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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 private foundations)

Do not enter social security numbers on this form as it may be made public

Information about Form 990 and its instructions is at [www.IRS.gov/form990](http://www.irs.gov/form990)

OMB No 1545-0047

2014

Open to Public Inspection

A For the 2014 calendar year, or tax year beginning 09-01-2014, and ending 08-31-2015

B Check if applicable

☐ Address change

☐ Name change

☐ Initial return

☐ Final 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 province, country, and ZIP or foreign postal code

Evanston, IL 60208

F Name and address of principal officer

Ingrid S Stafford

633 Clark St

Evanston,IL 60208

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

☐ Yes

☒ No

H(b) Are all subordinates 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	<div><div>1</div><div>Briefly describe the organization's mission or most significant activities</div><div>Education and research</div></div>																																
	<div><div>2</div><div>Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets</div></div>																																
	<table><tr><td>3</td><td>Number of voting members of the governing body (Part VI, line 1a)</td><td>3</td><td>36</td></tr><tr><td>4</td><td>Number of independent voting members of the governing body (Part VI, line 1b)</td><td>4</td><td>33</td></tr><tr><td>5</td><td>Total number of individuals employed in calendar year 2014 (Part V, line 2a)</td><td>5</td><td>23,769</td></tr><tr><td>6</td><td>Total number of volunteers (estimate if necessary)</td><td>6</td><td>152</td></tr><tr><td>7a</td><td>Total unrelated business revenue from Part VIII, column (C), line 12</td><td>7a</td><td>27,897,331</td></tr><tr><td>7b</td><td>Net unrelated business taxable income from Form 990-T, line 34</td><td>7b</td><td>0</td></tr></table>	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	33	5	Total number of individuals employed in calendar year 2014 (Part V, line 2a)	5	23,769	6	Total number of volunteers (estimate if necessary)	6	152	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	27,897,331	7b	Net unrelated business taxable income from Form 990-T, line 34	7b	0								
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Revenue	<table><tr><td>8</td><td>Contributions and grants (Part VIII, line 1h)</td><td>Prior Year</td><td>Current Year</td></tr><tr><td>9</td><td>Program service revenue (Part VIII, line 2g)</td><td>625,656,043</td><td>501,895,829</td></tr><tr><td>10</td><td>Investment income (Part VIII, column (A), lines 3, 4, and 7d)</td><td>1,663,168,510</td><td>1,716,432,570</td></tr><tr><td>11</td><td>Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)</td><td>557,761,612</td><td>596,154,305</td></tr><tr><td>12</td><td>Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)</td><td>49,256,473</td><td>109,954,202</td></tr><tr><td></td><td></td><td>2,895,842,638</td><td>2,924,436,906</td></tr></table>	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year	9	Program service revenue (Part VIII, line 2g)	625,656,043	501,895,829	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,663,168,510	1,716,432,570	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	557,761,612	596,154,305	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	49,256,473	109,954,202			2,895,842,638	2,924,436,906								
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Expenses	<table><tr><td>13</td><td>Grants and similar amounts paid (Part IX, column (A), lines 1–3)</td><td>400,236,762</td><td>445,034,378</td></tr><tr><td>14</td><td>Benefits paid to or for members (Part IX, column (A), line 4)</td><td>0</td><td>0</td></tr><tr><td>15</td><td>Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)</td><td>1,096,969,922</td><td>1,147,812,227</td></tr><tr><td>16a</td><td>Professional fundraising fees (Part IX, column (A), line 11e)</td><td>1,333,120</td><td>268,012</td></tr><tr><td>16b</td><td>Total fundraising expenses (Part IX, column (D), line 25) 52,337,025</td><td></td><td></td></tr><tr><td>17</td><td>Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)</td><td>832,457,605</td><td>839,284,990</td></tr><tr><td>18</td><td>Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)</td><td>2,330,997,409</td><td>2,432,399,607</td></tr><tr><td>19</td><td>Revenue less expenses Subtract line 18 from line 12</td><td>564,845,229</td><td>492,037,299</td></tr></table>	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	400,236,762	445,034,378	14	Benefits paid to or for members (Part IX, column (A), line 4)	0	0	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	1,096,969,922	1,147,812,227	16a	Professional fundraising fees (Part IX, column (A), line 11e)	1,333,120	268,012	16b	Total fundraising expenses (Part IX, column (D), line 25) 52,337,025			17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	832,457,605	839,284,990	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	2,330,997,409	2,432,399,607	19	Revenue less expenses Subtract line 18 from line 12	564,845,229	492,037,299
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Net Assets or Fund Balances		Beginning of Current Year	End of Year																														
	20	Total assets (Part X, line 16)	12,773,853,11713,433,515,174																														
	21	Total liabilities (Part X, line 26)	2,106,944,0472,636,970,550																														
	22	Net assets or fund balances Subtract line 21 from line 20	10,666,909,07010,796,544,624																														

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

Ingrid S Stafford Vice President Financial Operations

2016-07-13

Date

Print/Type preparer's name

Travis L Patton

Preparer's signature

Travis L Patton

Date

2016-07-13

Check ☐ if self-employed

PTIN

P00369623

Firm's name

PncewaterhouseCoopers

Firm's EIN

13-4008324

Firm's address

600 13th Street NW Suite 1000

Washington, DC 20005

Phone no

(202) 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 (2014)

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line 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 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 \$ 1,669,940,974 including grants of \$ 318,306,322) (Revenue \$ 1,089,072,835)

EDUCATION OF STUDENTS FOR THE 2015 ACADEMIC YEAR, 8,247 UNDERGRADUATES AND 8,933 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 \$ 430,370,000 including grants of \$ 126,728,056) (Revenue \$ 555,636,109)

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 \$ 101,817,000 including grants of \$) (Revenue \$ 77,225,542)

AUXILIARY ENTERPRISES SERVE THE EDUCATIONAL MISSION BY PRIMARILY PROVIDING RESIDENCES AND FOOD SERVICES, AND OTHER VARIOUS GOODS AND SERVICES TO SUPPORT UNIVERSITY STUDENT, FACULTY, AND STAFF ACTIVITIES.

4d

Other program services (Describe in Schedule O)

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

















4e

Total program service expenses

2,202,127,974

Form 990 (2014)

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 for escrow or custodial account liability, 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 and XII	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 and XII 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, Parts I and IV 	14b Yes	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts 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 other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts 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 (see instructions) 	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 hospital facilities? If "Yes," complete Schedule H	20a	No
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b	

Part IV

Checklist of Required Schedules (continued)

21	Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government 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 or other assistance to or for domestic individuals 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, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</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), 501(c)(4), and 501(c)(29) 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	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <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 employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>	27		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a	Yes	
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b	Yes	
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c	Yes	
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	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	Yes	
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>	34	Yes	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	Yes	
b	If 'Yes' to line 35a, 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 11b 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 or note to any line in this Part V

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable	22,595	
1b	Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable	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	23,769	
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? <i>If "No" to line 3b, provide an explanation in Schedule O</i>		3b	Yes
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		4a	Yes
b If "Yes," enter the name of the foreign country <u>UK, QA</u> See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)			
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 as charitable contributions?		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. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?		8	No
9a Did the sponsoring organization make any taxable distributions under section 4966?		9a	No
b Did the sponsoring 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. See the instructions for additional information the organization must report on Schedule O		13a	
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans		13b	
c Enter the 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? <i>If "No," provide an explanation in Schedule O</i>		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 or note to any line 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		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O		
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?	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?		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?		No
6	Did the organization have members or stockholders?		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?		No
7b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following		
8a	The governing body?	Yes	
8b	Each committee with authority to act on behalf of the governing body?	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		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?		No
10b	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?		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	Yes	
11b	Describe in Schedule O the process, if any, used by the organization to review this Form 990		
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13	Yes	
12b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	Yes	
12c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	Yes	
13	Did the organization have a written whistleblower policy?	Yes	
14	Did the organization have a written document retention and destruction policy?	Yes	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
15a	The organization's CEO, Executive Director, or top management official	Yes	
15b	Other officers or key employees of the organization	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?	Yes	
16b	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?		No

Section C. Disclosure

17	List the States with which a copy of this Form 990 is required to be filed	AK, CO, CA, KY, NH, OH, OR, MD, MA, MI, MT, NV, ND, OK, SC, WA
18	Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply. <input type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request <input type="checkbox"/> Other (explain in Schedule O)	
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 during the tax year	
20	State the name, address, and telephone number of the person who possesses the organization's books and records	Nancy Pinchar Accounting Director

Part VII

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

Check if Schedule O contains a response or note to any line in this Part VII

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

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

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

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

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(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			

Part VII

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(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			

1b	Sub-Total			
c	Total from continuation sheets to Part VII, Section A			
d	Total (add lines 1b and 1c)	21,780,907	0	3,944,539

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization: 2,098

		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 Yes	

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
NORTHWESTERN MEMORIAL HOSPITAL 251 EAST HURON CHICAGO, IL 60611	Clinical SERVICES	4,329,221
THOMA CRESSEY BRAVO INC 300 N LaSalle St Ste 4350 Chicago, IL 60654	INVESTMENT MANAGEMENT	3,524,008
FREE ENTERPRISE SYSTEM ONE SODREL DRIVE JEFFERSONVILLE, IN 47130	TRANSPORTATION SERVICES	3,049,894
SAPIENT CORPORATION 131 Dartmouth St Boston MA BOSTON, MA 02116	IT development and consulting services	3,039,332
CABOT SQUARE CAPITAL PARTNERS Two London Bridge London SE1 9RA UK	investment management	2,498,578

Part VIII

Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

☒

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns 1a				
	b	Membership dues 1b				
	c	Fundraising events 1c	2,519,313			
	d	Related organizations 1d				
	e	Government grants (contributions) 1e	20,540,687			
	f	All other contributions, gifts, grants, and similar amounts not included above 1f	478,835,829			
	g	Noncash contributions included in lines 1a-1f \$	144,842,908			
	h	Total. Add lines 1a-1f	501,895,829			
Program Service Revenue	2a	Tuition and fees	Business Code 611310	911,129,670	911,129,670	
	b	Research activities	611310	555,636,109	555,636,109	
	c	Educational activities	611310	140,602,805	140,602,805	
	d	Auxilliary enterprises	611310	77,225,542	77,225,542	
	e	Medical departments	611310	24,150,447	24,150,447	
	f	All other program service revenue		7,687,997	7,687,997	0
	g	Total. Add lines 2a-2f		1,716,432,570		0
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)	106,381,973	5,501,916		100,880,057
	4	Income from investment of tax-exempt bond proceeds				
	5	Royalties	79,687,356			79,687,356
	6a	Gross rents	(i) Real	(ii) Personal		
			4,407,293			
			1,864,656			
			2,542,637	0		
	b	Less rental expenses				
	c	Rental income or (loss)				
	d	Net rental income or (loss)	2,542,637		19,291	2,523,346
	7a	Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other		
			1,241,744,794	907,571,626		
			1,093,305,939	566,238,149		
			148,438,855	341,333,477		
	b	Less cost or other basis and sales expenses				
	c	Gain or (loss)				
	d	Net gain or (loss)	489,772,332			489,772,332
	8a	Gross income from fundraising events (not including \$ 2,519,313 of contributions reported on line 1c) See Part IV, line 18	a			
			504,803			
	b	Less direct expenses b	703,376			
	c	Net income or (loss) from fundraising events	-198,573			-198,573
	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			
	b	Less cost of goods sold b				
	c	Net income or (loss) from sales of inventory				
	Miscellaneous Revenue		Business Code			
	11a	Alumni travel study	561520	199,156	199,156	
	b	Scientific services/rental	541990	219,230	219,230	
	c	Investment in partners	523920	27,413,747	27,413,747	
	d	All other revenue		90,649	0	44,742
	e	Total. Add lines 11a-11d		27,922,782		
	12	Total revenue. See Instructions		2,924,436,906	1,721,934,486	27,897,331
						672,709,260

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).

Check if Schedule O contains a response or note to any line 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 domestic organizations and domestic governments. See Part IV, line 21.	97,611,138	97,611,138		
2	Grants and other assistance to domestic individuals. See Part IV, line 22.	341,812,829	341,812,829		
3	Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.	5,610,411	5,610,411		
4	Benefits paid to or for members.				
5	Compensation of current officers, directors, trustees, and key employees.	25,725,446	8,180,181	16,886,852	658,413
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.	916,107,722	860,903,315	28,091,860	27,112,547
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions).	66,156,632	61,382,460	2,476,916	2,297,256
9	Other employee benefits.	83,573,498	77,456,591	3,173,549	2,943,358
10	Payroll taxes.	56,248,929	52,220,722	2,089,898	1,938,309
11	Fees for services (non-employees):				
a	Management.				
b	Legal.	5,351,989		5,351,989	
c	Accounting.	863,924		863,924	
d	Lobbying.	413,634		413,634	
e	Professional fundraising services. See Part IV, line 17.	268,012			268,012
f	Investment management fees.	59,593,094		59,593,094	
g	Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O).	152,029,254	143,262,653	7,268,358	1,498,243
12	Advertising and promotion.	23,863,778	15,613,121	1,724,451	6,526,206
13	Office expenses.	165,977,654	158,571,847	3,379,561	4,026,246
14	Information technology.	21,974,822	19,805,252	2,107,722	61,848
15	Royalties.	47,889,047	47,886,594	2,453	
16	Occupancy.	102,188,210	100,152,682	1,494,915	540,613
17	Travel.	47,731,115	45,574,934	698,261	1,457,920
18	Payments of travel or entertainment expenses for any federal, state, or local public officials.				
19	Conferences, conventions, and meetings.	27,696,999	26,629,252	168,570	899,177
20	Interest.	37,093,860		37,093,860	
21	Payments to affiliates.				
22	Depreciation, depletion, and amortization.	117,831,033	112,091,662	3,630,494	2,108,877
23	Insurance.				
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O).				
a	Revenue refunds.	18,168,282	18,168,282		
b	Other.	10,618,295	9,194,048	1,424,247	
c					
d					
e	All other expenses.	0	0	0	0
25	Total functional expenses. Add lines 1 through 24e.	2,432,399,607	2,202,127,974	177,934,608	52,337,025
26	Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

