,571				Support of charitable community organization

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) 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
Family Promise Chicago North ShorePO Box 484 Glencoe, IL 60022	27-0288849	501(c)(3)	6,694				Charitable fundraising conducted by student organization
By The Hand Club for Kids1000 N Sedgwick Chicago, IL 60610	20-3144284	501(c)(3)	23,000				Charitable fundraising conducted by student organization

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) 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
Teen Living Programs Inc162 West Hubbard Chicago, IL 60654	36-2867274	501(c)(3)	23,000				Charitable fundraising conducted by student organization
Andrew Mcdonough B Positive Foundation101 Rockland Circle Wilmington, DE 19803	42-1741037	501(c)(3)	661,000				Charitable fundraising conducted by student organization

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) 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
Natural Resources Defense Council Inc40 West 20th Street New York, NY 10011	13-2654926	501(c)(3)	10,000				Support of charitable organization
Fabretto Children's Foundation3124 North 10th Street Arlington, VA 22201	36-3894824	501(c)(3)	24,283				Charitable fundraising conducted by student organization

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) 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
Chicago Academy of Sciences2430 N Cannon Dr Chicago, IL 60614	36-0895575	501(c)(3)	25,000				Support of charitable community organizations
Chicago Botanic Garden(Chicago Horticultural Society)1000 Lake Cook Rd Glencoe, IL 60022	36-2225482	501(c)(3)	176,000				Support of charitable community organizations

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Lyric Opera of Chicago20 North Wacker Drive Ste 860 Chicago, IL 60606	36-6008929	501(c)(3)	7,500				Support of charitable community organizations
The Art Institute of Chicago111 S Michigan Ave Chicago, IL 60603	36-2167725	501(c)(3)	10,000				Support of charitable community organizations

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

(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
Ravinia Festival418 Sheridan Road Highland Park, IL 60035	36-6002273	501(c)(3)	12,500				Support of charitable community organizations
United Way of Metropolitan Chicago560 W Lake St Chicago, IL 60661	36-0200478	501(c)(3)	15,000				Support of charitable community organizations

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Health for Humanity415 Linden Ave Ste B Wilmette, IL 60091	36-3820640	501(c)(3)	10,000				Support of charitable community organizations
Millennium Park IncDT 111 S Wacker Drive Chicago, IL 60602	36-4244167	501(c)(3)	10,000				Support of charitable community organizations

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

(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
Northwestern University Settlement House 1400 West Augusta Blvd Chicago, IL 60642	36-2167818	501(c)(3)	25,000				Support of charitable community organizations
Juvenile Protective Association1707 N Halstead St Chicago, IL 60614	36-2167765	501(c)(3)	25,000				Support of charitable community organizations

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
EVMark1560 Sherman Ave Evanston, IL 60201	36- 3571291	501(c)(6)	21,850				Support of charitable community organizations
Evanston Public Library1703 Orrington Ave Evanston, IL 60201	36- 3286198	501(c)(3)	10,000				Support of charitable community organization

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

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Foundation 65PO Box 750 Evanston, IL 60204	36- 4003165	501(c)(3)	40,000				Support of charitable community organizations
Northwestern Medical Faculty Foundation680 N Lakeshore Dr Chicago, IL 60611	36- 3097297	501(c)(3)	8,288,894				Support of research activities

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Northeastern Illinois University5500 N St Louis Ave Chicago, IL 60625	36-6009515	115	90,385				Support of research activities
12th Man FoundationBernard C Richardson Zone at Kyle Field Suite 12 College Station, TX 77841	74-1185725	501(c)(3)	15,825				Support of research activities

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Access Community Health Network222 N Canal St Chicago, IL 60606	36-3317058	501(c)(3)	386,600				Support of research activities
Access DuPage511 Thornhill Dr M Carol Stream, IL 60188	36-4448208	501(c)(3)	406,792				Support of research activities

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

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Advocate Hope Childrens Hospital 4440 W 95th St Oak Lawn, IL 60453	36- 2169147	501(c)(3)	11,672				Support of research activities
Advocate Lutheran General Hospital 1775 W Dempster St Park Ridge, IL 60068	36- 2169147	501(c)(3)	110,682				Support of research activities

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

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AIDS Arms Inc 219 Sunset Ave Dallas, TX 75208	75-2306145	501(c)(3)	404,694				Support of research activities
Albert Einstein College of Medicine 1300 Morris Park Avenue Bronx, NY 10461	13-1624225	501(c)(3)	16,830				Support of research activities

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

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Amarillo Heart Group1901 Port Lane Amarillo, TX 79106	83-0362959	501(c)(3)	5,670				Support of research activities
American Lung Association1301 Pennsylvania Ave NW Suite 800 Washington, DC 20004	13-1632524	501(c)(3)	291,776				Support of research activities

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

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Baptist Hospital of Miami8900 N Kendall Drive Miami, FL 33176	59-0910342	501(c)(3)	10,320				Support of research activities
Beth Israel Deaconess Center330 Brookline Ave Boston, MA 02115	04-2103881	501(c)(3)	54,444				Support of research activities

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

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Boston College140 Commonwealth Ave Chestnut Hill, MA 02467	04-2103545	501(c)(3)	16,824				Support of research activities
Boston Imaging Core Lab LLC580 Harrison Avenue Boston, MA 02118	26-1215497		195,840				Support of research activities

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Boston Medical CenterOne Boston Medical Center Place Boston, MA 02118	04-3314093	501(c)(3)	9,190				Support of research activities
Boys & Girls Clubs of Chicago550 W Van Buren Street Suite 350 Chicago, IL 60607	36-2166997	501(c)(3)	28,553				Support of research activities

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

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Brigham and Women's Hospital 75 Francis St Boston, MA 02115	04-2312909	501(c)(3)	9,432				Support of research activities
Cabot Security Materials Inc325 E Middlefield Road Mountain View, CA 94043	26-2158716		340,487				Support of research activities

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

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Campbell-Kibler Associates Inc80 Lakeside Dr Groton, MA 01450	04-3297519		80,747				Support of research activities
Carleton College One North College St Northfield, MN 55057	41-0694747	501(c)(3)	23,290				Support of research activities

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

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Case Western Reserve University 10900 Euclid Ave Cleveland, OH 44106	34-1018992	501(c)(3)	147,408				Support of research activities
Children's Memorial Hospital 2300 N Lincoln Ave Chicago, IL 60614	36-2170833	501(c)(3)	3,676,228				Support of research activities

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

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Cleveland Clinic 9500 Euclid Ave Cleveland, OH 44195	91- 2153073	501(c)(3)	77,436				Support of research activities
Cold Spring Harbor Laboratory One Bungtown Road Cold Spring Harbor, NY 11724	11- 2013303	501(c)(3)	14,625				Support of research activities

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

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College of American Pathologists325 Waukegan Rd Northfield,IL 60039	36-2118323	501(c)(3)	25,858				Support of research activities
Colorado State University203 Administration Building Fort Collins, CO 80523	84-6000546	115	25,749				Support of research activities

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

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Columbia University615 W 131st Street New York, NY 10027	13-1624202	501(c)(3)	196,658				Support of research activities
Cornell University222 Day Hall Ithaca, NY 14853	15-0532082	501(c)(3)	352,827				Support of research activities

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

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David Ostrow & Associates5455 N Sheridan Road Suite 2503 Chicago, IL 60640	20-5241516		69,147				Support of research activities
Duke University Chapel Dr Durham, NC 27705	56-0532129	501(c)(3)	380,786				Support of research activities

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

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East Bay Institute for Research and Education150 Muir Road 151-I Martinez, CA 64553	68-0177975	501(c)(3)	192,291				Support of research activities
Emory University201 Dowman Dr Atlanta, GA 30322	58-0566256	501(c)(3)	187,647				Support of research activities

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

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George Washington University2121 I Street NW Washington, DC 20052	53-0196584	501(c)(3)	29,086				Support of research activities
H Lee Moffit Cancer Center & Research Institute12902 Magnolia Ave Tampa, FL 33612	59-2451713	501(c)(3)	36,291				Support of research activities

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

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Harvard University Massachusetts Hall Cambridge, MA 02138	04-2103580	501(c)(3)	1,151,802				Support of research activities
Health Research Incorporated Roswell Park Cancer Institute Division Elm Carlton Sts Buffalo, NY 14263	14-1402155		281,710				Support of research activities

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

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Hektoen Institute for Medical Research2240 W Ogden Ave Chicago, IL 60612	36-2244897	501(c)(3)	712,726				Support of research activities
Horizon Research Inc326 Cloister Ct Chapel Hill, NC 27514	56-1550276		32,102				Support of research activities

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

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Howard Brown Health Center4025 N Sheridan Road Chicago, IL 60613	36-2894128	501(c)(3)	382,755				Support of research activities
Indiana University107 S Indiana Ave Bloomington, IN 47405	35-6001673	115	782,227				Support of research activities

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

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J Craig Venter Institute9704 Medical Center Drive Rockville, MD 20850	52-1842938	501(c)(3)	579,703				Support of research activities
James Madison University800 S Main St Harrisonburg, VA 22807	54-6001756	501(c)(3)	38,888				Support of research activities

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

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Jasculca Terman and Associates Inc 730 N Franklin Street Suite 510 Chicago, IL 60654	36-3136983		161,578				Support of research activities
Johns Hopkins University 1101 E 33rd St Baltimore, MD 21218	52-0595110	501(c)(3)	593,199				Support of research activities

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

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Louisiana State University3848 W Lakeshore Dr Baton Rouge, LA 70808	72-6087770	115	117,362				Support of research activities
Loyola University Chicago1032 W Sheridan Rd Chicago, IL 60660	36-1408475	501(c)(3)	146,127				Support of research activities

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

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Massachusetts General Hospital55 Fruit St Boston, MA 02114	04-1564655	501(c)(3)	325,920				Support of research activities
Massachusetts Institute of Technology77 Massachusetts Ave Cambridge, MA 02142	04-2103594	501(c)(3)	105,655				Support of research activities

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

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Materials & Electrochemical Research Corporation 7960 South Kolb Road Tucson, AZ 85706	86-0530946		151,812				Support of research activities
Mayo Clinic Rochester200 First St SW Rochester, MN 55905	41-6011702	501(c)(3)	57,450				Support of research activities

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

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Medical College of Wisconsin8701 Watertown Plank Rd Milwaukee, WI 53226	39-0806261	501(c)(3)	21,603				Support of research activities
Memorial Hospital of Rhode Island111 Brewster St Pawtucket, RI 02680	05-0259004	501(c)(3)	20,556				Support of research activities

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

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Memorial Sloan-Kettering Cancer Center1275 York Avenue New York, NY 10065	13-1624182	501(c)(3)	46,499				Support of research activities
Methodist Hospital Research Institute6670 Bertner St Houston, TX 77030	87-0721923	501(c)(3)	24,795				Support of research activities

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

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Michigan State University113 Angell Bldg East Lansing, MI 48824	38-6005984	115	137,980				Support of research activities
Mount Sinai HospitalOne Gustave L Levy Pl New York, NY 10029	13-1624096	501(c)(3)	62,971				Support of research activities

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

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Nanosonix Inc 8025 Lamon Avenue Skokie, IL 60077	26-2268972		70,226				Support of research activities
North Carolina State University Campus Box 7001 A Holladay Hall Raleigh, NC 27695	56-6000756	115	17,746				Support of research activities

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

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NorthShore University HealthSystem Research Institute 2650 Ridge Ave Evanston, IL 60201	36-4191793	501(c)(3)	1,619,220				Support of research activities
Northwestern Memorial Hospital 251 E Huron St Chicago, IL 60611	37-0960170	501(c)(3)	2,033,394				Support of research activities

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

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NOVA Scripts Central Inc6400 Arlington Blvd Falls Church, VA 22042	65- 1275162		142,563				Support of research activities
Ohio State University154 W 12th Ave Columbus, OH 43210	31- 6025986	115	44,284				Support of research activities

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

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Oregon Health & Science University 3181 Southwest Sam Jackson Park Rd Portland, OR 97239	93-1176109	115	28,727				Support of research activities
Park Nicollet Institute 3800 Park Nicollet Blvd St Louis Park, MN 55416	41-0961862	501(c)(3)	24,572				Support of research activities

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

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Pennsylvania State University308 Old Main University Park, PA 16802	24-6000376	115	480,684				Support of research activities
Pinnacle Technology681 Lawlins Road Wyckoff, NJ 07481	74-2818617		104,945				Support of research activities

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

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Princeton University Office of Administration Princeton, NJ 08544	21-0634501	501(c)(3)	70,037				Support of research activities
Rehabilitation Institute Research Corporation 345 E Superior St Chicago, IL 60611	36-3728711	501(c)(3)	304,401				Support of research activities and support of charitable community organization

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

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Rensselaer Polytechnic Institute110 8th St Troy, NY 12180	14-1340095	501(c)(3)	116,903				Support of research activities
Rice University6100 Main St Houston, TX 77005	74-1109620	501(c)(3)	14,441				Support of research activities

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

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Rockefeller University1230 York Avenue New York, NY 10065	13-1624158	501(c)(3)	499,450				Support of research activities
Rush University Medical Center1653 W Congress Parkway Chicago, IL 60612	36-2174823	501(c)(3)	1,419,263				Support of research activities

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

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Salk Institute 10010 North Torrey Pines Road La Jolla, CA 92037	95-2160097	501(c)(3)	57,463				Support of research activities
Santa Fe Institute 1399 Hyde Park Rd Santa Fe, NM 87501	85-0325494	501(c)(3)	20,743				Support of research activities

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

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Scripps Research Institute10550 North Torrey Pines Road La Jolla, CA 92037	33-0435954	501(c)(3)	802,615				Support of research activities
Stanford University295 Galvez St Stanford, CA 94305	94-1156365	501(c)(3)	682,277				Support of research activities

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

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United BioSource Corporation7501 Wisconsin Ave Ste 705 Bethesda, MD 20814	54-1759539		93,228				Support of research activities
University of Alabama at Birmingham1530 3rd Ave South Birmingham, AL 35294	63-6005396	115	128,114				Support of research activities

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

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University of Arizona617 N Santa Rita Ave Tucson, AZ 85721	74-2652689	115	143,737				Support of research activities
University of California Berkeley200 California Hall Berkeley, CA 94720	94-6002123	115	191,345				Support of research activities

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

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University of California DavisOne Shields Ave Davis, CA 95616	94-6036494	115	545,456				Support of research activities
University of California Irvine Office of Administration Irvine, CA 92697	95-2226406	115	277,121				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of California Los AngelesHillgard Ave Los Angeles, CA 90095	95-6006143	115	201,838				Support of research activities
University of California San Francisco505 Parnassus Ave San Francisco, CA 94143	56-6001393	115	322,536				Support of research activities

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

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University of California Santa Cruz1156 High St Santa Cruz, CA 95064	77-0289144	115	193,707				Support of research activities
University of Chicago5801 S Ellis Ave Chicago, IL 60637	36-2177139	501(c)(3)	6,785,354				Support of research activities

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

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University of Delaware210 S College Ave Newark, DE 19716	51-6000297	115	18,482				Support of research activities
University of Florida201 Criser Hall Gainesville, FL 32611	59-6002052	115	194,140				Support of research activities

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

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University of Illinois801 S Morgan St Chicago, IL 60607	37-6000511	115	4,361,010				Support of research activities
University of Kentucky100 Funkhouser Bldg Lexington, KY 40506	61-6001218	115	186,951				Support of research activities

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

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University of Maryland2108 Mitchell Bldg College Park, MD 20742	52-6002033	115	210,832				Support of research activities
University of MassachusettsOffice of Administration Amherst, MA 01003	04-3167352	115	103,000				Support of research activities