Part X

Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

					(A)		(B)
					Beginning of year		End of year
Assets	1	Cash—non-interest-bearing				1	
	2	Savings and temporary cash investments			799,330,465	2	754,516,141
	3	Pledges and grants receivable, net			99,963,000	3	169,018,000
	4	Accounts receivable, net			266,692,594	4	282,925,586
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L			3,728,656	5	1,272,582
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L			0	6	0
	7	Notes and loans receivable, net			145,889,370	7	145,487,585
	8	Inventories for sale or use			2,782,840	8	2,863,990
	9	Prepaid expenses and deferred charges			16,439,170	9	13,446,405
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a	3,481,411,534			
	b	Less: accumulated depreciation	10b	1,437,964,237	1,859,851,018	10c	2,043,447,297
	11	Investments—publicly traded securities			3,213,955,281	11	2,409,687,539
	12	Investments—other securities. See Part IV, line 11			6,362,778,468	12	7,608,428,796
	13	Investments—program-related. See Part IV, line 11			7,982	13	
	14	Intangible assets				14	
	15	Other assets. See Part IV, line 11			2,434,273	15	2,421,253
16	Total assets. Add lines 1 through 15 (must equal line 34)			12,773,853,117	16	13,433,515,174	
Liabilities	17	Accounts payable and accrued expenses			230,117,868	17	217,634,794
	18	Grants payable				18	
	19	Deferred revenue			266,289,913	19	270,961,990
	20	Tax-exempt bond liabilities			410,327,596	20	405,651,550
	21	Escrow or custodial account liability. Complete Part IV of Schedule D				21	
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L			0	22	
	23	Secured mortgages and notes payable to unrelated third parties			140,000,000	23	180,000,000
	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			1,060,208,670	25	1,562,722,216
	26	Total liabilities. Add lines 17 through 25			2,106,944,047	26	2,636,970,550
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.						
	27	Unrestricted net assets			6,827,436,070	27	6,826,530,624
	28	Temporarily restricted net assets			2,585,463,000	28	2,555,415,000
	29	Permanently restricted net assets			1,254,010,000	29	1,414,599,000
	Organizations that do not follow SFAS 117 (ASC 958), 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			10,666,909,070	33	10,796,544,624
34	Total liabilities and net assets/fund balances			12,773,853,117	34	13,433,515,174	

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	1	2,924,436,906
2	Total expenses (must equal Part IX, column (A), line 25)	2	2,432,399,607
3	Revenue less expenses Subtract line 2 from line 1	3	492,037,299
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	10,666,909,070
5	Net unrealized gains (losses) on investments	5	-365,151,000
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	2,749,255
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	10,796,544,624

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line 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? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		No
2b	Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited 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 separate basis	Yes	
2c	If "Yes," to line 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	
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	
3b	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	

Additional Data

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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 (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(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			
(1) Peter J Barris Trustee	1 00	X						0	0	0
(1) Christopher B Combe Trustee	1 00	X						0	0	0
(2) A Steven Crown Trustee	1 00	X						0	0	0
(3) Richard H Dean Trustee	1 00	X						0	0	0
(4) Deborah L DeHaas Trustee	1 00	X						0	0	0
(5) Charles W Douglas Trustee	1 00	X						0	0	0
(6) D Cameron Findlay Trustee	1 00	X						0	0	0
(7) Dennis J FitzSimons Trustee	1 00	X						0	0	0
(8) T Bondurant French Trustee	1 00	X						0	0	0
(9) Christopher B Galvin Trustee	1 00	X						0	0	0
(10) Philip L Harris Trustee	1 00	X						0	0	0
(11) Jay C Hoag Trustee	1 00	X						0	0	0
(12) Nancy Trienens Kaehler Trustee	1 00	X						0	0	0
(13) Ellen Philips Katz Trustee	1 00	X						0	0	0
(14) Lester B Knight Trustee	1 00	X						0	0	0
(15) Timothy K Krauskopf Trustee	1 00	X						0	0	0
(16) Edward M Liddy Trustee	1 00	X						0	0	0
(17) J Landis Martin Trustee	1 00	X						0	0	0
(18) Wendy M Nelson Trustee	1 00	X						0	0	0
(19) William A Osborn Trustee	1 00	X						0	0	0
(20) Jane DiRenzo Pigott Trustee	1 00	X						0	0	0
(21) JB Pritzker Trustee	1 00	X						0	0	0
(22) M Jude Reyes Trustee	1 00	X						0	0	0
(23) Patrnck G Ryan Jr Trustee	1 00	X						0	0	0
(24) David A Sachs 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 (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(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			
(26) Paul L Sagan Trustee	1 00	X						0	0	0
(1) D Gideon Searle Trustee	1 00	X						0	0	0
(2) Andrew E Senyei MD Trustee	1 00	X						0	0	0
(3) Benjamin W Slivka Trustee	1 00	X						0	0	0
(4) Timothy P Sullivan Trustee	1 00	X						0	0	0
(5) Charles A Tribbett III Trustee	1 00	X						0	0	0
(6) Jeffrey W Ubben Trustee	1 00	X						0	0	0
(7) Frederick H Waddell Trustee	1 00	X						0	0	0
(8) David B Weinberg Trustee	1 00	X						0	0	0
(9) Miles D White Trustee	1 00	X						0	0	0
(10) Stephen R Wilson Trustee	1 00	X						0	0	0
(11) Morton O Schapiro President	40 00			X				2,163,736	0	300,259
(12) Daniel I Linzer Provost	40 00			X				670,665	0	197,574
(13) Nimalan Chinniah Executive Vice President	40 00			X				396,906	0	21,309
(14) Mary L Baglivo VP Global Marketing	40 00			X				398,148	0	42,916
(15) Pamela S Beemer VP for Human Resources	40 00			X				588,317	0	30,558
(16) Thomas G Cline VP and General Counsel	40 00			X				574,559	0	140,133
(17) Alan K Cubbage VP University Relations	40 00			X				276,101	0	26,878
(18) John L D'Angelo VP for Facilities Management			X				0	0	0
(19) James M Hurley VP for Budget and Planning	40 00			X				628,646	0	62,547
(20) Marilyn McCoy VP for Administration	40 00			X				314,223	0	45,225
(21) William H McLean VP and Chief Investment Officer	40 00			X				3,230,762	0	1,171,839
(22) Robert E McQuinn VP for Development	40 00			X				554,582	0	103,831
(23) Ronald Naylor VP Facilities Mgmnt	40 00			X				359,108	0	38,744
(24) Eric G Neilson VP Medical Affairs	30 00			X				527,251	0	31,281

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 (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(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			
(51) James J Phillips VP Athletics	40 00			X				942,816	0	116,151
(1) Sean Reynolds VP Information Technology	40 00			X				453,367	0	32,754
(2) Ingrid S Stafford VP for Financial Operations	40 00			X				317,105	0	26,814
(3) Patricia Telles-Irvin VP Student Affairs	40 00			X				387,302	0	48,874
(4) Joseph T Walsh Jr VP for Research	40 00			X				337,553	0	51,464
(5) Patrick W Fitzgerald II Head Coach	40 00					X		3,297,844	0	52,794
(6) Christopher R Collins Head Coach	40 00					X		1,251,096	0	89,568
(7) Peter A Belytschko Investment Manager	40 00					X		1,183,648	0	437,643
(8) Harisha Koneru Haigh Managing Director, Investments	40 00					X		1,097,984	0	430,980
(9) John A Capelli Investment Manager	40 00					X		1,066,367	0	381,847
(10) Morteza A Rahimi Former VP Information Tech	40 00						X	105,128	0	22,875
(11) Eugene S Sunshine Former Senior VP for Business	40 00						X	657,693	0	39,681

SCHEDULE A
(Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.
▶ Attach to Form 990 or Form 990-EZ.
▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

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

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

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

- 1

☐

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

☒

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

☐

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

☐

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

☐

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

☐

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

☐

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

☐

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

☐

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

☐

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

☐

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

☐

Type I. A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization **You must complete Part IV, Sections A and B.**
- b

☐

Type II. A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s) **You must complete Part IV, Sections A and C.**
- c

☐

Type III functionally integrated. A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions) **You must complete Part IV, Sections A, D, and E.**
- d

☐

Type III non-functionally integrated. A supporting organization operated in connection with its supported organization(s) that is not functionally integrated The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions) **You must complete Part IV, Sections A and D, and Part V.**
- e

☐

Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization
- f

Enter the number of supported organizations _____
- g

Provide the following information about the supported organization(s)

(i)Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 9 above or IRC section (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
Total						

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")	191,440,295	265,414,664	331,106,325	625,656,043	501,895,829	1,915,513,156
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	191,440,295	265,414,664	331,106,325	625,656,043	501,895,829	1,915,513,156
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)						0
6 Public support. Subtract line 5 from line 4						1,915,513,156

Section B. Total Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
7 Amounts from line 4	191,440,295	265,414,664	331,106,325	625,656,043	501,895,829	1,915,513,156
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	443,099,864	467,285,874	864,474,845	788,554,989	686,844,013	3,250,259,585
9 Net income from unrelated business activities, whether or not the business is regularly carried on			14,524,514		27,897,331	42,421,845
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part VI)	379,354	394,461	234,321	-1,775	-153,831	852,530
11 Total support Add lines 7 through 10						5,209,047,116
12 Gross receipts from related activities, etc (see instructions)					12	8,143,914,958
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						

Section C. Computation of Public Support Percentage		
14 Public support percentage for 2014 (line 6, column (f) divided by line 11, column (f))	14	36 77 %
15 Public support percentage for 2013 Schedule A, Part II, line 14	15	34 96 %
16a 33 1/3% support test—2014. 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—2013. If the organization did not check a 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—2014. 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 VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization		
b 10%-facts-and-circumstances test—2013. 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 VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization		
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions		

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

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(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) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(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 VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ▶						

Section C. Computation of Public Support Percentage		
15 Public support percentage for 2014 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2013 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage		
17 Investment income percentage for 2014 (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from 2013 Schedule A, Part III, line 17	18	
19a 33 1/3% support tests—2014. 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—2013. 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 Supporting Organizations

(Complete only if you checked a box on line 11 of Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

	Yes	No
1 Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.	1	
2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).	2	
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.	3a	
b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in Part VI when and how the organization made the determination.	3b	
c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in Part VI what controls the organization put in place to ensure such use.	3c	
4a Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes" and if you checked 11a or 11b in Part I, answer (b) and (c) below.	4a	
b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.	4b	
c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.	4c	
5a Did the organization add, substitute, or remove any supported organizations during the tax year? If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document).	5a	
b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b	
c Substitutions only. Was the substitution the result of an event beyond the organization's control?	5c	
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (a) its supported organizations, (b) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (c) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If "Yes," provide detail in Part VI .	6	
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in IRC 4958(c)(3)(C)), a family member of a substantial contributor, or a 35-percent controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990).	7	
8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If "Yes," complete Part II of Schedule L (Form 990).	8	
9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If "Yes," provide detail in Part VI .	9a	
b Did one or more disqualified persons (as defined in line 9(a)) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in Part VI .	9b	
c Did a disqualified person (as defined in line 9(a)) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If "Yes," provide detail in Part VI .	9c	
10a Was the organization subject to the excess business holdings rules of IRC 4943 because of IRC 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer b below.	10a	
b Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings).	10b	
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a	
b A family member of a person described in (a) above?	11b	
c A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI.	11c	

Part IV

Supporting Organizations (continued)

Section B. Type I Supporting Organizations

	Yes	No
1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.		

Section C. Type II Supporting Organizations

	Yes	No
1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		

Section D. All Type III Supporting Organizations

	Yes	No
1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (1) a written notice describing the type and amount of support provided during the prior tax year, (2) a copy of the Form 990 that was most recently filed as of the date of notification, and (3) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).		
3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.		

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions)			
a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.			
b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.			
c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).			
2 <u>Activities Test</u> Answer (a) and (b) below.		Yes	No
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.	2a		
b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.	2b		
3 <u>Parent of Supported Organizations</u> Answer (a) and (b) below.			
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.	3a		
b Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard.	3b		

Part V – Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov 20, 1970 **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6 and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)	1	
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI) _____		
2	Acquisition indebtedness applicable to non-exempt use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)		

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI) See instructions	
7 Total annual distributions. Add lines 1 through 6	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI) See instructions	
9 Distributable amount for 2014 from Section C, line 6	
10 Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2014	(iii) Distributable Amount for 2014
1 Distributable amount for 2014 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2014 (reasonable cause required--see instructions)			
3 Excess distributions carryover, if any, to 2014			
a From 2009.			
b From 2010.			
c From 2011.			
d From 2012.			
e From 2013.			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2014 distributable amount			
i Carryover from 2009 not applied (see instructions)			
j Remainder Subtract lines 3g, 3h, and 3i from 3f			
4 Distributions for 2014 from Section D, line 7 \$			
a Applied to underdistributions of prior years			
b Applied to 2014 distributable amount			
c Remainder Subtract lines 4a and 4b from 4			
5 Remaining underdistributions for years prior to 2014, if any Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions)			
6 Remaining underdistributions for 2014 Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions)			
7 Excess distributions carryover to 2015. Add lines 3j and 4c			
8 Breakdown of line 7			
a From 2010.			
b From 2011.			
c From 2012.			
d From 2013.			
e From 2014.			

Part VI Supplemental Information. Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Return Reference	Explanation
Schedule A, Part II, Line 10 Other Income	DESCRIPTION - , COLUMN A - 379354 0, COLUMN B - 394461 0, COLUMN C - 234321 0, COLUMN D - -1775 0, COLUMN E - -153831 0, COLUMN F - 852530 0,

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.**

▶ **Information about Schedule C (Form 990 or 990-EZ) and its instructions is at**

www.irs.gov/form990.