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

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University of Miami 1252 Memorial Drive Coral Gables, FL 33146	59-0624458	501(c)(3)	14,214				Support of research activities
University of Michigan 515 E Jefferson Ann Arbor, MI 48109	38-6000134	115	583,570				Support of research activities

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

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University of Minnesota101 Pleasant St Minneapolis, MN 55455	41-6007513	115	179,234				Support of research activities
University of New Mexico1 University of New Mexico Albuquerque, NM 87131	85-6000642	115	67,057				Support of research activities

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

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University of North Carolina at Chappel Hill9201 University City Blvd Charlotte, NC 28223	56-6001393	115	396,698				Support of research activities
University of Notre Dame317 Main Building Notre Dame, IN 46556	35-0868188	501(c)(3)	7,760				Support of research activities

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

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University of Oklahoma660 Parrington Oval Norman, OK 73019	73-6017987	115	153,694				Support of research activities
University of Pennsylvania3451 Walnut Street Philadelphia, PA 19104	23-1352685	501(c)(3)	244,292				Support of research activities

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

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University of Pittsburgh4227 Fifth Ave Pittsburgh, PA 15260	25-0965591	501(c)(3)	734,155				Support of research activities
University of RochesterOffice of Administration Rochester, NY 14627	16-0743209	501(c)(3)	196,807				Support of research activities

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

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University of Southern California 1540 Alcazar St Los Angeles, CA 90089	95-1642394	501(c)(3)	516,379				Support of research activities
University of Tennessee Knoxville527 Andy Holt Tower Knoxville, TN 37996	62-6001636	115	260,017				Support of research activities

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

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University of Texas at Austin 2100 San Jacinto Blvd Austin, TX 78712	74-6000203	115	91,839				Support of research activities
University of Texas at San AntonioOne UTSA Circle San Antonio, TX 78249	74-1717115	115	526,489				Support of research activities

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

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University of Texas M D Anderson Cancer Center1515 Holcombe Blvd Houston, TX 77030	76- 0273984	115	97,366				Support of research activities
University of Texas Southwestern Med Ctr at Dallas5323 Harry Hines Blvd Dallas, TX 75390	75- 6002868	115	299,209				Support of research activities

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

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University of Virginia1 College Park Wise, VA 24293	54-6001796	115	713,095				Support of research activities
University of Washington1410 NE Campus Parkway Seattle, WA 98195	91-6001537	115	691,002				Support of research activities

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

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University of Wisconsin-Madison 716 Langdon St Madison, WI 53706	39-1805963	115	712,026				Support of research activities
Vanderbilt University Office of Administration Nashville, TN 37240	62-0476822	501(c)(3)	173,318				Support of research activities

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

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Washington University in St LouisOne Brookings Dr St Louis, MO 63130	43-0653611	501(c)(3)	566,636				Support of research activities
Wright State University3640 Colonel Glenn Hwy Dayton,OH 45435	31-0732831		147,266				Support of research activities

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

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Yale University140 Prospect St New Haven, CT 06511	06-0646973	501(c)(3)	411,527				Support of research activities
Research Foundation SUNY 35 State Street Albany, NY 12207	14-1368361	501(c)(3)	84,053				Support of research activities

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

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Alliance of Chicago Community Health Service215 W Ohio St 4th Floor Chicago, IL 60654	36-4444309		440,144				Support of research activities
Boston University One Silber Way Boston, MA 02215	04-2103547	501(c)(3)	172,894				Support of research activities

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

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California Institute of Techonology1200 East California Blvd Pasadena, CA 91125	95-1643307	501(c)(3)	158,563				Support of research activities
Cambria Pharmaceuticals Inc 14 Cambridge Center Building 1 Cambridge, MA 02142	26-2047755		138,022				Support of research activities

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

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CANCER HELP INSTITUTE LTD 1000 Skokie Blvd Suite 100 Wilmette,IL 60091	36-3801000		66,497				Support of research activities
Chicago Association for Research and Education in ScienceBuilding One Room C347 5000 S 5th Ave Hines,IL 60141	36-3334177	501(c)(3)	9,605				Support of research activities

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

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CHILDRENS HOSPITAL BOSTON 300 Longwood Ave Boston, MA 02115	04-2774441	501(c)(3)	30,613				Support of research activities
FARR ASSOCIATES ARCHITECTURE & URBAN DESIGN53 W Jackson Blvd Suite 650 Chicago, IL 60604	36-4319943		20,000				Support of research activities

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

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INQUIRE LEARNING LLC 2625 Weston Rd Weston, FL 33331	26-0733745		69,994				Support of research activities
INSTITUTE FOR NEURODEGENERATIVE DISORDERS60 Temple St 8th Floor New Haven, CT 06510	06-1582206	501(c)(3)	7,747				Support of research activities

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

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Justice Resource Institute Inc545 Boylston St Suite 700 Boston, MA 02116	04-2526357	501(c)(3)	30,283				Support of research activities
KINEA DESIGN LLC1711-1 Darrow Ave Evanston, IL 60201	74-3099129		10,404				Support of research activities

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

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LA RABIDA CHILDRENS'S HOSPITAL6501 South Promontory Dr Chicago,IL 60649	36-2170143	501(c)(3)	9,000				Support of research activities
Lahey Clinic Foundation Inc41 Mall Rd Burlington, MA 01805	04-2704683	501(c)(3)	36,492				Support of research activities

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Mayo Clinic Arizona 13400 East Shea Blvd Scottsdale, AZ 85259	86-0800150	501(c)(3)	108,388				Support of research activities
NEW YORK UNIVERSITY70 Washington Square South New York, NY 10012	13-5562308	501(c)(3)	122,186				Support of research activities

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

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PROVIDENCE HEALTH ALLIANCE 3rd Floor - Medical Plaza 6901 Medical Parkway Suite 301A Waco, TX 76712	74-2696970	501(c)(3)	14,030				Support of research activities
RESEARCH SUPPORT SERVICES906 Ridge Ave Evanston, IL 60202	36-4289990		67,015				Support of research activities

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

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RHODE ISLAND HOSPITAL593 Eddy St Providence, RI 02903	05-0258954	501(c)(3)	14,235				Support of research activities
SCRIPPS HEALTH4275 Campus Point Ct San Diego, CA 92121	95-1684089	501(c)(3)	26,422				Support of research activities

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

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SEATTLE CHILDREN'S HOSPITAL4800 Sand Point Way NE Seattle, WA 98105	91-0564748	501(c)(3)	25,898				Support of research activities
Society for Research on Educational Effectiveness2040 Sheridan Rd Evanston, IL 60208	26-4739791	501(c)(3)	373,802				Support of research activities

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

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THE RAND CORPORATION1776 Main St PO Box 2138 Santa Monica, CA 90407	95-1958142	501(c)(3)	85,862				Support of research activities
TUFTS UNIVERSITY200 Boston Avenue Medford, MA 02155	04-2103634	501(c)(3)	88,278				Support of research activities

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UNIV OF WISCONSIN MILWAUKEE2200 E Kenwood Blvd PO Box 413 Milwaukee, WI 53201	39-1805963	115	86,532				Support of research activities
UNIVERSITY OF IOWA100 Mossman Business Services Building Iowa City, IA 52245	42-6004813	115	49,182				Support of research activities

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UNIVERSITY OF NEBRASKA LINCOLN1400 R Street Lincoln Lincoln, NE 68588	47-0049123	115	1,039,510				Support of research activities
Winthrop-University Hospital259 First St Mineola, NY 11501	11-1633486	501(c)(3)	15,840				Support of research activities

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

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Best Practice Project Management Inc7500 Old Georgetown Road Suite 601 Bethesda, MD 20814	52-2337527		73,333				Support of research activities
Amedisys Inc5959 S Sherwood Forest Blvd Baton Rouge, LA 70816	11-3131700		26,100				Support of research activities

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

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Arizona State UniversityPO BOX 876011 Tempe,AZ 85287	86-0196696	115	151,865				Support of research activities
Aurasense Therapuetics LLC1801 Maple Ave Ste 4301 Evanston,IL 60201	45-2638444		511,942				Support of research activities

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

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Baptist Memorial Hospital6025 Walnut Grove Rd Ste 500 Memphis, TN 38120	62-0125540		6,650				Support of research activities
Beth Israel Medical CenterFirst Ave at 16th St New York, NY 10003	13-5564934	501(c)(3)	33,750				Support of research activities

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

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Bloodcenter of Wisconsin Inc638 N 18th St Milwaukee, WI 53233	39-0807235	501(c)(3)	11,327				Support of research activities
Bridgeport Hospital Foundation Inc267 Grant St Bridgeport, CT 06610	22-2908698	501(c)(3)	13,750				Support of research activities

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

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Brookings Institution 1775 Massachusetts Ave NW Washington, DC 20036	53-0196577	501(c)(3)	76,462				Support of research activities
Carnegie Mellon University 5000 Forbes Ave Pittsburgh, PA 15213	25-0969449	501(c)(3)	26,490				Support of research activities

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

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Cedars-Sinai Medical Center8700 Beverly Blvd Los Angeles, CA 90048	95-1644600	501(c)(3)	1,845				Support of research activities
Centerstone Research Institute565 S Park Ridge Rd 103 Bloomington, IN 47401	26-2505456	501(c)(3)	13,110				Support of research activities

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

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Chaddock205 S 24th St Quincy, IL 62301	37-0661191		23,230				Support of research activities
Community Action Project of Tulsa County4606 S Garnett Ste 100 Tulsa, OK 74146	73-1019247		20,054				Support of research activities

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

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Delve LLC11971 Westline Industrial Dr 200 St Louis, MO 63146	20-0684635		1,130,325				Support of research activities
Development Alternatives Inc 7600 Wisconsin Blvd Ste 200 Bethesda, MD 20814	52-0904808		250,000				Support of research activities

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

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Erie Family Health Center Inc1701 W Superior ST Chicago, IL 60622	36-3088628	501(c)(3)	1,337,900				Support of research activities
Georgia State University Research Foundation Inc30 Courtland St NE Ste 217 Atlanta, GA 30303	58-1845423	501(c)(3)	64,797				Support of research activities

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

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Georgia Tech Research Corporation 505 Tenth St Atlanta, GA 30332	58-0603146	501(c)(3)	18,085				Support of research activities
Imagetrend20855 KENSINGTON BLVD Lakeville, MN 55044	41-1903871		70,000				Support of research activities

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

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Magee Women's Research Institute and Foundation3339 Ward St Pittsburgh, PA 15132	25-1462312	501(c)(3)	34,544				Support of research activities
McGuckin Methods International Inc MMI115 East Athens Ave Ardmore, PA 19003	23-2642918		75,000				Support of research activities

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

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Mental Health Cooperative Inc275 Cumberland Bend Nashville, TN 37228	58-2018687	501(c)(3)	21,192				Support of research activities
Missouri University of Science and Technology300 W 12th St 202 Centennial Hall Rolla, MO 65401	43-6003859	115	17,193				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
National Kidney Foundation of Illinois215 W Illinois St Ste 1C Chicago, IL 60654	36-6009226	501(c)(3)	15,148				Support of research activities
Near North Health Service Corp1276 N Clybourn Ave Chicago, IL 60610	36-3197647	501(c)(3)	24,221				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
North Country Healthcare Inc2920 N Fourth St Flagstaff, AZ 86004	86-0663432	501(c)(3)	24,616				Support of research activities
Northwestern Specialists in Plastic Surgery SC 676 N St Clair St Ste 1525A Chicago, IL 60611	27-0491346		147,447				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Oklahoma State University113 Student Union Stillwater, OK 74078	73-6017987	115	23,670				Support of research activities
Research Triangle Institute12 Davis Dr Research Triangle Park, NC 27709	56-0686338	501(c)(3)	43,134				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Sage Bionetworks 1100 Fairview Ave North MI-C108 Seattle,WA 98109	26-4489946	501(c)(3)	63,768				Support of research activities
Sanford-Burnham Medical Research Institute10901 North Torrey Pines Rd La Jolla,CA 92037	51-0197108	501(c)(3)	179,272				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Siena College515 Loudon Rd Loudonville, NY 12211	14-1338498	501(c)(3)	18,414				Support of research activities
Society of Hospital Medicine1500 Spring Garden Ste 501 Philadelphia, PA 19130	23-3057353	501(c)(3)	389,718				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
South Carolina Research Foundation901 Sumter St Byrnes Bldg Ste 511 Columbia, SC 29208	57-0967350	501(c)(3)	50,000				Support of research activities
Texas A&M Research Foundation400 Harvey Mitchell Pkwy South Ste 300 College Station, TX 77845	74-1238434	501(c)(3)	28,030				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
The Henry M Jackson Foundation for the Advancement of Military Medicine Inc6720-A Rockledge Dr Bethesda, MD 20817	52-1317896	501(c)(3)	119,056				Support of research activities
Tulane Educational Fund6823 St Charles Ave New Orleans, LA 70118	72-0423889	501(c)(3)	338,213				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Connecticut438 Whitney Rd Ext Unit 1133 Storrs,CT 06269	06-0772160	115	228,073				Support of research activities
University of Nevada Reno1664 N Virginia St Reno,NV 89557	86-6000024		22,233				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
University of Utah 201 S 1460 E Salt Lake City, UT 84112	87-6000525	115	54,228				Support of research activities
Virginia Commonwealth University PO BOX 843035 Richmond, VA 23284	54-6001758	115	69,540				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Wayne State UniversityPO Box 02759 Detroit, MI 48202	38-6028429	115	7,600				Support of research activities
West Clinic100 N Humphreys Blvd Memphis, TN 38120	62-1526296		17,450				Support of research activities

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

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
WGBH Educational FoundationOne Guest St Boston, MA 02138	04-2104397	501(c)(3)	14,795				Support of research activities
YMCA of Greater Indianapolis615 N Alabama St Ste 200 Indianapolis, IN 46204	35-0868211	501(c)(3)	28,139				Support of research activities

Schedule J
(Form 990)

Compensation Information

OMB No 1545-0047

2011

Open to Public Inspection

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

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

▶ Attach to Form 990. ▶ See separate instructions.

Name of the organization
Northwestern University

Employer identification number

36-2167817

Part I

Questions Regarding Compensation

		Yes	No
1a	Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. <div><div><input checked="" type="checkbox"/> First-class or charter travel</div><div><input checked="" type="checkbox"/> Travel for companions</div><div><input checked="" type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Discretionary spending account</div><div><input checked="" type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input checked="" type="checkbox"/> Health or social club dues or initiation fees</div><div><input checked="" type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div>		
b	If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all the expenses described above? If "No," complete Part III to explain	1b	Yes
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?	2	Yes
3	Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director. Check all that apply. <div><div><input checked="" type="checkbox"/> Compensation committee</div><div><input checked="" type="checkbox"/> Independent compensation consultant</div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input type="checkbox"/> Written employment contract</div><div><input checked="" type="checkbox"/> Compensation survey or study</div><div><input checked="" type="checkbox"/> Approval by the board or compensation committee</div></div>		
4	During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization: <div><div>a Receive a severance payment or change-of-control payment?</div><div>b Participate in, or receive payment from, a supplemental nonqualified retirement plan?</div><div>c 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	4a	No
		4b	Yes
		4c	No
5	Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9. 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 The organization?</div><div>b Any related organization?</div></div> If "Yes," to line 5a or 5b, describe in Part III	5a	No
		5b	No
6	For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of: <div><div>a The organization?</div><div>b Any related organization?</div></div> If "Yes," to line 6a or 6b, describe in Part III	6a	No
		6b	No
7	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III	7	Yes
8	Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regs section 53.4958-4(a)(3)? If "Yes," describe in Part III	8	No
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	9	

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

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, columns (D) and (E) for that individual.