OMB No 1545-0047

2014

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) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

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

Name of the organization Northwestern University	Employer identification number 36-2167817
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Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1	Provide a description of the organization's direct and indirect political campaign activities in Part IV	
2	Political expenditures	▶ \$
3	Volunteer hours	

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

1	Enter the amount of any excise tax incurred by the organization under section 4955	▶ \$
2	Enter the amount of any excise tax incurred by organization managers under section 4955	▶ \$
3	If the organization incurred a section 4955 tax, did it file Form 4720 for this year?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4a	Was a correction made?	<input type="checkbox"/> Yes <input type="checkbox"/> 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 function 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?	<input type="checkbox"/> Yes <input type="checkbox"/> 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)	0	0												
b Total lobbying expenditures to influence a legislative body (direct lobbying)	778,346	0												
c Total lobbying expenditures (add lines 1a and 1b)	778,346	0												
d Other exempt purpose expenditures	2,433,956,532	0												
e Total exempt purpose expenditures (add lines 1c and 1d)	2,434,734,878	0												
f Lobbying nontaxable amount. Enter the amount from the following table in both columns	1,000,000	0												
<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	0												
h Subtract line 1g from line 1a. If zero or less, enter -0-	0	0												
i Subtract line 1f from line 1c. If zero or less, enter -0-	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?	<input type="checkbox"/> Yes <input type="checkbox"/> No													

4-Year Averaging Period Under section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2011	(b) 2012	(c) 2013	(d) 2014	(e) Total
2a Lobbying nontaxable 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	748,516	829,965	863,962	778,346	3,220,789
d Grassroots nontaxable 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	0	0	0	0	0

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)).

For each "Yes" response to lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.		(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?			
j	Total. Add 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).

1	Were substantially all (90% or more) dues received nondeductible by members?	1	Yes	No
2	Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2		
3	Did the organization agree to carry over 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) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible 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

Provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, Part II-A (affiliated group list), Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation

Part IV

Return Reference

Explanation

SCHEDULE D
(Form 990)

Supplemental Financial Statements

OMB No 1545-0047

2014

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, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
► Attach to Form 990.

Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

Name of the organization Northwestern University	Employer identification number 36-2167817
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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 value of contributions to (during year)	979,518	
3 Aggregate value of grants from (during year)	721,050	
4 Aggregate value at end of year	14,800,342	
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 can 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 education) ☐ Preservation of an historically important land area
☐ Protection of natural habitat ☐ Preservation of a certified historic structure
☐ Preservation of open space

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

	Held at the End of the Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax 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 section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, 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 (ASC 958), 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 XIII, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116 (ASC 958), 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) Revenue 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 (ASC 958) relating to these items

a Revenue included in Form 990, Part VIII, line 1 ► \$ _____

b Assets included in Form 990, Part X ► \$ _____

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

3

Using the organization's acquisition, 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 XIII

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 XIII and complete the following table

	Amount
1c	
1d	
1e	
1f	

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

2a

Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIII Check here if the explanation has been provided in Part XIII

☐

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

	(a)Current year	(b)Prior year	b (c)Two years back	(d)Three years back	(e)Four years back
1a Beginning of year balance	7,501,116,000	6,283,130,000	5,574,319,000	5,474,935,000	4,726,940,000
b Contributions	269,199,000	516,836,000	393,797,000	210,535,000	146,273,000
c Net investment earnings, gains, and losses	157,310,000	1,075,117,000	594,849,000	204,262,000	856,610,000
d Grants or scholarships	53,907,452	48,218,677	59,645,003	41,493,408	52,624,971
e Other expenditures for facilities and programs	285,688,548	325,748,323	220,189,997	273,919,592	202,263,029
f Administrative expenses	0	0	0	0	0
g End of year balance	7,588,029,000	7,501,116,000	6,283,130,000	5,574,319,000	5,474,935,000

2

Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as

a

Board designated or quasi-endowment

51 %

b

Permanent endowment

18 %

c

Temporarily restricted endowment

31 %

The percentages in lines 2a, 2b, and 2c should equal 100%

3a

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

(i) unrelated organizations

3a(i)

☐ Yes

☐ No

(ii) related organizations

3a(ii)

☐ Yes

☐ No

b

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

3b

☐ Yes

☐ No

4

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

Part VI Land, Buildings, and Equipment. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. 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		2,914,646,311	1,057,013,069	1,857,633,242
c Leasehold improvements		21,224,876	8,426,573	12,798,303
d Equipment		517,151,678	372,524,595	144,627,083
e Other				
Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				2,043,447,297

Part XI

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

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 (losses) on investments	2a	
b	Donated services and use of facilities	2b	
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII)	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 XIII)	4b	
c	Add lines 4a and 4b	4c	
5	Total revenue Add lines 3 and 4c. (This must equal Form 990, Part I, line 12)	5	

Part XII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

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 XIII)	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 XIII)	4b	
c	Add lines 4a and 4b	4c	
5	Total expenses Add lines 3 and 4c. (This must equal Form 990, Part I, line 18)	5	

Part XIII

Supplemental Information

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, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference	Explanation
Schedule D, Part III, Line 1a ART COLLECTIONS	EXPLANATION 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.
Schedule D, Part X LINE 5 - 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 D, Part V, Line 4 Intended uses of endowment funds	The University's endowment funds purposes include instruction, research, library collections, scholarships and awards, and building construction.
Schedule D, Part X, Line 2 FIN 48 (ASC 740) footnote	The University makes an assessment of individual tax positions and follows as 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.

[illegible]

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.

▶ Information about Schedule E (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

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?
- 2** Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?
- 3** Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe If "No," please explain If you need more space use Part II

- 4** Does the organization maintain the following?
- a** Records indicating the racial composition of the student body, faculty, and administrative staff?
- b** Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?
- c** Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?
- d** Copies of all material used by the organization or on its behalf to solicit contributions?
- If you answered "No" to any of the above, please explain If you need more space, use Part II

- 5** Does the organization discriminate by race in any way with respect to
- a** Students' rights or privileges?
- b** Admissions policies?
- c** Employment of faculty or administrative staff?
- d** Scholarships or other financial assistance?
- e** Educational policies?
- f** Use of facilities?
- g** Athletic programs?
- h** Other extracurricular activities?
- If you answered "Yes" to any of the above, please explain If you need more space, use Part II

- 6a** Does the organization receive any financial aid or assistance from a governmental agency?
- b** Has the organization's right to such aid ever been revoked or suspended?

If you answered "Yes" to either line 6a or line 6b, explain on Part II

- 7** Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Part II

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

Part III Supplemental Information. Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable. Also provide any other additional information (see instructions)

Return Reference	Explanation
Schedule E, Part I, Line 3 RACIALLY NONDISCRIMINATORY POLICY	Policies are included in student, faculty, and staff handbooks and the student course catalog Policies are posted on University websites, posted throughout campus including student centers and the admissions office, and distributed to undergraduate students
Schedule E, Part I, Line 6(a) FINANCIAL AID OR ASSISTANCE FROM A GOVERNMENT	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

SCHEDULE F
(Form 990)

Department of the Treasury
Internal Revenue Service

Statement of Activities Outside the United States

► Complete if the organization answered "Yes" to Form 990,
Part IV, line 14b, 15, or 16.
► Attach to Form 990.
► Information about Schedule F (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I

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

- 1 For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ Yes ☐ No
- 2 For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.
- 3 Activities per Region (The following Part I, line 3 table can be duplicated if additional space is needed)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in region	(d) Activities conducted in region (by type) (e g , fundraising, program services, investments, 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 and investments in region
(1) See Add'l Data					
(2)					
(3)					
(4)					
(5)					
3a Sub-total	1	134			1,797,006,041
b Total from continuation sheets to Part I	0	0			17,316,280
c Totals (add lines 3a and 3b)	1	134			1,814,322,321

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. Part II can be duplicated 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)
(1)	See Add'l Data								
(2)									
(3)									
(4)									
(5)									
(6)									
(7)									
(8)									
(9)									
(10)									
(11)									
(12)									
(13)									
(14)									
(15)									
(16)									

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 ▶

39

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.
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1) Grants disbursed during student's enrollment in international program	East Asia and the Pacific	17	222,075	Applied to student account, credits are refunded by check			
(2) Grants disbursed during student's enrollment in international program	Europe (Including Iceland and Greenland)	138	1,819,278	Applied to student account, credits are refunded by check			
(3) Grants disbursed during student's enrollment in international program	Middle East and North Africa	12	73,352	Applied to student account, credits are refunded by check			
(4) Grants disbursed during student's enrollment in international program	North America (Canada & Mexico only)	1	16,570	Applied to student account, credits are refunded by check			
(5) Grants disbursed during student's enrollment in international program	Russia and Neighboring States	1	20,542	Applied to student account, credits are refunded by check			
(6) Grants disbursed during student's enrollment in international program	South America	8	103,706	Applied to student account, credits are refunded by check			
(7) Grants disbursed during student's enrollment in international program	South Asia	2	31,210	Applied to student account, credits are refunded by check			
(8) Grants disbursed during student's enrollment in international program	Sub-Saharan Africa	13	56,794	Applied to student account, credits are refunded by check			
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

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, Return by a U.S. Transferor of Property to a Foreign Corporation (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, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; do not file with Form 990)*

☐ 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, Information 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; do not file with Form 990)*

☒ Yes ☐ No

Part V **Supplemental Information**

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information (see instructions).

Return Reference	Explanation
Schedule F, Part I, Line 2 Procedures for monitoring use of grant funds	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.

Return Reference	Explanation
Schedule F, Part II, Line 1 Method used to account for cash grants	In connection with the monitoring of subawards 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 Of the 41 organizations that received grants in Part II, 32 are universities, colleges, and hospitals, five are research centers, one is a healthcare NGO, and two are section 501(c)(3) organizations

Return Reference	Explanation
Schedule F, Part III (c) Estimated number of recipients	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 with unique identifying numbers. Grants associated with undergraduate students coded as participating in a study abroad are reviewed to assess whether there is an overlap between the grant disbursement date and the date 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).

Return Reference	Explanation
Schedule F, Part I, Line 1 Program Services	The program services listed in Part I reflect international educational programs in which the University has material involvement in the design, development and/or control of the program and/or curriculum. While Northwestern University provides its students with access to a multitude of study abroad programs and exchanges located throughout the world, 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's 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 Northwestern University's current accounting procedures, all expenses associated with study abroad programs are not separately tracked, and therefore some expenditures per program are not listed in Part I, column (f).

Return Reference	Explanation
Schedule F, Part I, Line 3(f) Method used to account for expenditures	Expenditures reported in Part I are prepared using the accrual method of accounting. University activities are assigned a unique identifying number. Direct expenses are recorded with 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).

Additional Data

Software ID: 14000329

Software Version: 2014v1.0

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	134	Maintaining offices, employees, or agents	International campus in Doha, Qatar for students in journalism and communication	40,300,963
Central America and the Caribbean	0	0	Investments		1,482,200,000
Europe (Including Iceland and Greenland)	0	0	Investments		141,360,000

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
North America (Canada & Mexico only)	0	0	Investments		46,660,000
Sub-Saharan Africa	0	0	Investments		80,880,000
Central America and the Caribbean	0	0	Grantmaking		117,310

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
East Asia and the Pacific	0	0	Grantmaking		806,926
Europe (Including Iceland and Greenland)	0	0	Grantmaking		2,715,944
Middle East and North Africa	0	0	Grantmaking		357,157

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
North America (Canada & Mexico only)	0	0	Grantmaking		883,389
Russia and Neighboring States	0	0	Grantmaking		20,542
South America	0	0	Grantmaking		103,706

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
South Asia	0	0	Grantmaking		196,506
Sub-Saharan Africa	0	0	Grantmaking		370,928
East Asia and the Pacific	0	0	,Program-related investments		1,668

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
Europe (Including Iceland and Greenland)	0	0	,Program-related investments		31,002
Middle East and North Africa	0	0	,Program-related investments		5,000
Central America and the Caribbean	0	0	Unrelated Business Activities		16,590

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
East Asia and the Pacific	0	0	Unrelated Business Activities		2,631
Europe (Including Iceland and Greenland)	0	0	Unrelated Business Activities		16,727
North America (Canada & Mexico only)	0	0	Unrelated Business Activities		1,811

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
South America	0	0	Unrelated Business Activities		1,931
Sub-Saharan Africa	0	0	Unrelated Business Activities		1,631
Central America and the Caribbean	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	108,255

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
East Asia and the Pacific	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	1,730,131
Europe (Including Iceland and Greenland)	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	2,924,275
Middle East and North Africa	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	699,228

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
North America (Canada & Mexico only)	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	479,263
Russia and Neighboring States	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	33,624
South America	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	321,651

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
South Asia	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	184,265
Sub-Saharan Africa	0	0	Program Services	Business travel abroad (includes travel to attend seminars and conferences and research-related travel)	282,545
Central America and the Caribbean	0	0	Program Services	Study abroad programs and courses abroad	390,377

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
East Asia and the Pacific	0	0	Program Services	Study abroad programs and courses abroad	3,350,322
Europe (Including Iceland and Greenland)	0	0	Program Services	Study abroad programs and courses abroad	2,881,834
Middle East and North Africa	0	0	Program Services	Study abroad programs and courses abroad	1,791,499

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
North America (Canada & Mexico only)	0	0	Program Services	Study abroad programs and courses abroad	570,178
South America	0	0	Program Services	Study abroad programs and courses abroad	256,598
South Asia	0	0	Program Services	Study abroad programs and courses abroad	164,859

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
Sub-Saharan Africa	0	0	Program Services	Study abroad programs and courses abroad	790,965
East Asia and the Pacific	0	0	Fundraising		216,509
Europe (Including Iceland and Greenland)	0	0	Fundraising		42,372

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	0	0	Fundraising		18,893
North America (Canada & Mexico only)	0	0	Fundraising		4,482
South Asia	0	0	Fundraising		25,834

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
Sub-Saharan Africa	0	0	Fundraising		2,000

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)
		Middle East and North Africa	Grant subaward from sponsored research funds	12,777	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	25,978	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	69,145	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	51,500	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 (Canada & Mexico only)	Grant subaward from sponsored research funds	18,715	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	60,422	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	32,659	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	3,900	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 (Including Iceland and Greenland)	Grant subaward from sponsored research funds	75,159	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	14,522	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	42,276	ACH direct deposit or Check			
		East Asia and the Pacific	Grant subaward from sponsored research funds	297,138	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)
		Sub-Saharan Africa	Grant subaward from sponsored research funds	81,740	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	93,427	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	6,250	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	550,329	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)
		Middle East and North Africa	Grant subaward from sponsored research funds	42,134	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	94,512	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	101,648	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	23,500	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 (Including Iceland and Greenland)	Grant subaward from sponsored research funds	108,189	ACH direct deposit or Check			
		North America (Canada & Mexico only)	Grant subaward from sponsored research funds	28,203	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	78,578	ACH direct deposit or Check			
		South Asia	Grant subaward from sponsored research funds	72,360	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)
		Sub-Saharan Africa	Grant subaward from sponsored research funds	111,966	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	185,213	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	50,741	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	41,023	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)
		Sub-Saharan Africa	Grant subaward from sponsored research funds	18,198	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	9,751	ACH direct deposit or Check			
		Middle East and North Africa	Grant subaward from sponsored research funds	228,894	ACH direct deposit or Check			
		East Asia and the Pacific	Grant subaward from sponsored research funds	100,439	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)
		Sub-Saharan Africa	Grant subaward from sponsored research funds	12,618	ACH direct deposit or Check			
		Sub-Saharan Africa	Grant subaward from sponsored research funds	48,589	ACH direct deposit or Check			
		Central America and the Caribbean	Grant subaward from sponsored research funds	117,310	ACH direct deposit or Check			
		East Asia and the Pacific	Grant subaward from sponsored research funds	160,176	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)
		East Asia and the Pacific	Grant subaward from sponsored research funds	27,098	ACH direct deposit or Check			
		Europe (Including Iceland and Greenland)	Grant subaward from sponsored research funds	38,871	ACH direct deposit or Check			
		South Asia	Grant subaward from sponsored research funds	80,166	ACH direct deposit or Check			
		South Asia	Charitable contribution raised by student organization	12,770	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)
		Sub-Saharan Africa	Charitable contribution raised by student organization	38,000	ACH direct deposit or Check			

SCHEDULE G
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding
Fundraising or Gaming Activities

Complete if the organization answered "Yes" to Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.
Attach to Form 990 or Form 990-EZ.
Information about Schedule G (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

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

1

Indicate whether the organization raised funds through any of the following activities. Check all that apply.

a

☒

Mail solicitations

b

☒

Internet and email 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.