[illegible]

Part III **Supplemental Information**

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

Identifier	Return Reference	Explanation
	Part I, Line 1a	Charter travel. Charter airplane travel was provided to one listed person and was treated as a business expense and was not treated as taxable compensation. Travel for companions. Family members accompanied two listed persons to the 2011 Meineke Car Care Bowl, where the University student football team competed, but such costs were reimbursed by the individuals or imputed as taxable income. Air travel was reimbursed by the University for one listed person and his spouse to attend the 2011 Meineke Car Care Bowl. Pursuant to written University policy, the benefit was treated as a business expense and was not treated as taxable compensation. The President's spouse has accompanied the President at development events for business purposes and such expenses were not treated as taxable compensation. A spouse accompanied one listed person to an awards event for business purposes and such expenses were not treated as taxable compensation. Tax gross-up payments. Three officers received gross-up payments in connection with certain benefits and such amounts were treated as taxable compensation. Housing allowance or residence for personal use. The President is required to reside in University-owned housing which is provided for the convenience of the University and is not treated as a taxable compensation pursuant to Internal Revenue Code Section 119. The annual fair market rental value of the housing is included in nontaxable benefits listed on Schedule J, Part II, column (D). Three interested persons were provided with housing allowances and the amounts were treated as taxable compensation. Three interested persons were provided temporary housing and the amounts were treated as taxable compensation. Health or social club dues or initiation fees. The President was extended memberships in organizations that are held in the President's individual name but that reflect institutional business requirements and are not treated as taxable compensation. Three individuals received reimbursement for social club initiation fees or dues and such amounts were treated as taxable compensation. Personal Services. In connection with the University provided presidential housing, the University provides maid/cleaning services at the President's University residence. The value of the benefit is apportioned between personal living quarters and public areas of the house, and the cleaning services associated with the personal living quarters are treated as taxable compensation.
	Part I, Line 4b	The following participated in a 457(f) nonqualified retirement plan and the amounts are subject to substantial risk of forfeiture and vest after a number of years: Name Amount Contributed Morton O. Schapiro \$250,000 Daniel I. Linzer \$150,000 Eugene S. Sunshine \$100,000 Thomas G. Cline \$100,000 Name Amount Paid Eugene S. Sunshine \$614,148 Thomas G. Cline \$280,552 Henry S. Bienen \$77,180
	Part I, Line 7	The President and one key employee received a non-fixed payment related to a recognition bonus.

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

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

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported in prior Form 990 or Form 990-EZ
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other compensation				
Morton O Schapiro	(i) (ii)	785,170 0	60,000 0	65,454 0	274,500 0	169,938 0	1,355,062 0	0 0
Daniel I Linzer	(i) (ii)	489,578 0	0 0	14,654 0	174,500 0	23,377 0	702,109 0	0 0
Eugene S Sunshine	(i) (ii)	741,511 0	0 0	663,595 0	124,500 0	16,751 0	1,546,357 0	500,000 0
Thomas G Cline	(i) (ii)	416,650 0	0 0	298,284 0	124,500 0	28,476 0	867,910 0	250,000 0
Alan K Cubbage	(i) (ii)	239,783 0	0 0	2,232 0	23,987 0	1,237 0	267,239 0	0 0
Marilyn McCoy	(i) (ii)	237,945 0	0 0	18,284 0	24,500 0	16,751 0	297,480 0	0 0
William H McLean	(i) (ii)	596,077 0	565,306 0	162,381 0	138,272 0	49,352 0	1,511,388 0	51,535 0
Robert E McQuinn	(i) (ii)	397,486 0	0 0	15,822 0	24,500 0	19,717 0	457,525 0	0 0
Eric G Neilson	(i) (ii)	199,327 82,080	0 100,000	528 17,107	7,500 24,000	107 5,491	207,462 228,678	0 0
Sean Reynolds	(i) (ii)	238,575 0	0 0	21,645 0	23,250 0	3,609 0	287,079 0	0 0
Patricia Telles-Irvin	(i) (ii)	153,009 0	0 0	36,569 0	6,562 0	8,603 0	204,743 0	0 0
Joseph T Walsh Jr	(i) (ii)	282,777 0	0 0	3,672 0	24,500 0	25,563 0	336,512 0	0 0
Ronald Nayler	(i) (ii)	296,467 0	10,000 0	18,215 0	24,500 0	12,691 0	361,873 0	0 0
Patrick M McCarthy	(i) (ii)	159,160 1,170,080	0 640,000	1,032 18,081	12,954 29,400	1,060 16,617	174,206 1,874,178	0 0
H Huntington Batjer	(i) (ii)	114,631 913,529	0 100,000	1,584 19,658	11,463 29,400	16,916 23,951	144,594 1,086,538	0 0
Patrick W Fitzgerald II	(i) (ii)	1,972,041 0	82,500 0	121,041 0	24,500 0	21,071 0	2,221,153 0	0 0
Murad Alam	(i) (ii)	2,333 345,819	0 1,077,261	0 189	140 29,400	16 8,884	2,489 1,461,553	0 0
Simon S Yoo	(i) (ii)	2,333 337,765	0 827,362	0 170	233 29,400	15 14,387	2,581 1,209,084	0 0

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

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported in prior Form 990 or Form 990-EZ
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other compensation				
William J Banis	(i)	221,718	0	6,434	22,501	14,751	265,404	0
	(ii)	0	0	0	0	0	0	0
Jeffrey Glassroth	(i)	265,749	0	0	13,987	14,682	294,418	0
	(ii)	308,500	708,333	18,005	27,458	2,439	1,064,735	0
J Larry Jameson	(i)	371,985	0	516	21,582	30,465	424,548	0
	(ii)	162,230	0	8,921	18,085	11,914	201,150	0
Sarah Risley Pearson	(i)	285,070	0	258	24,500	6,255	316,083	0
	(ii)	0	0	0	0	0	0	0
Patricia H Todus	(i)	238,524	0	21,890	24,500	19,594	304,508	0
	(ii)	0	0	0	0	0	0	0
Morteza A Rahimi	(i)	158,816	0	1,854	16,500	14,256	191,426	0
	(ii)	0	0	0	0	0	0	0
Lewis Landsberg	(i)	239,354	0	1,854	24,200	993	266,401	0
	(ii)	52,240	0	5,686	7,260	19,724	84,910	0
Henry S Bienen	(i)	22,420	0	87,197	0	0	109,617	0
	(ii)	0	0	0	0	0	0	0

Schedule K
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Northwestern University

Supplemental Information on Tax Exempt Bonds

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

OMB No 1545-0047

2011

Open to Public
Inspection

Employer identification number

36-2167817

Part I

Bond Issues

(a) Issuer Name	(b) Issuer EIN	(c) CUSIP #	(d) Date Issued	(e) Issue Price	(f) Description of Purpose	(g) Defeased		(h) On Behalf of Issuer		(i) Pool financing	
						Yes	No	Yes	No	Yes	No
A Illinois Educational Facilities Authority	52-1297563	4520018K9	10-29-2003	183,530,698	Refund bonds issued 5/13/97 , acquire,construct,or renovate univ facilities		X		X		X
B Illinois Finance Authority	86-1091967	45200BFC7	09-09-2004	135,800,000	Acquire, construct or renovate University facilities		X		X		X
C Illinois Finance Authority	86-1091967	45200BH50	10-03-2006	150,740,726	Refund bonds issued 12/3/97		X		X		X
D Illinois Finance Authority	86-1091967	45200FKZ1	06-25-2008	125,000,000	Acquire, construct or renovate University facilities		X		X		X

Part II

Proceeds

	A		B		C		D	
	1	Amount of bonds retired	2	Amount of bonds defeased	3	Total proceeds of issue	4	Gross proceeds in reserve funds
5	Capitalized interest from proceeds		6	Proceeds in refunding escrow		7	Issuance costs from proceeds	
8	Credit enhancement from proceeds		9	Working capital expenditures from proceeds		10	Capital expenditures from proceeds	
11	Other spent proceeds		12	Other unspent proceeds		13	Year of substantial completion	
14	Were the bonds issued as part of a current refunding issue?	2008		2008		2011		
		Yes	No	Yes	No	Yes	No	Yes
15	Were the bonds issued as part of an advance refunding issue?	X			X	X		X
16	Has the final allocation of proceeds been made?	X		X		X		X
17	Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X		X		X

Part III

Private Business Use

	A		B		C		D	
	1	Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?	2	Are there any lease arrangements that may result in private business use of bond-financed property?	Yes	No	Yes	No
			X			X		X
	X		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			X
b	If 'Yes' to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?		X		X		X		
c	Are there any research agreements that may result in private business use of bond-financed property?	X		X		X			X
d	If 'Yes' to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?		X		X		X		
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government	0 %		0 %		0 %		0 %	
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government	0 %		0 %		0 %		0 %	
6	Total of lines 4 and 5	0 %		0 %		0 %		0 %	
7	Has the organization adopted management practices and procedures to ensure the post-issuance compliance of its tax-exempt bond liabilities?	X		X		X		X	

Part IV

Arbitrage

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
1	Has a Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate, been filed with respect to the bond issue?		X	X			X		X
2	Is the bond issue a variable rate issue?		X	X			X	X	
3a	Has the organization or the governmental issuer entered into a hedge with respect to the bond issue?		X	X			X	X	
b	Name of provider			Morgan Stanley and other banks				other banks other banks	
c	Term of hedge			24 0000000000000				24 0000000000000	
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		X
b	Name of provider								
c	Term of GIC								
d	Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
5	Were any gross proceeds invested beyond an available temporary period?		X	X			X		X
6	Did the bond issue qualify for an exception to rebate?		X		X		X		X

Part V

Procedures To Undertake Corrective Action

Check the box if the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations ☒ Yes ☐ No

Part VI

Supplemental Information

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

Identifier	Return Reference	Explanation
Part I, column (c)	Bond issues, CUSIP #	The following bond issuances are associated with additional Cusip numbers as noted (B)IFA-Series 2004 CUSIP #45200BFD5, (D) IFA-Series 2008 CUSIP #45200FLA5 and #45200FLB3
Part II, line 3	Issue price and proceeds of bonds (A), (B), (D)	The difference between issue price and proceeds of bonds (A), (B), and (D) are due to investment income earned on unspent proceeds of IEFA-Series 2003, IFA-Series 2004, and IFA-Series 2006 bonds, respectively
Part III, line 3b	Private Business Use	The University engages bond counsel and performs a review of management or services contracts at the time of any new bond issuances, generally every two years At that time, all existing bond issuances and private use are re-examined and re-documented The University monitors private use changes internally on an ongoing basis
Part III, line 3d	Private business Use	The University engages bond counsel and performs a review of research agreements at the time of any new bond issuances, generally every two years At that time, all existing bond issuances and private use are re-examined and re-documented The University monitors private use changes internally on an ongoing basis
Part III, line 4	Funding Sources and Private Usage	The University finances acquisition, construction, or renovation of University facilities with multiple funding sources including tax exempt bond issues There is a small amount of monitored private use within the facilities partially funded by bonds, however, such usage was financed from other sources
Part IV, line 3b & 3c	Arbitrage, name of provider and term of hedge	Hedge providers and terms of hedges for bonds (B) IFA-Series 2004 and (D) IFA-Series 2008 are as follows Morgan Stanley Capital Services, 2 years, Bank of America 2 years, and JP Morgan 2 years
Part IV, line 5	Gross proceeds investment period	As disclosed on the Form 8038-T filed November 2009 for bond (B)IFA-Series 2006, gross proceeds were invested beyond an available temporary period and the University calculated and made a yield reduction payment in the amount of \$310,118

Schedule L
(Form 990 or 990-EZ)

Transactions with Interested Persons

OMB No 1545-0047

2011

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I

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

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

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

2

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

\$

3

Enter the amount of tax, if any, on line 2, above, reimbursed by the organization

\$

Part II

Loans to and/or From Interested Persons.

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

(a) Name of interested person and purpose	(b) Loan to or from the organization?		(c)Original principal amount	(d)Balance due	(e) In default?		(f) Approved by board or committee?		(g)Written agreement?	
	To	From			Yes	No	Yes	No	Yes	No
(1) Patrick Fitzgerald II Compensation package		X	2,500,000	2,567,172		No	Yes		Yes	
(2) Robert McQuinn Compensation package		X	130,000	134,825		No	Yes		Yes	
(3) Robert McQuinn Compensation package		X	50,000	51,692		No	Yes		Yes	
Total				\$ 2,753,689						

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
(1) na	n/a	5,000
(2) na	n/a	10,000

Part IV Business Transactions Involving Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
See Additional Data Table					

Part V Supplemental Information

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

Identifier	Return Reference	Explanation
Schedule L, Part IV		Amounts reflected with respect to the business transaction to Technology Crossover Ventures represent venture capital purchases less capital gains during the tax year
Schedule L, Part IV		Amounts reflected with respect to the business transaction to Roundtable Healthcare Partners represent capital gains less fees, expenses, and private equity purchases during the tax year
Schedule L, Part IV		Amounts reflected with respect to the business transaction to Thoma Cressey Funds represent return of capital, capital gains and income less expenses and private equity purchases during the tax year
Schedule L, Part IV		Amounts reflected with respect to the business transaction to Madison Dearborn represent return of capital, capital gains less fees, expenses, and private equity purchases during the tax year
Schedule L, Part IV		Amounts reflected with respect to the business transaction to New Enterprise Associates represent return of capital and capital gains less venture capital purchases during the tax year
Schedule L, Part IV		Investment of University assets are monitored by an Investment Committee of the Board of Trustees and governed by an Investment Policy, which includes a conflict of interest policy That policy establishes criteria under which any investments will be made Among other things, affected Trustees must recuse themselves of any vote related to the investment
Schedule L, Part III		Grants or assistance benefitting interested persons were given pursuant to objective criteria

Additional Data

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

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction \$	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
Northern Trust	Nicholas D Chabreja, Trustee, was serving as a bank director	887,343	Bank and investment transaction fees less interest earned from bank		No
Northern Trust	Frederick H Waddell, Trustee, was serving as a bank director	887,343	Bank and investment transaction fees less interest earned from bank		No
Technology Crossover Ventures	Jay C Hoag, Trustee, partner w/ ownership interest over 5%	2,442,391	Investment in two venture capital funds Technology Crossover Ventures VI and VIIA		No
Rndtable Hlthcare Ptnrs	Lester B Knight, Trustee, was serving as a director	3,683,940	Investment in three private equity funds Roundtable Healthcare Partners, Roundtable Healthcare Partners II and III		No
Aon Corporation	Lester B Knight, Trustee, was serving as a director	1,370,868	Insurance broker		No
Thoma Cressey Fd	Lee M Mitchell, Trustee, partner w/ ownership interest over 5%	3,891,264	Investment in five private equity funds Thoma Cressey Fund VI, VII, and VIII, and Thoma Bravo Fund IX and X-A		No
Madison Dearborn	John A Canning, Jr , Trustee, partner w/ ownership interest over 5%	15,805,049	Investment in four private equity funds Madison Dearborn III, IV, V and VI		No
Madison Dearborn	Timothy P Sullivan, Trustee, was serving as managing director	15,805,049	Investment in four private equity funds Madison Dearborn III, IV, V and VI		No
New Enterprise Associates	Peter J Barris, Trustee, partner w/ ownership interest over 5%	4,941,147	Investment in seven venture capital funds NEA VIII, VIIIA, IX, X, XI, XII, and XIV		No
NanoInk Inc	Ann Lurie, Trustee, direct and indirect ownership interest over 35%	464,725	License of intellectual property		No
VWR International Inc	Timothy P Sullivan, Trustee, was serving as board member	6,665,603	Sale of labratory equipment		No
Charlotte Cubbage	Family member of Alan K Cubbage, Officer	72,295	Employment		No