(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			
1 Helen Brown Group 48 Summer Street Watertown, MA 02472	Fundraising campaign consultant		No	0	41,196	-41,196
2 Alexander Ross Group 2406 Prairie Ave Evanston, IL 60201	Fundraising campaign consultant		No	0	39,585	-39,585
3 Stelter 10435 New York Ave Des Moines, IA 50322	Fundraising marketing consultant		No	0	8,500	-8,500
4 Linda Meadow 576 East Channel Rd Santa Monica, CA 90402	Fundraising campaign consultant		No	0	30,248	-30,248
5 Syndio Social 800 W Huron St Suite 200 Chicago, IL 60642	Fundraising marketing consultant		No	0	8,000	-8,000
6 Ruffalo Noel Levitz PO Box 718 Des Moines, IA 50303	Phone solicitation		No	213,885	57,267	156,618
7 Meeting Achievements Inc 232 E 500 N Valparaiso, IN 46383	Symposium sponsorship solicitor	Yes		499,500	83,216	416,284
8						
9						
10						
Total				713,385	268,012	445,373

3

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

AK, CO, DC, MD, MI, NH, OH, OR, SC, WA, AL, AR, CA, HI, ME, MS, NY, UT, VA

Part II Fundraising Events. Complete if the organization answered "Yes" to Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events
		Dance Marathon (event type)	Golf and Dinner Reception (event type)	16 (total number)	(add col (a) through col (c))
Revenue	1	Gross receipts	1,016,211	494,900	1,513,005
	2	Less Contributions . . .	947,301	484,175	1,087,837
	3	Gross income (line 1 minus line 2)	68,910	10,725	425,168
Direct Expenses	4	Cash prizes			
	5	Noncash prizes			
	6	Rent/facility costs . . .	76,884	35,029	111,913
	7	Food and beverages . .		31,776	239,028
	8	Entertainment		5,641	11,943
	9	Other direct expenses .	9,894	30,209	262,972
	10	Direct expense summary Add lines 4 through 9 in column (d) ▶			
	11	Net income summary Subtract line 10 from line 3, column (d) ▶			

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	<div><div><input type="checkbox"/> Yes _____ %</div><div><input type="checkbox"/> No</div></div>	<div><div><input type="checkbox"/> Yes _____ %</div><div><input type="checkbox"/> No</div></div>	<div><div><input type="checkbox"/> Yes _____ %</div><div><input type="checkbox"/> No</div></div>
	7	Direct expense summary Add lines 2 through 5 in column (d) ▶			
	8	Net gaming income summary Subtract line 7 from line 1, column (d) ▶			

9 Enter the state(s) in which the organization conducts gaming activities _____

a Is the organization licensed to conduct 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 conduct 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 activities conducted in

<div>a</div> The organization's facility	<div>13a</div>	%
<div>b</div> An outside facility	<div>13b</div>	%

14

Enter the name and address of the person who prepares the organization's gaming/special events books and records

Name ▶

Address ▶

15a

Does the organization have a contract with a third party from whom the organization receives gaming revenue?

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 of the third party

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

Supplemental Information. Provide the explanations required by Part I, line 2b, columns (iii) and (v), and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information (see instructions).

Return Reference	Explanation
Schedule G, Part I, Line 3 State Solicitation Registrations	No registration is required in Arizona, Connecticut, Delaware, Florida, Georgia, Idaho, Illinois, Indiana, Iowa, Kansas, Minnesota, Missouri, Montana, Nebraska, New Jersey, New Mexico, North Carolina, Pennsylvania, Rhode Island, South Dakota, Tennessee, Texas, Vermont, West Virginia, Wisconsin, and Wyoming
Schedule G, Part I, Line 2b(v) Reimbursement of Expenses	The following professional fundraisers received reimbursements for expenses associated with their services to the University (the amount of expenses reimbursed are reflected) Linda Meadow (\$1,648) in accordance with the agreement with professional fundraiser which permits reimbursement for direct expenses such as travel, Ruffalo Noel Levitz (\$2,067) as agreed for printing and postage
Schedule G, Part I, Line 2b(iii) Custody of funds	Meeting Achievements received \$152,500 of funds on behalf of the University and remitted the entire amount to the University
Schedule G, Part I, Line 2b(ii) Describe the custody or control arrangement	MEETING ACHIEVEMENTS INC -MEETING ACHIEVEMENTS RECEIVED \$152,500 OF FUNDS ON BEHALF OF THE UNIVERSITY AND REMITTED THE ENTIRE AMOUNT TO THE UNIVERSITY ,
Schedule G, Part I, Line 2b(v) payment of fees or payment of expenses	LINDA MEADOW-LINDA MEADOW RECEIVED REIMBURSEMENTS OF \$1,648 FOR TRAVEL EXPENSES AS AGREED IN ASSOCIATION WITH SERVICES TO THE UNIVERSITY ,RUFFALO NOEL LEVITZ-RUFFALO NOEL LEVITZ RECEIVED REIMBURSEMENTS FOR EXPENSES OF \$2,067 AS AGREED FOR PRINTING AND POSTAGE IN ASSOCIATION WITH SERVICES PROVIDED TO THE UNIVERSITY ,

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.

▶ Information about Schedule I (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

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 Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" to Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

(a) Name and address of organization or government	(b) EIN	(c) IRC 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

247

3

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

29

Part III Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" to Form 990, Part IV, line 22.
Part III can be duplicated 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, and fellowships are financial aid that can be used towards educational related costs	11664	300,016,177	13,456	Estimated FMV	Coats and computers
(2) Prizes and awards reflect prizes and awards to non-employees in recognition of an accomplishment, activity, or event	240	776,193	0		

Part IV Supplemental Information. Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

Return Reference	Explanation
Schedule I, Part I, Line 2 Description Of Procedure For Monitoring Use Of Grant Funds	Explanation 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 ASRP and confirmed with the principal investigator The principal investigator must certify that the subaward costs are in accordance with the 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	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
Schedule I, Part I, Line 2 Procedures for monitoring use of grant funds	Explanation 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 ASRP and confirmed with the principal investigator The principal investigator must certify that the subaward costs are in accordance with the 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

Additional Data

Software ID: 14000329
Software Version: 2014v1.0
EIN: 36-2167817
Name: Northwestern University

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Access Community Health Network222 N Canal St Chicago, IL 60606	36-3317058	501(c)(3)	345,417				Support of research activities
ACLU of Missouri454 Whittier St St Louis, MO 63108	43-6070952	501(c)(3)	57,473				Support of charitable community organization
Advocate Health Care3075 Highland Parkway Suite 600 Downers Grove, IL 60515	36-2169147	501(c)(3)	98,829				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Aging & In-Home Services of Northeast Indiana Inc2927 Lake Ave Fort Wayne,IN 46805	35-1341437	501(c)(3)	130,918				Support of research activities
Alliance of Chicago Community Health Services LLC215 W Ohio St 4th Floor Chicago,IL 60654	36-4444309		700,269				Support of research activities
Allowance for Good990 Grove St Suite 407 Evanston,IL 60201	27-2962097	501(c)(3)	20,000				Support of charitable community organization

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
American Brain Tumor Association8550 E Bryn Mawr Ave Chicago, IL 60631	23-7286648	501(c)(3)	7,500				Support of charitable community organization
American College of Surgeons633 N St Clair St Chicago, IL 60611	36-2192800	501(c)(3)	21,898				Support of research activities
American Institutes for Research1000 Thomas Jefferson St NW Washington, DC 20007	25-0965219	501(c)(3)	227,214				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Ann & Robert H Lurie Children's Hospital of Chicago225 E Chicago Avenue Chicago,IL 60611	36-2170833	501(c)(3)	2,928,114				Support of research activities
Applied Communication Sciences150 Mount Airy Road Basking Ridge,NJ 07920	45-2826612		11,335				Support of research activities
Arizona State University Research and Sponsored Projects PO BOX 876011 Tempe,AZ 85287	86-0196696	501(c)(3)	389,106				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Arkansas Children's Hospital Research InstituteOne Childrens Way Little Rock,AR 77202	71-0568795	501(c)(3)	64,151				Support of research activities
Asian Human Services Inc 4753 N Broadway Ste 700 Chicago,IL 60640	36-3005889	501(c)(3)	23,136				Support of research activities
ASM International9639 Kinsman Road Materials Park,OH 44073	34-6541397	501(c)(3)	225,318				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
AuraSense Therapeutics LLC 8045 Lamon Avenue Suite 410 Skokie,IL 60077	45-2638444		330,668				Support of research activities
Banner Alzheimer's Institute 901 E Wiletta Street Phoenix,AZ 85006	20-4862361	501(c)(3)	7,078				Support of research activities
Banner Health10515 W Santa Fe Drive Sun City,AZ 85351	45-0233470	501(c)(3)	9,960				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Baptist Hospital of Miami 8900 N Kendall Dr Miami,FL 33176	59-0910342	501(c)(3)	30,630				Support of research activities
Battelle Memorial Institute Pacific Northwest National Laboratory902 Battelle Blvd Richland, WA 99354	31-4379427	501(c)(3)	25,000				Support of research activities
Baylor College of Medicine1 Baylor Plaza Houston,TX 77030	74-1613878	501(c)(3)	52,320				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Baylor Research Institute 3310 Live Oak Suite 501 Dallas,TX 75204	75-1921898	501(c)(3)	61,875				Support of research activities
Beckman Research Institute of the City of Hope1500 East Duarte Road Duarte,CA 91010	95-3432210	501(c)(3)	27,570				Support of research activities
Boston Medical CenterOne Boston Medical Center Pl Boston,MA 02118	04-3314093	501(c)(3)	865,830				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Boston UniversityOne Silber Way Boston, MA 02215	04-2103547	501(c)(3)	498,256				Support of research activities
Boys & Girls Clubs of Chicago550 W Van Buren St Ste 350 Chicago, IL 60607	36-2166997	501(c)(3)	35,624				Support of research activities
Brigham and Women's Hospital75 Francis St Boston, MA 02115	04-2312909	501(c)(3)	10,644				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Bronx Defenders360 E 161st Street Bronx, NY 10451	13-3931074	501(c)(3)	50,000				Support of charitable community organization
Brown University45 Prospect Street Providence, RI 02912	05-0258809	501(c)(3)	78,542				Support of research activities
California Institute of Technology1200 East California Blvd Pasadena, CA 91125	95-1643307	501(c)(3)	273,142				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
California State University Northridge18111 Nordhoff Street Northridge, CA 91330	95-4358677	115	63,606				Support of research activities
Campbell-Kibler Associates Inc80 Lakeside Dr Groton,MA 01450	04-3297519		46,518				Support of research activities
Carnegie Mellon University 5000 Forbes Ave Pittsburgh,PA 15213	25-0969449	501(c)(3)	66,940				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Case Western Reserve University10900 Euclid Ave Cleveland,OH 44106	34-1018992	501(c)(3)	232,693				Support of research activities
Center for Economic Progress567 W Lake Street Suite 1150 Chicago,IL 60661	36-3693728	501(c)(3)	26,142				Support of charitable community organization
Center on Halsted3656 Halsted Street Chicago,IL 60613	51-0178807	501(c)(3)	50,111				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Chapin Hall Center for Children1313 EAST 60TH STREET CHICAGO, IL 60637	36-2167012	501(c)(3)	8,387				Support of research activities
Charles Stark Draper Laboratory Inc555 Technology Square Cambridge, MA 02139	04-2505372	501(c)(3)	198,185				Support of research activities
Chicago Academy of the Sciences2430 North Cannon Drive Chicago, IL 60614	36-0895575	501(c)(3)	25,000				Support of charitable community organization

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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 Association for Research and Education in ScienceBuilding One Rm C347 5000 S 5th Ave Hines,IL 60141	36-3334177	501(c)(3)	42,870				Support of research activities
Chicago Botanic Garden1000 Lake Cook Road Glencoe,IL 60022	36-2225482	501(c)(3)	150,000				Support of charitable community organization
Chicago Humanities Festival500 N Dearborn Suite 825 Chicago,IL 60610	36-7148236	501(c)(3)	10,000	0			Support of charitable community organization