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction \$	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
Jennifer Linzer	Family member of Daniel I Linzer, Officer	28,474	Employment		No
Leigh Bienen	Family member of Henry Bienen, Former Officer	54,006	Employment		No

SCHEDULE M
(Form 990)

NonCash Contributions

OMB No 1545-0047

2011

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
Northwestern University

Employer identification number
36-2167817

Part I

Types of Property

	(a) Check if applicable	(b) Number of Contributions or items contributed	(c) Contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining contribution amounts
1 Art—Works of art	X	9	86,147	FMV on date of gift
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications	X		2,321	FMV on date of gift
5 Clothing and household goods	X		1,398	FMV on date of gift
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	388	22,144,401	Proceeds from sale
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests	X	3	1,087,851	FMV on date of gift
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles				
19 Food inventory	X	7	6,892	FMV on date of gift
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ► (<u>Event/tickets</u>)	X	72	228,356	FMV on date of gift
26 Other ► (<u>Equip/softwre</u>)	X	14	435,956	FMV on date of gift
27 Other ► (<u> </u>)				
28 Other ► (<u> </u>)				

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

2

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

Part II

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

Identifier	Return Reference	Explanation
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SCHEDULE O

(Form 990 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

2011

Open to Public
Inspection

Name of the organization Northwestern University	Employer identification number 36-2167817
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Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 1	Delegation of Authority to Executive Committee Executive Committee of the Board of Trustees is comprised of 21 members of the governing body The Executive Committee may exercise the power of the Board of Trustees between meetings with respect to ordinary business transactions

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

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 2	Business Relationships continued Edward M Liddy and D Gideon Searle Edward M Liddy and Miles D White William A Osborn and Edward M Liddy William A Osborn and Nicholas D Chabraja William A Osborn and Miles D White M Jude Reyes and A Steven Crown M Jude Reyes and Patrick G Ryan M Jude Reyes and Frederick H Waddell Frederick H Waddell and Nicholas D Chabraja Family Relationships Patrick G Ryan and Patrick G Ryan, Jr

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 4	<p>The University made the following changes to its governing documents since the prior Form 990 was filed (i) Upon reaching the age 70, an individual is no longer a voting member of the governing body, (ii) Faculty, staff and students may not become members of the governing body, but uncompensated lecturers are not prohibited from becoming members of the governing body, (iii) The Bylaws formalize a current practice by the Committee on Audit, whereby the Bylaws now state that such committee shall periodically review, and if necessary, recommend any changes to, the University's internal controls and compliance procedures, (iv) Prior Bylaws provided that special committees may be appointed by the Chairman of the Board, and there has been a long standing practice of maintaining a Committee on Compensation. Current Bylaws specifically call for a Committee on Compensation, which is appointed by the Chairman of the Board, consisting of five or more members. Such members shall continue to advise the Board of Trustees regarding the evaluation of the performance and compensation of the President and shall review and approve the compensation of the President, officers, and other designated individuals of the University.</p>

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

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

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section B, line 15	<p>The Compensation Committee of the Board includes members of the University's governing body who are not related or controlled by the employees whose compensation they are reviewing. To assess the reasonableness of employee compensation, the Compensation Committee of the Board relies on formal surveys and comparability data prepared and compiled by outside consultants who have expertise in the field of executive compensation assessment and benchmarking. The Compensation Committee of the Board met in June 2010 to review and approve fiscal year 2011 (September 1, 2010 to August 31, 2011) salaries and met in June 2011 to review and approve fiscal year 2012 (September 1, 2011 to August 31, 2012) salaries. Actions undertaken by the Compensation Committee of the Board are contemporaneously documented in the minutes of each meeting. Compensation Committee of the Board reviewed and approved compensation of all current officers listed in Part VII, Section A.</p>

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section C, line 19	Governing documents The University maintains an Office for University Relations where information requests from the public are processed The organizing document by which the University was created, its charter, is available upon request Conflict of Interest Policies The University's conflict of interest policies for faculty and staff are available on the University's website Financial Statements The University's annual audited consolidated financial statements are available on the University's website

Identifier	Return Reference	Explanation
Local chapters, branches, or affiliates	Form 990, Part VI, Line 10	The University does not have local chapters, branches, lodges, units or similar affiliates. As described in Schedule F, the University has one international campus, located in Doha, Qatar. The University has a number of affiliation agreements and arrangements with other research and educational institutions but the University does not have authority to exercise supervision and control of such institutions.

Identifier	Return Reference	Explanation
Whistleblow er	Form 990, Part VI, Line 13	The University's w histleblow er policy has not been adopted by the Board of Trustees but is applicable to staff and faculty

Identifier	Return Reference	Explanation
Document Retention and Destruction Policy	Form 990, Part VI, Line 14	The University's written document retention and destruction policy has not been adopted by the Board of Trustees but is applicable to staff and faculty

Identifier	Return Reference	Explanation
Joint Venture Arrangements	Form 990, Part VI, Line 16b	The University does not have a written policy regarding joint ventures in general. However, joint venture agreements are reviewed by the University's Office of General Counsel to evaluate whether the arrangement furthers the mission of the University and to ensure the safeguarding of University's assets. The University also has guidelines concerning joint ventures in its technology transfer and investment policies.

Identifier	Return Reference	Explanation
Average hours per week devoted to related organizations	Form 990, Part VII	The following individuals listed in column A work an estimated average hours per week for duties at NMFF, which bases hours devoted to that organization on a 60-hour work week James Larry Jameson 30 hours Eric G Neilson 30 hours Patrick M McCarthy 55 hours H Huntington Batjer 54 hours Murad Alam 60 hours Simon S Yoo 60 hours Lewis Landsberg 12 hours Jeffrey Glassroth 48 hours

Identifier	Return Reference	Explanation
Changes in Net Assets or Fund Balances	Form 990, Part XI, line 5	Net unrealized gains on investments 71332383

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

2011

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I

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

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

Part II

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled organization	
						Yes	No
See Additional Data Table							

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) Disproprtionate 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	
(1) Bensell US Feeder LP 50 Lothian Rd Festival Square Edinburgh EH3 9WJ UK 98-0492320	Investments	UK		Investment		12,666,731		No			No	56 000 %

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
(1) Charitable Remainder UniTrusts (120)		IL		T			
(2) Charitable Remainder Annuity Trusts (23)		IL		T			
(3) Conquest Managed Futures Select Fund III Ltd 45 Market Street Suite 3205 Camana Bay, Grand Cayman KYI-9003 CJ	Investment	CJ	Northwestern University	C		50,000,000	100 000 %

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 related organization(s)

c

Gift, grant, or capital contribution from related organization(s)

d

Loans or loan guarantees to or for related organization(s)

e

Loans or loan guarantees by related organization(s)

f

Sale of assets to related organization(s)

g

Purchase of assets from related organization(s)

h

Exchange of assets with related organization(s)

i

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

j

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

k

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

l

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

m

Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)

n

Sharing of paid employees with related organization(s)

o

Reimbursement paid to related organization(s) for expenses

p

Reimbursement paid by related organization(s) for expenses

q

Other transfer of cash or property to related organization(s)

r

Other transfer of cash or property from related organization(s)

Yes

No

1a

1b

1c

1d

1e

1f

1g

1h

1i

1j

1k

1l

1m

1n

1o

1p

1q

1r

No

No

Yes

No

No

No

No

No

Yes

No

No

No

No

Yes

Yes

Yes

Yes

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) See Additional Data Table			
(2)			
(3)			
(4)			
(5)			
(6)			

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
Identification of Related Tax-Exempt Organizations	Schedule R, Part II	Northwestern Medical Faculty Foundation is included as a "related organization" because under its current bylaws, its clinical department chairs comprise a majority of its directors. These individuals are also employed as chairs of the corresponding academic departments within the Feinberg School of Medicine of Northwestern University. However, the two organizations do not stand in the roles of parent and subsidiary. They are separate legal entities, and Northwestern Medical Faculty Foundation is not subject to control by Northwestern University or vice-versa.
Charitable Remainder Trusts	Schedule R, Part IV	The Charitable Remainder Unitrusts and Charitable Remainder Annuity Trusts are predominantly domiciled in Illinois.

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

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

(a) Name, address, and EIN of related organization	(b) Primary Activity	(c) Legal Domicile (State or Foreign Country)	(d) Exempt Code section	(e) Public charity status (if 501(c)(3))	(f) Direct Controlling Entity	(g) Section 512 (b)(13) controlled organization	
Rubicon Insurance Company 2020 Ridge Ave Evanston, IL 60208 36-3694409	Providing medical malpractice coverage	IL	501(c)(3)	11 b	Northwestern University	Yes	
Northwestern Medical Faculty Foundation 680 N Lakeshore Dr Chicago, IL 60611 36-3097297	Patient care, teaching	IL	501(c)(3)	9	Northwestern University	Yes	
Students Publishing Company 1999 Sheridan Rd Evanston, IL 60208 36-6002654	Publishes student periodicals	IL	501(c)(3)	11 a			No
Mcgaw Medical Center of Northwestern University 420 E Superior St Chicago, IL 60611 36-2656113	Coordination of medical residents	IL	501(c)(3)	11 a			No
Northwestern Global Health Foundation PO Box 1969 Evanston, IL 60204 27-3159956	Developing medical devices for people in need in developing countries	IL	501(c)(3)	9	Northwestern University	Yes	
The Big Ten Conference Inc 1500 W Higgins Rd Park Ridge, IL 60068 36-3640583	Facilitate quality intercollegiate athletic competition	IL	501(c)(3)	11 b			No
Northwestern University Employees Benefit Trust PO Box 803878 Northern Trust at Tru Chicago, IL 60680 36-3180819	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		Northwestern University	Yes	
Northwestern University Employees Benefit Trust Dental PO Box 803878 Northern Trust at Tru Chicago, IL 60680 36-3591834	Providing health insurance benefits to current and former eligible employees	IL	501(c)(9)		Northwestern University	Yes	

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

(a) Name of other organization	(b) Transaction type(a-r)	(c) Amount Involved (\$)	(d) Method of determining amount involved
(1) Rubicon Insurance Company	P	1,317,741	cash
(2) Rubicon Insurance Company	Q	4,379,435	cash
(3) Northwestern Medical Faculty Foundation	P	8,159,583	cash
(4) Northwestern Medical Faculty Foundation	Q	1,814,648	cash
(5) Northwestern Medical Faculty Foundation	R	47,080,631	cash
(6) Northwestern Global Health Foundation	Q	1,320,232	cash
(7) Northwestern University Employees Benefit Trust Health	Q	32,784,694	cash
(8) Northwestern University Employees Benefit Trust Dental	Q	2,815,805	cash

Additional Data

Software ID:

Software Version:

EIN: 36-2167817

Name: Northwestern University

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Peter J Barris Trustee	1 00	X						0	0	0
John A Canning Jr Trustee	1 00	X						0	0	0
Nicholas D Chabreja Trustee	1 00	X						0	0	0
A Steven Crown Trustee	1 00	X						0	0	0
Richard H Dean Trustee	1 00	X						0	0	0
Charles W Douglas Trustee	1 00	X						0	0	0
D Cameron Findlay Trustee	1 00	X						0	0	0
Dennis J FitzSimons Trustee	1 00	X						0	0	0
T Bondurant French Trustee	1 00	X						0	0	0
Christopher B Galvin Trustee	1 00	X						0	0	0
J Douglas Gray Trustee	1 00	X						0	6,650	0
Philip L Harris Trustee	1 00	X						0	0	0
Jay C Hoag Trustee	1 00	X						0	0	0
Ellen Philips Katz Trustee	1 00	X						0	0	0
Lester B Knight Trustee	1 00	X						0	0	0
Timothy K Krauskopf Trustee	1 00	X						0	0	0
Edward M Liddy Trustee	1 00	X						0	0	0
Ann Lurie Trustee	1 00	X						0	0	0
J Landis Martin Trustee	1 00	X						0	0	0
Lee M Mitchell Trustee	1 00	X						0	0	0
Wendy M Nelson Trustee	1 00	X						0	0	0
William A Osborn Trustee	1 00	X						0	0	0
Jane DiRenzo Pigott Trustee	1 00	X						0	0	0
JB Pritzker Trustee	1 00	X						0	0	0
M Jude Reyes Trustee	1 00	X						0	0	0

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099- MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Patrick G Ryan Trustee	1 00	X						0	0	0
Patrick G Ryan Jr Trustee	1 00	X						0	0	0
Paul L Sagan Trustee	1 00	X						0	0	0
William E Sagan Trustee	1 00	X						0	0	0
D Gideon Searle Trustee	1 00	X						0	0	0
Andrew E Senyeri MD Trustee	1 00	X						0	0	0
Benjamin W Slivka Trustee	1 00	X						0	0	0
Timothy P Sullivan Trustee	1 00	X						0	0	0
Frederick H Waddell Trustee	1 00	X						0	0	0
David B Weinberg Trustee	1 00	X						0	0	0
Miles D White Trustee	1 00	X						0	0	0
Morton O Schapiro President	40 00			X				910,624	0	444,438
Daniel I Linzer Provost	40 00			X				504,232	0	197,877
Eugene S Sunshine Senior VP for Business	40 00			X				1,405,106	0	141,251
Thomas G Cline VP and General Counsel	40 00			X				714,934	0	152,976
Alan K Cubbage VP University Relations	40 00			X				242,015	0	25,224
Marilyn McCoy VP for Administration	40 00			X				256,229	0	41,251
William H McLean VP and Chief Investment Of	40 00			X				1,323,764	0	187,624
Robert E McQuinn VP for Development	40 00			X				413,308	0	44,217
Eric G Neilson VP Medical School	30 00			X				199,855	199,187	37,098
Sean Reynolds VP Information Technology	40 00			X				260,220	0	26,859
Patricia Telles-Irvin VP Student Affairs	40 00			X				189,578	0	15,165
Joseph T Walsh Jr VP for Research	40 00			X				286,449	0	50,063
Ronald Nayler Assoc VP Facilities Mgmnt	40 00				X			324,682	0	37,191
Patrick M McCarthy Professor, Medical School	5 00					X		160,192	1,828,161	60,031

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			
H Huntington Batjer Professor, Medical School	6 00					X		116,215	1,033,187	81,730
Patrick W Fitzgerald II Head Coach	40 00					X		2,175,582	0	45,571
Murad Alam Asst Professor,Medical S	10					X		2,333	1,423,269	38,440
Simon S Yoo Professor, Medical School	10					X		2,333	1,165,297	44,035
William J Banis Former VP Student Affairs	40 00						X	228,152	0	37,252
Jeffrey Glassroth Former Interim VP Medical Affairs	12 00						X	265,749	1,034,838	58,566
J Larry Jameson Former VP for Medical Affairs and	30 00						X	372,501	171,151	82,046
Sarah Risley Pearson Former VP for Development	0 00						X	285,328	0	30,755
Patricia H Todus Former Interim VP Information Tec	40 00						X	260,414	0	44,094
Morteza A Rahimi Former VP Information Tech	40 00						X	160,670	0	30,756
Lewis Landsberg Former VP Medical Affairs	48 00						X	241,208	57,926	52,177
Henry S Bienen Former President	0 00						X	109,617	0	0