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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 Public Schools125 South Clark Street 6th Floor Chicago, IL 60603	36-6005821	115	642,518				Support of research activities
Chicago State University9501 South King Dr Chicago, IL 60628	23-7034677	115	21,538				Support of research activities
Chicago's North Shore Convention & Visitors' Bureau8001 N Lincoln Ave 715 Skokie, IL 60077	36-4449110	501(c)(6)	25,000				Support of community organization

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Children's Hospital Colorado 13123 E 16th Avenue Aurora,CO 80045	84-0166760	501(c)(3)	34,619				Support of research activities
Children's Hospital Los Angeles4650 Sunset Blvd MS 130 Los Angeles,CA 90027	95-1690977	501(c)(3)	9,665				Support of research activities
Children's Hospital Medical Center3333 Burnet Ave Cincinnati,OH 45229	31-0833936	501(c)(3)	113,429				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Children's Hospital of Philadelphia34th Street and Civic Center Blvd Philadelphia, PA 19104	23-1352166	501(c)(3)	457,233				Support of research activities
Children's Research Institute111 Michigan Ave NW Washington, DC 20010	52-1654453	501(c)(3)	39,575				Support of research activities
Chinese American Service League2141 S Tan Ct Chicago, IL 60616	36-2984043	501(c)(3)	107,581				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Christiana Care Health Services IncPO Box 1668 Wilmington,DE 19899	51-0103684	501(c)(3)	11,825				Support of research activities
Citizen Schools308 Congress Street Museum Wharf Boston,MA 02210	04-3259160	501(c)(3)	18,000	0			Support of charitable community organization
Clemson University300 Brackett Hall 321 Calhoun Drive Clemson,SC 29634	57-6000254	115	35,559				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Cleveland Clinic Foundation 9500 Euclid Avenue Cleveland,OH 44195	34-0714585	501(c)(3)	34,665				Support of research activities
Cleveland Clinic Lerner College of Medicine of CWRU 9500 Euclid Ave Cleveland,OH 44195	91-2153073	501(c)(3)	9,758				Support of research activities
Colorado State University 203 Administration Building Fort Collins,CO 80523	84-6000545	115	8,811				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
Columbia University615 W 131st St New York, NY 10027	13-1624202	501(c)(3)	420,562				Support of research activities
Community Action Project of Tulsa County Inc4606 S Garnett Ste 100 Tulsa, OK 74146	73-1019247	501(c)(3)	143,521				Support of research activities
Community Medical Associates Inc210 E Gray St Suite 1105 Louisville, KY 40202	31-0914919	501(c)(3)	93,072				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Consulting Radiologists LTD 1221 Nicollet Mall Ste 600 Minneapolis, MN 55403	41-0974675		29,450				Support of research activities
Cornell University222 Day Hall Ithaca, NY 14853	15-0532082	501(c)(3)	215,752				Support of research activities
Dana-Farber Cancer Institute 44 Binney St Boston, MA 02115	04-2263040	501(c)(3)	322,425				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Defender Association of Philadelphia1441 Samsom St Philadelphia, PA 19102	23-1445669	501(c)(3)	53,196				Support of charitable community organization
Delve LLC11971 Westline Industrial Dr 200 St Louis, MO 63146	20-0684635		3,102,711				Support of research activities
DePaul University1 E Jackson Chicago,IL 60604	36-2167048	501(c)(3)	51,416				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Development Alternatives Inc7600 Wisconsin Blvd Ste 200 Bethesda,MD 20814	52-0904808		50,000				Support of research activities
Dignity Health4001 J Street Sacramento,CA 95819	94-1196203	501(c)(3)	31,538				Support of research activities
Domestic Violence Legal Clinic555 W Harrison Street No 1900 Chicago,IL 60607	36-3647731	501(c)(3)	18,406				Support of charitable community organization

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Duke UniversityChapel Dr Durham,NC 27705	56-0532129	501(c)(3)	866,777				Support of research activities
East Carolina University2200 Charles Blvd Rm 2906 Greenville,NC 27858	56-6000403	115	5,500				Support of research activities
Electric Power Research Institute Inc18026 Voss Dr Orland Park,IL 60467	23-7175375	501(c)(3)	40,576				Support of research activities

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Emory University201 Dowman Dr Atlanta, GA 30322	58-0566256	501(c)(3)	370,589				Support of research activities
Engineering and Software System Solutions Inc550 W C St Ste 1630 San Diego, CA 92101	33-0976413		47,839				Support of research activities
Environmental Law and Policy Center555 W Harrison St Suite 1900 Chicago,IL 60607	36-3866530	501(c)(3)	52,199				Support of charitable community organization

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Erie Family Health Center 1701 W Superior St Chicago,IL 60622	36-3088628	501(c)(3)	2,164,825				Support of research activities
Evanston Chamber of Commerce1840 Oak Avenue Evanston,IL 60201	36-1051450	501(c)(6)	7,010				Support of community organization
Evanston Community Foundation1560 Sherman Avenue No 535 Evanston,IL 60201	36-3466802	501(c)(3)	92,970				Charitable fundraising conducted by student organization

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Evanston Township High School1600 Dodge Ave Evanston,IL 60201	30-0395044	115	26,776				Support of charitable community organization
EvMark820 Davis Street Suite 151 Evanston,IL 60201	36-3571291	501(c)(6)	10,750				Support of community organization
Executive Frameworks Ltd 2705 W Agatitie Ave 1 Chicago,IL 60625	37-1450886		70,069				Support of research activities

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Fayetteville State University 1200 Murchison Rd Fayetteville, NC 28301	23-7029901	501(c)(3)	29,044				Support of research activities
Feinstein Institute for Medical Research350 Community Dr Manhasset, NY 11030	11-2673595	501(c)(3)	6,115				Support of research activities
Fiedler Hillel at Northwestern University629 Foster Street Evanston, IL 60201	36-4412499	501(c)(3)	362,570				Support of charitable community organization

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Florida State University600 W College Ave Tallahassee, FL 32306	59-1961248	115	54,540				Support of research activities
Fordham University441 E Fordham Road Bronx, NY 10458	13-1740451	501(c)(3)	107,667				Support of research activities
Foresight Design Initiative 4619 N Ravenswood Avenue Chicago, IL 60640	72-1559528	501(c)(3)	12,000	0			Support of charitable community organization

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Fox Chase Cancer Center 333 Cottman Avenue Philadelphia, PA 19111	23-6296135	501(c)(3)	35,168				Support of research activities
FRIENDS OF PRENTICE251 East Huron Street Chicago,IL 60611	36-3930139	501(c)(3)	7,500				Support of charitable community organization
Geisinger Clinic100 North Academy Avenue Danville,PA 17822	23-1995911	501(c)(3)	417,908				Support of research activities

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Geneva Foundation917 Pacific Ave Suite 600 Tacoma,WA 98402	91-1593913	501(c)(3)	29,628				Support of research activities
George Mason University4400 University Dr Fairfax,VA 22030	54-1603842	501(c)(3)	19,581				Support of research activities
George Washington University2121 I St NW Washington,DC 20052	53-0196584	501(c)(3)	120,879				Support of research activities

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Georgia Institute of Technology505 Tenth St Atlanta, GA 30332	58-0603146	501(c)(3)	300,513				Support of research activities
Georgia State University30 Courtland St NE Ste 217 Atlanta, GA 30303	58-1845423	501(c)(3)	194,775				Support of research activities
GFK Custom Research LLC420 Lower Wabash Ave Chicago,IL 60611	36-2948619		342,724				Support of research activities

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Girls 4 Science47 West 126th Place Chicago,IL 60628	27-0147595	501(c)(3)	38,000				Support of charitable community organization
Girls in the GameUnion Park Fieldhouse 1501 W Randolph St Chicago,IL 60607	36-4024533	501(c)(3)	15,000				Support of research activities
H Lee Moffitt Cancer Center & Research Institute12902 Magnolia Ave Tampa,IL 33612	59-2451713	501(c)(3)	251,838				Support of research activities

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Harvard University Massachusetts Hall Cambridge,MA 02138	04-2103580	501(c)(3)	1,000,724				Support of research activities
HDT Robotics Inc30500 Aurora Road Suite 100 Solon,OH 44139	27-1422997		306,296				Support of research activities
Health Quest Medical Practice PC45 Reade Pl Poughkeepsie,NY 12601	56-2669185		19,630				Support of research activities

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Health Research Incorporated Roswell Park Cancer Institute DivisionElm Carlton Sts Buffalo, NY 14263	14-1402155		168,657				Support of research activities
Hektoen Institute for Medical Research2240 W Ogden Ave Chicago, IL 60612	36-2244897	501(c)(3)	498,156				Support of research activities
Henry M Jackson Foundation for the Advancement of Military Medicine6720-A Rockledge Dr Bethesda, MD 20817	52-1317896	501(c)(3)	255,523				Support of research activities

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Holocaust Memorial Foundation of Illinois Inc 9603 Woods Dr Skokie, IL 60077	36-3156154	501(c)(3)	10,000				Support of charitable community organization
Hoosier Cancer Research Network 351 W 10th St Suite 330 Indianapolis, IN 46202	26-0303542	501(c)(3)	84,032				Support of research activities
Horizon Research Inc 326 Cloister Ct Chapel Hill, NC 27514	56-1550276		35,563				Support of research activities

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Illinois Public Health Association223 S 3rd St Springfield,IL 62701	36-6108790	501(c)(3)	19,512				Support of research activities
Imerman Angels205 W Randolph Street Floor 19 Chicago,IL 60606	20-5621272	501(c)(3)	8,000	0			Support of charitable community organization
Indiana University509 E 3rd Street Bloomington,IN 47401	35-6001673	115	176,365				Support of research activities

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Indiana University Health 1701 North Senate Blvd Indianapolis, IN 46202	35-2023710	501(c)(3)	36,270				Support of research activities
Inquire Learning LLC 2625 Weston Rd Weston, FL 33331	26-0733745		37,100				Support of research activities
Institute for Neurodegenerative Disorders 60 Temple St 8th Floor New Haven, CT 06510	06-1582206	501(c)(3)	7,890				Support of research activities

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Institute for Safe Medication Practices200 Lakeside Drive Suite 200 Horsham, PA 19044	23-2757559	501(c)(3)	27,708				Support of research activities
Iowa State University3810 Beardshear Hall Ames,IA 50011	42-6004224	115	59,500				Support of research activities
J Craig Venter Institute9704 Medical Center Dr Rockville,MD 20850	52-1842938	501(c)(3)	419,563				Support of research activities

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Jewish Federation of Metropolitan Chicago30 South Wells Street No 4049 Chicago, IL 60606	36-2167761	501(c)(3)	348,009				Charitable fundraising conducted by student organization
Johns Hopkins University Charles St and University Baltimore, MD 21210	52-0595110	501(c)(3)	636,068				Support of research activities
Juvenile Protective Association1707 N Halsted Street Chicago, IL 60614	36-2167765	501(c)(3)	25,000				Support of charitable community organization

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Kaiser Foundation Research Institute3800 N Interstate Ave Portland, OR 97227	94-1105628	501(c)(3)	560,346				Support of research activities
Knox County Public Defenders Community Law Office1101 Liberty Street Knoxville, TN 37919	62-6007979	115	50,000				Support of charitable community organization
La Casa Norte3533 W North Avenue Chicago, IL 60647	36-4041525		20,000				Support of research activities

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Lahey Clinic Medical Center 41 Mall Rd Burlington, MA 01805	04-2704683	501(c)(3)	85,898				Support of research activities
Lawyers Alliance for New York 171 Madison Ave 6th Floor New York, NY 10016	13-2666432	501(c)(3)	53,711				Support of charitable community organization
LifeTime Fitness inc	41-1689746		15,000				Support of charitable community organization

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Louisiana State University Health Sciences Center433 Bolivar St New Orleans, LA 70112	72-6087770	115	19,026				Support of research activities
Loyola University Chicago1032 W Sheridan Rd Chicago, IL 60660	36-1408475	501(c)(3)	70,428				Support of research activities
Lynn Sage Cancer Research Foundation251 East Huron Street Suite 3-200 Chicago, IL 60611	36-3727715	501(c)(3)	20,000				Support of charitable community organization

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Lyric Opera of Chicago20 North Wacker Drive Suite 860 Chicago, IL 60606	36-6008929	501(c)(3)	22,500				Support of charitable community organization
Magee-Womens Research Institute & Foundation3339 Ward St Pittsburgh, PA 15132	25-1462312	501(c)(3)	407,843				Support of research activities
Maimonides Medical Center4802 Tenth Ave Brooklyn, NY 11219	11-1635081	501(c)(3)	8,600				Support of research activities

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Massachusetts General Hospital55 Fruit St Boston,MA 02114	04-1564655	501(c)(3)	581,742				Support of research activities
Massachusetts Institute of Technology77 Massachusetts Ave Cambridge,MA 02142	04-2103594	501(c)(3)	141,032				Support of research activities
Mayo Clinic Jacksonville 4500 San Pablo Rd Jacksonville,FL 32224	59-3337028	501(c)(3)	179,611				Support of research activities

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Mayo Clinic Rochester200 First St SW Rochester, MN 55905	41-6011702	501(c)(3)	30,429				Support of research activities
Mayo Clinic Scottsdale13400 East Shea Blvd Scottsdale,AZ 85259	86-0800150	501(c)(3)	183,498				Support of research activities
McGaw YMCA1000 Grove St Evanston,IL 60201	36-2169194	501(c)(3)	21,500				Support of charitable community organization

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Medical College of Wisconsin 8701 Watertown Plank Rd Milwaukee, WI 53226	39-0806261	501(c)(3)	296,613				Support of research activities
Medical University of South Carolina 179 Ashley Ave Charleston, SC 29425	57-6000722	115	183,875				Support of research activities
Memorial Hospital of Rhode Island 111 Brewster St Pawtucket, RI 02680	05-0259004	501(c)(3)	101,498				Support of research activities

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Memorial Sloan-Kettering Cancer Center1275 York Ave New York, NY 10065	13-1624182	501(c)(3)	520,269				Support of research activities
Metropolitan Chicago Breast Cancer Task Force1645 W Jackson Blvd Suite 450 Chicago, IL 60612	26-2264895	501(c)(3)	38,576				Support of research activities
Michigan State University113 Angell Bldg East Lansing, MI 48824	38-6005984	115	232,110				Support of research activities

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Midwestern University555 31st St Downers Grove,IL 60515	36-3377698	501(c)(3)	7,622				Support of research activities
Millennium Park Foundation201 East Randolph Chicago,IL 60601	36-4244167	501(c)(3)	10,000				Support of charitable community organization
Mind Research Network1101 Yale Blvd NE Albuquerque,NM 87106	85-0457562	501(c)(3)	46,693				Support of research activities

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Minnesota State University Mankato228 Wiecking Ctr Mankato,MN 56001	41-1687554	115	14,872				Support of research activities
Missouri University of Science and Technology300 W 12th St 202 Centennial Hall Rolla,MO 65401	43-6003859	115	20,763				Support of research activities
Montana State University 309 Montana Hall Bozeman,MT 59717	81-6010045	115	43,159				Support of research activities

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Mount Sinai School of MedicineOne Gustave L Levy Pl New York, NY 10029	13-6171197	501(c)(3)	37,130				Support of research activities
National Bureau of Economic Research Inc1050 Massachusetts Ave Cambridge,MA 02138	13-1641075	501(c)(3)	56,848				Support of research activities
National Kidney Foundation of Illinois215 W Illinois St Ste 1C Chicago,IL 60654	36-6009226	501(c)(3)	20,150				Support of research activities

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National Patient Safety Foundation268 Summer St 6th Floor Boston,MA 02210	36-7166993	501(c)(3)	26,155				Support of research activities
Near North Health Service Corporation1276 N Clybourn Ave Chicago,IL 60610	36-3197647	501(c)(3)	29,683				Support of research activities
New York University70 Washington Square South New York,NY 10012	13-5562308	501(c)(3)	229,572				Support of research activities

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North Country HealthCare 2920 N Fourth St Flagstaff, AZ 86004	86-0663432	501(c)(3)	58,564				Support of research activities
North Dakota State University 1340 Administration Ave Fargo, ND 58102	23-7120898	501(c)(3)	32,907				Support of research activities
Northeastern Illinois University 5500 North St Louis Ave Chicago, IL 60625	23-7034689	501(c)(3)	26,950				Support of research activities

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Northern Illinois University 1425 W Lincoln Hwy DeKalb, IL 60115	36-6086819	501(c)(3)	32,291				Support of research activities
NorthShore University HealthSystem Research Institute2650 Ridge Ave Evanston, IL 60201	36-4191793	501(c)(3)	1,110,966				Support of research activities
Northwestern Medical Faculty Foundation Inc680 N Lake Shore Dr Chicago, IL 60611	36-3097297	501(c)(3)	952,119				Support of research activities

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Northwestern Medical Group 251 E Huron St Suite 1630 Chicago, IL 60611	36-4724966	501(c)(3)	27,239,363				Support of charitable community organization
Northwestern Memorial Hospital 251 E Huron St Chicago, IL 60611	37-0960170	501(c)(3)	667,596				Support of research activities
Northwestern Memorial Physicians Group 680 N Lake Shore Dr Chicago, IL 60611	36-4030256		94,600				Support of research activities

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Northwestern University Settlement House (Evanston board)1400 West Augusta Blvd Chicago,IL 60642	36-2167818	501(c)(3)	25,000				Support of charitable community organization
Ohio State University154 W 12th Ave Columbus,OH 43210	31-6025986	115	341,710				Support of research activities
Oklahoma Medical Research Foundation825 NE 13th Street Oklahoma City,OK 73104	73-0580274	501(c)(3)	19,149				Support of research activities

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(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
Onegoal215 West Superior Suite 700 Chicago,IL 60654	56-2369898	501(c)(3)	38,000				Support of charitable community organization
OptumHealth Care Solutions Inc6300 Olson Memorial Hwy Golden Valley,MN 55427	41-1591944		6,450				Support of research activities
Oregon Health & Science University3181 Southwest Sam Jackson Park Rd Portland,OR 97239	93-1176109	115	24,228				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(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
Oregon Social Learning Center Inc10 Shelton Mcmurphey Blvd Eugene, OR 97401	93-0679478	501(c)(3)	10,141				Support of research activities
Pacific Health Research and Education Institute3375 Koapaka St Ste I-540 Honolulu, HI 96819	99-0303308	501(c)(3)	8,400				Support of research activities
Park Nicollet Institute3800 Park Nicollet Blvd St Louis Park, MN 55416	36-3465840	501(c)(3)	6,980				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Parkinson's & Movement Disorder Institute9940 Talbert Ave Suite 204 Fountain Valley,CA 92708	33-0865882		6,980				Support of research activities
PCC Community Wellness Center14 Lake St Oak Park,IL 60302	36-3828320	501(c)(3)	20,771				Support of research activities
Pennsylvania State University308 Old Main University Park,PA 16802	24-6000376	115	347,596				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Project Onward1200 W 35th Street Chicago,IL 60609	45-5187731	501(c)(3)	15,000				Support of research activities
Protabit LLC251 Lake Ave Suite 910 Pasadena,CA 91101	29-3904491		158,723				Support of research activities
Puerto Rican Cultural Center2700 W Haddon Ave Chicago,IL 60622	23-7347778	501(c)(3)	24,510				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Purdue UniversityOffice of Administration West Lafayette,IN 47906	35-6002041	115	60,592				Support of research activities
Queen's Medical Center1301 Punchbowl St Honolulu,HI 96813	99-0073524	501(c)(3)	27,300				Support of research activities
QuesTek Innovations LLC 1820 Ridge Avenue Evanston,IL 60201	36-4116425		201,736				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Ravinia Festival Association 418 Sheridan Road Highland Park, IL 60035	36-6002273	501(c)(3)	12,000				Support of charitable community organization
Raytheon BBN Technologies 10 Moulton Atreet Cambridge, MA 02138	41-2126829		176,656				Support of research activities
Rehabilitation Institute of Chicago 345 E Superior St Chicago, IL 60611	36-2256036	501(c)(3)	205,356				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Rehabilitation Institute Research Corporation345 E Superior St Chicago,IL 60611	36-3728711	501(c)(3)	67,923				Support of research activities
Research Foundation of the City University of New York230 West 41st Street 7th Floor New York, NY 10036	13-1988190	501(c)(3)	347,178				Support of research activities
Research Foundation of the State of New York35 State Street Albany, NY 12207	14-1368361	501(c)(3)	14,688				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Research Triangle Institute 12 Davis Dr Research Triangle Park, NC 27709	56-0686338	501(c)(3)	41,898				Support of research activities
Rho Federal Systems Division Inc6330 Quadrangle Dr Chapel Hill, NC 27517	56-1927659		61,547				Support of research activities
Rockefeller University1230 York Ave New York, NY 10065	13-1624158	501(c)(3)	179,142				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Rush University Medical Center1653 W Congress Parkway Chicago, IL 60612	36-2174823	501(c)(3)	1,334,574				Support of research activities
Rutgers University57 US Highway 1 New Brunswick, NJ 08901	22-6001086	115	19,525				Support of research activities
Saint Louis UniversityOne Grand Blvd St Louis, MO 63103	43-0654872	501(c)(3)	48,748				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Sanford-Burnham Medical Research Institute10901 North Torrey Pines Rd La Jolla, CA 92037	51-0197108	501(c)(3)	444,699				Support of research activities
Scripps Health4275 Campus Point Ct San Diego, CA 92121	95-1684089	501(c)(3)	42,411				Support of research activities
Scripps Research Institute10550 North Torrey Pines Rd La Jolla, CA 92037	33-0435954	501(c)(3)	968,962				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Sheil Catholic Center2110 Sheridan Road Evanston,IL 60201	36-2167761	501(c)(3)	525,000				Support of charitable community organization
Siena College515 Loudon Rd Loudonville,NY 12211	14-1338498	501(c)(3)	17,262				Support of research activities
Society for Research on Educational Effectivenesss 2040 Sheridan Rd Evanston,IL 60208	26-4739791	501(c)(3)	241,413				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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SRI International201 Washington Rd Princeton, NJ 08540	94-1160950	501(c)(3)	53,064				Support of research activities
Stanford University295 Galvez St Stanford, CA 94305	94-1156365	501(c)(3)	453,202				Support of research activities
STARLIGHT CHILDREN'S FOUNDATION2049 Century Park East Suite 4320 Los Angeles, CA 90067	95-3802159	501(c)(3)	814,229				Charitable fundraising conducted by student organization

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Temple University1801 N Broad Street Philadelphia, PA 19122	23-1365971	501(c)(3)	362,421				Support of research activities
The Art Institute of Chicago111 S Michigan Ave Chicago, IL 60603	36-2167725	501(c)(3)	10,000				Support of charitable community organization
The University of Texas Health Science Center at San Antonio4502 Medical Dr San Antonio, TX 78229	74-1717115	115	490,522				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Trinity Health & Wellness Center219 Sunset Avenue Dallas,TX 75208	75-2306145	501(c)(3)	327,124				Support of research activities
Tufts UniversityTufts University Medford,MA 02155	04-2103634	501(c)(3)	40,230				Support of research activities
Tulane University6823 St Charles Ave New Orleans,LA 70118	72-0423889	501(c)(3)	850,451				Support of research activities

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US Geological Survey3595 E Patrick Lane Suite 100 Las Vegas, NV 89120	53-0196958	115	49,953				Support of research activities
UChicago Argonne LLC Argonne National Laboratory 9700 S Cass Ave Lemont, IL 60439	68-0628477	115	89,488				Support of research activities
United Way of Metropolitan Chicago333 South Wabash Avenue 30th floor Chicago, IL 60604	30-0200478	501(c)(3)	15,000				Support of charitable community organization

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UnitedHealth Group IncPO Box 1459 Minneapolis, MN 55440	41-1289245		24,300				Support of research activities
University of Akron302 E Buchtel Ave Akron, OH 44325	34-6002924	115	50,563				Support of research activities
University of Alabama at Birmingham1530 3rd Ave South Birmingham, AL 35294	63-6005396	115	164,614				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Arizona617 N Santa Rita Ave Tucson, AZ 85721	74-2652689	115	14,710				Support of research activities
University of California Berkeley200 California Hall Berkeley, CA 94720	94-6002123	115	208,955				Support of research activities
University of California DavisOne Shields Ave Davis, CA 95616	94-6036494	115	390,316				Support of research activities

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University of California Irvine Office of Administration Irvine, CA 92697	95-2226406	115	545,137				Support of research activities
University of California Los Angeles Hillgard Ave Los Angeles,CA 90095	95-6006143	115	724,360				Support of research activities
University of California San Diego 9500 Gilman Dr La Jolla, CA 92093	95-6006144	115	142,452				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of California San Francisco505 Parnassus Ave San Francisco, CA 94143	56-6001393	115	880,986				Support of research activities
University of California Santa Barbara4105 Cheadle Hall Santa Barbara, CA 93106	95-6006145	115	26,048				Support of research activities
University of Chicago5801 S Ellis Ave Chicago, IL 60637	36-2177139	501(c)(3)	7,718,183				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Cincinnati2600 Clifton Ave Cincinnati, OH 45221	31-6000989	115	19,800				Support of research activities
University of Colorado at Boulder914 Broadway St Boulder, CO 80302	84-6000555	115	201,331				Support of research activities
University of Connecticut438 Whitney Rd Ext Unit 1133 Storrs, CT 06269	06-0772160	115	252,031				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Connecticut Health Center263 Farmington Ave Farmington,CT 06030	23-7187838	501(c)(3)	35,948				Support of research activities
University of Florida201 Criser Hall Gainesville,FL 32611	59-6002052	115	12,643				Support of research activities
University of Illinois at Urbana-Champaign601 E John St Champaign,IL 61820	37-6000511	115	4,157,296				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Kentucky100 Funkhouser Bldg Lexington, KY 40506	61-6001218	115	128,836				Support of research activities
University of Maryland2108 Mitchell Bldg College Park, MD 20742	52-6002033	115	115,183				Support of research activities
University of Massachusetts AmherstOffice of Administration Amherst, MA 01003	04-3167352	115	141,294				Support of research activities

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University of Memphis3720 Alumni Ave Memphis, TN 38152	62-6048540	115	95,912				Support of research activities
University of Miami1252 Memorial Dr Coral Gables, FL 33146	59-0624458	501(c)(3)	611,066				Support of research activities
University of Michigan515 E Jefferson Ann Arbor, MI 48109	38-6000134	115	1,023,681				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Minnesota101 Pleasant St Minneapolis, MN 55455	41-6007513	115	848,628				Support of research activities
University of Nebraska Medical Center987835 Nebraska Medical Center Omaha, NE 68198	47-0491233	115	14,213				Support of research activities
University of Nebraska-LincolnUniversity of Nebraska-Lincoln Lincoln, NE 68588	47-0049123	115	82,102				Support of research activities

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University of Nevada Las Vegas4505 S Maryland Pkwy Las Vegas, NV 89154	88-6000024	115	26,900				Support of research activities
University of North Carolina at Chapel Hill9201 University City Blvd Charlotte, NC 28223	56-6000642	115	270,436				Support of research activities
University of Notre Dame317 Main Building Nortre Dame, IN 46556	35-0868188	501(c)(3)	71,277				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Oklahoma660 Parrington Oval Norman, OK 73019	73-6017987	115	436,618				Support of research activities
University of Pennsylvania3451 Walnut St Philadelphia, PA 19104	23-1352685	501(c)(3)	703,486				Support of research activities
University of Pittsburgh4227 Fifth Ave Pittsburgh, PA 15260	25-0965591	501(c)(3)	459,572				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of RochesterOffice of Administration Rochester, NY 14627	16-0743209	501(c)(3)	11,555				Support of research activities
University of South Florida - Tampa4202 E Fowler Ave Tampa,FL 33620	59-3102112	115	13,733				Support of research activities
University of Southern California1540 Alcazar St Los Angeles,CA 90089	95-1642394	501(c)(3)	596,593				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Texas at Arlington701 S Nedderman Drive Arlington, TX 76019	75-6000121	115	236,729				Support of research activities
University of Texas at Austin2100 San Jacinto Blvd Austin, TX 78712	74-6000203	115	612,449				Support of research activities
University of Texas at El Paso500 W University Ave El Paso, TX 79968	74-6000813	115	64,334				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Texas Health Science Center at Houston 7000 Fannin UCT 1006 Houston,TX 77030	74-1761309	115	20,766				Support of research activities
University of Texas M D Anderson Cancer Center 1515 Holcombe Blvd Houston,TX 77030	76-0273984	115	103,857				Support of research activities
University of Texas Southwestern Med Ctr at Dallas5323 Harry Hines Blvd Dallas,TX 75390	75-6002868	115	394,300				Support of research activities

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University of Utah201 S 1460 E Salt Lake City, UT 84112	87-6000121	115	464,734				Support of research activities
University of Virginia1 College Park Wise, VA 24293	54-6001796	115	688,852				Support of research activities
University of Washington1410 NE Campus Parkway Seattle, WA 98195	91-6001537	115	1,175,280				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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University of Wisconsin-Madison716 Langdon St Madison, WI 53706	39-1805963	115	1,250,230				Support of research activities
Vanderbilt UniversityOffice of Administration Nashville, TN 37240	62-0476822	501(c)(3)	660,531				Support of research activities
Veterans Medical Research Foundation of San Diego3350 La Jolla Village Dr San Diego, CA 92161	33-0189397	501(c)(3)	25,990				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Virginia Commonwealth UniversityPO BOX 843035 Richmond, VA 23284	54-0757884	115	6,726				Support of research activities
Wake Forest University Health Sciences1834 Wake Forest Rd WinstonSalem, NC 27106	90-0222618	501(c)(3)	10,990				Support of research activities
Walgreen Co108 Wilmot Rd Deerfield, IL 60015	36-1924025		228,534				Support of research activities

Form 990, Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Washington State University NE Wilson Road Pullman,WA 99164	91-6001108	501(c)(3)	55,091				Support of research activities
Washington University in St Louis One Brookings Dr St Louis,MO 63130	43-0653611	501(c)(3)	318,158				Support of research activities
Wayne State University PO Box 02759 Detroit,MI 48202	38-3555142	501(c)(3)	85,557				Support of research activities

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Weill Cornell Medical College 445 E 69th Street New York, NY 10021	13-1623978	501(c)(3)	19,275				Support of research activities
West Virginia University Research Corporation 886 Chestnut Ridge Rd Suite 302 Morgantown, WV 26506	55-0665758	501(c)(3)	11,100				Support of research activities
Westside Institute for Science and Education 820 S Damon Ave Chicago, IL 60612	36-3712391	501(c)(3)	71,387				Support of research activities

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

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Window to the World Communications Inc5400 North St Louis Avenue Chicago,IL 60625	36-2246703	501(c)(3)	10,000				Support of charitable community organization
World Business Chicago177 N State St Ste 500 Chicago,IL 60601	36-4313685	501(c)(3)	55,000				Support of charitable community organization
Wright State University3640 Colonel Glenn Hwy Dayton,OH 45435	31-0732831	115	36,863				Support of research activities

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Yale University140 Prospect St New Haven,CT 06511	06-0646973	501(c)(3)	543,987				Support of research activities
YMCA of Metropolitan Chicago824 N Hamlin Chicago,IL 60651	36-2179782	501(c)(3)	49,194				Support of research activities
YMCA of the USA101 N Wacker Drive Suite 1600 Chicago,IL 60606	36-3258696	501(c)(3)	29,436				Support of research activities

Schedule J
(Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.
▶ Attach to Form 990.
▶ Information about Schedule J (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

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"/> Housing allowance or residence for personal use</div><div><input checked="" type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input checked="" type="checkbox"/> Tax idemnification and gross-up payments</div><div><input checked="" type="checkbox"/> Health or social club dues or initiation fees</div><div><input type="checkbox"/> Discretionary spending account</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 of 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 directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?	2	Yes	
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III. <div><div><input checked="" type="checkbox"/> Compensation committee</div><div><input type="checkbox"/> Written employment contract</div><div><input checked="" type="checkbox"/> Independent compensation consultant</div><div><input checked="" type="checkbox"/> Compensation survey or study</div><div><input type="checkbox"/> Form 990 of other organizations</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), 501(c)(4), and 501(c)(29) organizations 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	Yes	
		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 Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III.	8		No
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	9		

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

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

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

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

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

Return Reference	Explanation
Schedule J, Part I, Line 1a	SCHEDULE J SUPPLEMENTAL INFORMATION
Schedule J, Part I, Line 1a First-class or charter travel	Charter airplane travel was provided to six listed persons and was treated as a business expense and was not treated as taxable compensation
Schedule J, Part I, Line 1a Travel for companions	The President's spouse has accompanied the President at development events for business purposes and such expenses were not treated as taxable compensation. Four listed persons received companion travel. Companion travel was treated as taxable compensation for one listed person.
Schedule J, Part I, Line 1a Tax indemnification and gross-up payments	Seven listed persons received gross up payments in connection with certain benefits and such amounts were treated as taxable compensation.
Schedule J, Part I, Line 1a 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). Four listed persons were provided with housing allowances and the amounts were treated as taxable compensation.
Schedule J, Part I, Line 1a 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. Six listed persons received reimbursement for social club initiation fees and/or dues. The club initiation fees were treated as taxable compensation. The club dues were treated as taxable compensation for three listed persons. One listed person received an airline club membership that was treated as taxable compensation.
Schedule J, Part I, Line 1a 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 for cleaning services associated with the personal living quarters is treated as taxable compensation. Nominal chauffeur services were provided to the President and the value of the benefit is treated as taxable compensation.
Schedule J, Part I, Line 4b Supplemental nonqualified retirement plan	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 and amount contributed: Morton O. Schapiro (\$85,417), Daniel I. Linzer (\$150,000), Nimalan Chinniah (\$6,667), Thomas G. Cline (\$66,667), Robert E. McQuinn (\$48,333), and James J. Phillips (\$70,000). William H. McLean (\$1,118,842), Peter A. Belytschko (\$404,889), John A. Capelli (\$337,621), Harisha Koneru Haigh (\$389,632). Name and amount paid: Morton O. Schapiro (\$1,060,090), Pamela S. Beemer (\$239,222), James M. Hurley (\$239,222), William H. McLean (\$1,172,517), Peter A. Belytschko (\$436,702), John A. Capelli (\$400,983), Harisha Koneru Haigh (\$369,746), James J. Phillips (\$345,430).
Schedule J, Part I, Line 5a Compensation contingent on revenues of the organization	The Chief Investment Officer, Investment Managers and Managing Director of Investments received incentive compensation which was in part calculated contingent on the performance of the University's long term investments.
Schedule J, Part I, Line 7 Non-fixed payments	The President and eleven interested persons received a non-fixed payment related to a recognition bonus. One officer was offered non-fixed payment related to travel, domestic services, apparel and tickets.

Additional Data

Software ID: 14000329
Software Version: 2014v1.0
EIN: 36-2167817
Name: Northwestern University

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

(A) Name and Title	(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred in prior Form 990
	(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
Morton O Schapiro President	(i) (ii)924,658 0	100,000 0	1,139,078 0	111,417 0	188,842 0	2,463,995 0	750,000 0
Daniel I Linzer Provost	(i) (ii)603,182 0	50,000 0	17,483 0	176,000 0	21,574 0	868,239 0	868,239 0
Nimalan Chinniah Executive Vice President	(i) (ii)246,786 0	150,000 0	120 0	16,042 0	5,267 0	418,215 0	0 0
Mary L Baglivo VP Global Marketing	(i) (ii)396,916 0	0 0	1,232 0	26,000 0	16,916 0	441,064 0	0 0
Pamela S Beemer VP for Human Resources	(i) (ii)325,013 0	5,000 0	258,304 0	26,000 0	4,558 0	618,875 0	0 0
Thomas G Cline VP and General Counsel	(i) (ii)505,475 0	50,000 0	19,084 0	92,667 0	47,466 0	714,692 0	0 0
Alan K Cubbage VP University Relations	(i) (ii)251,417 0	0 0	24,684 0	26,000 0	878 0	302,979 0	0 0
James M Hurley VP for Budget and Planning	(i) (ii)373,392 0	15,000 0	240,254 0	53,777 0	8,770 0	691,193 0	0 0
Manlyn McCoy VP for Administration	(i) (ii)295,028 0	0 0	19,195 0	26,000 0	19,225 0	359,448 0	0 0
William H McLean VP and Chief Investment Officer	(i) (ii)752,952 0	2,204,930 0	272,880 0	1,144,841 0	26,998 0	4,402,601 0	995,683 0
Robert E McQuinn VP for Development	(i) (ii)462,736 0	50,000 0	41,846 0	74,333 0	29,498 0	658,413 0	0 0
Ronald Naylor VP Facilities Mgmnt	(i) (ii)330,214 0	5,000 0	23,894 0	23,423 0	15,321 0	397,852 0	0 0
Eric G Neilson VP Medical Affairs	(i) (ii)518,571 0	0 0	8,680 0	16,900 0	14,381 0	558,532 0	0 0
James J Phillips VP Athletics	(i) (ii)635,010 0	107,000 0	200,806 0	96,000 0	20,151 0	1,058,967 0	0 0
Sean Reynolds VP Information Technology	(i) (ii)398,619 0	0 0	54,748 0	26,000 0	6,754 0	486,121 0	0 0
Ingrid S Stafford VP for Financial Operations	(i) (ii)291,821 0	5,000 0	20,284 0	26,000 0	814 0	343,919 0	0 0
Patricia Telles-Irvin VP Student Affairs	(i) (ii)343,555 0	35,000 0	8,747 0	26,000 0	22,874 0	436,176 0	0 0
Joseph T Walsh Jr VP for Research	(i) (ii)319,021 0	0 0	18,532 0	26,000 0	25,464 0	389,017 0	0 0
Patrick W Fitzgerald II Head Coach	(i) (ii)3,042,528 0	0 0	255,316 0	26,000 0	26,794 0	3,350,638 0	0 0
Christopher R Collins Head Coach	(i) (ii)1,222,916 0	0 0	28,180 0	63,000 0	26,568 0	1,340,664 0	0 0

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

(A) Name and Title	(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred in prior Form 990
	(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
Peter A Belytschko Investment Manager	(i) (ii)356,0860	809,8220	17,7400	430,8890	6,7540	1,621,2910	199,3410
Harsha Koneru Haigh Managing Director, Investments	(i) (ii)348,4710	731,7730	17,7400	415,6320	15,3480	1,528,9640	00
John A Capelli Investment Manager	(i) (ii)337,7990	710,0400	18,5280	363,6210	18,2260	1,448,2140	179,9830
Morteza A Rahimi Former VP Information Tech	(i) (ii)105,1280	00	00	11,0000	11,8750	128,0030	00
Eugene S Sunshine Former Senior VP for Business	(i) (ii)445,6570	150,0000	62,0360	26,0000	13,6810	697,3740	00

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 Part VI.
▶ Attach to Form 990.
▶ Information about Schedule K (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

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 FINANCE AUTHORITY	86-1091967	45203HYZ0	09-09-2004	135,800,000	ACQUIRE, CONSTRUCT OR RENOVATE UNIVERSITY FACILITIES & Equipment		X		X		X
B ILLINOIS FINANCE AUTHORITY	86-1091967	45203HPQ9	06-25-2008	125,000,000	ACQUIRE, CONSTRUCT OR RENOVATE UNIVERSITY FACILITIES		X		X		X
C Illinois Finance Authority	86-1091967	45203HZ21	06-04-2015	146,017,057	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 legally defeased								
3	Total proceeds of issue	144,677,217		126,815,680		146,081,419			
4	Gross proceeds in reserve funds								
5	Capitalized interest from proceeds								
6	Proceeds in refunding escrows								
7	Issuance costs from proceeds	1,039,400		1,250,000		886,268			
8	Credit enhancement from proceeds								
9	Working capital expenditures from proceeds								
10	Capital expenditures from proceeds	143,637,817		125,565,680		32,087,808			
11	Other spent proceeds								
12	Other unspent proceeds					113,107,343			
13	Year of substantial completion	2008		2011		YesNoYesNo			
		Yes	No	Yes	No				
14	Were the bonds issued as part of a current refunding issue?		X		X		X		
15	Were the bonds issued as part of an advance refunding issue?		X		X		X		
16	Has the final allocation of proceeds been made?	X		X			X		
17	Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X		X			

Part III

Private Business Use

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

Part III

Private Business Use (Continued)

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
3a	Are there any management or service contracts that may result in private business use of bond-financed property?	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						
c	Are there any research agreements that may result in private business use of bond-financed property?	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						
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government	0 %		0 %		0 %			
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government	0 8 %		1 %		0 6 %			
6	Total of lines 4 and 5	0 8 %		1 %		0 6 %			
7	Does the bond issue meet the private security or payment test?		X		X		X		
8a	Has there been a sale or disposition of any of the bond-financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued?		X		X		X		
b	If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of								
c	If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1.141-12 and 1.145-2?								
9	Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1.141-12 and 1.145-2?	X		X		X			

Part IV

Arbitrage

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
1	Has the issuer filed Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate?		X		X		X		
2	If "No" to line 1, did the following apply?								
a	Rebate not due yet?		X		X	X			
b	Exception to rebate?		X		X		X		
c	No rebate due?	X		X			X		
	If "Yes" to line 2c, provide in Part VI the date the rebate computation was performed								
3	Is the bond issue a variable rate issue?	X		X			X		
4a	Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X	X			X		
b	Name of provider			See Part VI					
c	Term of hedge			7 0					
d	Was the hedge superintegrated?				X				
e	Was the hedge terminated?				X				

Part IV

Arbitrage (Continued)

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
5a	Were gross proceeds invested in a guaranteed investment contract (GIC)?		X		X		X		
b	Name of provider								
c	Term of GIC								
d	Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
6	Were any gross proceeds invested beyond an available temporary period?		X		X		X		
7	Has the organization established written procedures to monitor the requirements of section 148?	X		X		X			

Part V

Procedures To Undertake Corrective Action

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
	Has 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?	X		X		X			

Part VI

Supplemental Information. Provide additional information for responses to questions on Schedule K (see instructions).

Return Reference	Explanation
Schedule K, Part I, Column (c) Bond Issue B IFA - Series 2008	Additional CUSIP 45203HYX4

Return Reference	Explanation
Schedule K, Part I, Column (c) Bond Issue C IFA - Series 2015	Additional CUSIPs 45203HZ39, 45203HZ47, 45203HZ54, 45203HZ62, 45203HZ88, 45203HZ70, 45203HZ96, 45203H2A9, 45203H2B7

Return Reference	Explanation
Schedule K, Part IV, Line 4b Bond Issue B IFA - Series 2008	Morgan Stanley Capital Services LLC, Bank of America, NA, JP Morgan

Return Reference	Explanation
Schedule K, Part II, Line 3 Total proceeds of issue	The difference between issue prices and proceeds of bonds are a result of investment income earned

Return Reference	Explanation
Schedule K, Part III, Line 3b Reviews by Bond Counsel	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 changes in private use on an ongoing basis internally.

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

Return Reference	Explanation
Schedule K, Part I, Column (f) Purposes	In addition to the purposes listed in Part I, Column (f), bonds were also issued to pay costs of issuance

Return Reference	Explanation
Schedule K, Part IV, Line 2c Rebate Calculation	Issuer name ILLINOIS FINANCE AUTHORITY The calculation for computing no rebate due was performed on 09/09/2009

Return Reference	Explanation
Schedule K, Part IV, Line 2c Rebate Calculation	Issuer name ILLINOIS FINANCE AUTHORITY The calculation for computing no rebate due was performed on 06/25/2013

Schedule L
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Transactions with Interested Persons

► Complete if the organization answered
"Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c,
or Form 990-EZ, Part V, line 38a or 40b.
► Attach to Form 990 or Form 990-EZ.
► Information about Schedule L (Form 990 or 990-EZ) and its instructions is at
www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

Name of the organization
Northwestern University

Employer identification number
36-2167817

Part I Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and 501(c)(29) 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) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected?
				YesNo

2 Enter the amount of tax incurred by 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-EZ, Part V, line 38a, or Form 990, Part IV, line 26, or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization?		(e) Original principal amount	(f) Balance due	(g) In default?		(h) Approved by board or committee?		(i) Written agreement?	
			To	From			Yes	No	Yes	No	Yes	No
(1) Robert McQuinn	EMPLOYEE	COMPENSATION		X	50,000	54,781		No	Yes		Yes	
(2) Robert McQuinn	EMPLOYEE	COMPENSATION		X	130,000	144,468		No	Yes		Yes	
(3) James Phillips	EMPLOYEE	COMPENSATION		X	1,100,000	773,333		No	Yes		Yes	
(4) James Phillips	EMPLOYEE	COMPENSATION		X	300,000	300,000		No	Yes		Yes	

Total ► \$1,272,582

Part III Grants or Assistance Benefiting 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 assistance	(d) Type of assistance	(e) Purpose of assistance

Part IV Business Transactions Involving Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
(1) Kristen Novelline	Family member of William A Osborn, Trustee	84,598	Employment		No
(2) Charlotte Cubbage	Family member of Alan K Cubbage, Officer	77,871	Employment		No
(3) Jennifer Linzer	Family member of Daniel I Linzer, Officer	26,554	Employment		No
(4) Jennifer Burke	Family member of Joseph T Walsh, Officer	52,403	Employment		No
(5) RCPI Landmark Properties LLC	A Steven Crown, Trustee, ownership interest over 35%	738,185	Lease of office space		No

Part V Supplemental Information

Provide additional information for responses to questions on Schedule L (see instructions)

Return Reference	Explanation
Schedule L, Part II	SCHEDULE L SUPPLEMENTAL INFORMATION

SCHEDULE M
(Form 990)

Department of the Treasury
Internal Revenue Service

Noncash Contributions

►Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
► Attach to Form 990.
►Information about Schedule M (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

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) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art	X	8	688,565	Market value
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications	X		3,018,115	Market value
5 Clothing and household goods	X		14,720	Market value
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	678	140,039,689	Market value
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles	X	36	3,291	Market value
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ► (Equipment)	X	1	800,000	Market value
26 Other ► (Events, tickets)	X	271	278,528	Market value
27 Other ► (_____)				
28 Other ► (_____)				

29

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

6

30a

During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 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 noncash contributions?

32a

No

b

If "Yes," describe in Part II

33

If the organization did not report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II

Part II

Supplemental Information. Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Return Reference	Explanation
Schedule M, Part I Explanations of reporting method for number of contributions	Art - Works of art Number of contributions Books and publications Number of contributions Clothing and household goods Number of contributions Collectibles Number of contributions Other Number of contributions Other Number of contributions Securities - Publicly traded Number of contributions

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 990-EZ or to provide any additional information.**

▶ Attach to Form 990 or 990-EZ.

**▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at
www.irs.gov/form990.**

OMB No 1545-0047

2014

**Open to Public
Inspection**

Name of the organization Northwestern University	Employer identification number 36-2167817
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Return Reference	Explanation
Form 990, Part VI, Line 10a LOCAL CHAPTERS, BRANCHES	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

Return Reference	Explanation
Form 990, Part VI, Line 16b JOINT VENTURES	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 AGREEMENT 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.

Return Reference	Explanation
Form 990, Part VI, Line 1a Delegate broad authority to a committee	Executive Committee of the Board of Trustees is comprised of 17 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.

Return Reference	Explanation
Form 990, Part VI, Line 2 Family/business relationships amongst interested persons	Jay C Hoag and M Jude Reyes - Business relationship, Jay C Hoag and Patrick G Ryan Jr - Business relationship, Lester B Knight and D Gideon Searle - Business relationship, Lester B Knight and A Steven Crow n - Business relationship, Lester B Knight and T Bondurant French - Business relationship, Lester B Knight and William A Osborn - Business relationship, Lester B Knight and M Jude Reyes - Business relationship, Lester B Knight and Christopher B Galvin - Business relationship, Lester B Knight and Frederick H Waddell - Business relationship, Lester B Knight and Charles Tribbett III - Business relationship, Edward M Liddy and D Cameron Findlay - Business relationship, Edward M Liddy and D Gideon Searle - Business relationship, Edward M Liddy and Miles D White - Business relationship, M Jude Reyes and A Steven Crow n - Business relationship, M Jude Reyes and Patrick Ryan Jr - Business relationship, M Jude Reyes and Frederick H Waddell - Business relationship, David B Weinberg and M Jude Reyes - Business relationship, Miles D White and William A Osborn - Business relationship, Charles A Tribbett III and Miles D White - Business relationship, Charles A Tribbett III and Frederick H Waddell - Business relationship

Return Reference	Explanation
Form 990, Part VI, Line 11b Review of form 990 by governing body	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 provided for review to the Audit, Risk, and Compliance Committee 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.

Return Reference	Explanation
Form 990, Part VI, Line 12c Conflict of interest policy	<p>University Bylaws and Statutes 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 his/her knowledge of the subject will assist the Board or any of its committees. In addition, Trustees are subject to a Conflict of Interest Policy, which has been adopted by the Board of Trustees, and disclosures are reviewed annually. 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>

Return Reference	Explanation
Form 990, Part VI, Line 15a Process to establish compensation of top management official	<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 survey 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 2013 to review and approve fiscal year 2014 (September 1, 2013 to August 31, 2014) salaries and met in June 2014 to review and approve fiscal year 2015 (September 1, 2014 to August 31, 2015) salaries. Actions undertaken by the compensation committee of the board are contemporaneously documented in the minutes of each meeting.</p>

Return Reference	Explanation
Form 990, Part VI, Line 15b Process to establish compensation of other employees	Compensation Committee of the Board reviewed and approved compensation of all current officers listed in Part VII, Section A

Return Reference	Explanation
Form 990, Part VI, Line 19 Required documents available to the public	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

Return Reference	Explanation
Form 990, Part VIII, Line 2f Other Program Service Revenue	plant - Total Revenue 7687997, Related or Exempt Function Revenue 7687997, Unrelated Business Revenue , Revenue Excluded from Tax Under Sections 512, 513, or 514 ,

Return Reference	Explanation
Form 990, Part VIII, Line 11d Other Miscellaneous Revenue	Advertising - Total Revenue 45907, Related or Exempt Function Revenue , Unrelated Business Revenue 45907, Revenue Excluded from Tax Under Sections 512, 513, or 514 , Alumni Affinity card - Total Revenue 44742, Related or Exempt Function Revenue , Unrelated Business Revenue , Revenue Excluded from Tax Under Sections 512, 513, or 514 44742,

Return Reference	Explanation
Form 990, Part XI, Line 9 Other changes in net assets or fund balances	Change in value of derivative instruments - -1552000, Change in value of nonoperating items - 4301255,

Return Reference	Explanation
Form 990, Part XII, Line 2c OVERSIGHT	THE AUDIT, RISK AND COMPLIANCE COMMITTEE THAT ASSUMES RESPONSIBILITY FOR OVERSIGHT OF THE AUDIT REVIEW, COMPILATION OF FINANCIAL STATEMENTS AND SELECTION OF AN INDEPENDENT ACCOUNTANT INCREASED IN ITS MEMBERSHIP FROM TWELVE TO FIFTEEN MEMBERS

Return Reference	Explanation
Schedule F, Part I, Line 3 Program-related Investments	Program-related investments represent student loans disbursed during student's enrollment in international program

Return Reference	Explanation
Schedule F, Part I, Line 2 PROCEDURES FOR MONITORING USE OF GRANT FUNDS	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.

SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
▶ Attach to Form 990.
▶ Information about Schedule R (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2014

Open to Public Inspection

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

Identification of Disregarded Entities

Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) 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 entity?	
						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) Dispropportionate 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	

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	(i) Section 512 (b)(13) controlled entity?	
								Yes	No
(1) CHARITABLE REMAINDER UNITRUSTS (119)		IL	N/A	Trust					No
(2) Charitable Remainder Annuity Trusts (19)		IL	N/A	Trust					No
(3) Bensell US Feeder LP 50 Lothian Rd Festival Square Edinburgh EH3 9WJ UK 98-0492320	Investments	UK	Northwestern University	C Corporation	969,709	5,858,610	56 6 %	Yes	
(4) Conquest Managed Futures Select Fund III Ltd 45 Market Street Suite 3205 Camana Bay, Grand Cayman KYI9003 CJ	Investments	CJ	Northwestern University	C Corporation	9,540,881	60,001,963	100 %	Yes	

Part V

Transactions With Related Organizations

Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

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

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, or (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 Dividends from related organization(s)

g Sale of assets to related organization(s)

h Purchase of assets from related organization(s)

i Exchange of assets with related organization(s)

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

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

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

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

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

o Sharing of paid employees with related organization(s)

p Reimbursement paid to related organization(s) for expenses

q Reimbursement paid by related organization(s) for expenses

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

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

Yes

No

1a

No

1b

No

1c

Yes

1d

No

1e

No

1f

No

1g

No

1h

No

1i

No

1j

Yes

1k

No

1l

No

1m

No

1n

Yes

1o

Yes

1p

Yes

1q

Yes

1r

Yes

1s

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 related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) Rubicon Insurance Company	Q	4,136,493	Cash
(2) Rubicon Insurance Company	R	3,733,407	cash
(3) Northwestern Global Health Foundation	S	1,313,163	cash
(4) Northwestern University Employees Benefit Trust - Health	R	49,841,809	cash
(5) Northwestern University Employees Benefit Trust - Dental	R	3,360,276	cash
(6) Bensell US Feeder LP	S	3,275,850	Cash

Schedule R (Form 990) 2014

Part VI **Unrelated Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.
Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(e) Are all partners section 501(c)(3) organizations?		(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
				Yes	No			Yes	No		Yes	No	

Part VII

Supplemental Information

Provide additional information for responses to questions on Schedule R (see instructions)

Return Reference	Explanation
Schedule R, Part IV, Column (c)	The Charitable Remainder Unitrusts and Charitable Remainder Annuity Trusts are predominantly domiciled in Illinois

Additional Data

Software ID: 14000329

Software Version: 2014v1.0

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 section 501 (c)(3))	(f) Direct controlling entity	(g) Section 512 (b)(13) controlled entity?	
						Yes	No
(1) RUBICON INSURANCE COMPANY 2020 RIDGE AVENUE EVANSTON, IL 60208 36-3694409	PROVIDING MEDICAL MALPRACTICE COVERAGE	IL	501(c)(3)	Type II	NORTHWESTERN UNIVERSITY		
(1) STUDENTS PUBLISHING COMPANY 1999 SHERIDAN RD EVANSTON, IL 60208 36-6002654	PUBLISHES STUDENT PERIODICALS	IL	501(c)(3)	Type I	N/A		No
(2) MCGAW MEDICAL CENTER OF NORTHWESTERN UNIVERSITY 420 E SUPERIOR ST CHICAGO, IL 60611 36-2656113	COORDINATION OF MEDICAL RESIDENTS	IL	501(c)(3)	Type I	N/A		No
(3) 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	
(4) THE BIG TEN CONFERENCE INC 1500 WHIGGINS RD PARK RIDGE, IL 60068 36-3640583	FACILITATE QUALITY INTERCOLLEGIATE ATHLETIC COMPETITION	IL	501(c)(3)	Type II	N/A		No
(5) NORTHWESTERN UNIVERSITY EMPLOYEES BENEFIT TRUST PO BOX 803878 CHICAGO, IL 60680 36-3180819	PROVIDING HEALTH INSURANCE BENEFITS TO CURRENT AND FORMER ELIGIBLE EMPLOYEES	IL	501(c)(9)		NORTHWESTERN UNIVERSITY	Yes	
(6) NORTHWESTERN UNIVERSITY EMPLOYEES BENEFIT TRUST DENTAL PO BOX 803878 CHICAGO, IL 60680 36-3591834	PROVIDING HEALTH INSURANCE BENEFITS TO CURRENT AND FORMER ELIGIBLE EMPLOYEES	IL	501(c)(9)		NORTHWESTERN UNIVERSITY	Yes	
(7) NORTHWESTERN UNIVERSITY DISABILITY TRUST 135 S LASALLE ST CHICAGO, IL 60603 36-6784987	PROVIDING DISABILITY BENEFITS TO CURRENT AND FORMER ELIGIBLE EMPLOYEES	IL	501(c)(9)		NORTHWESTERN UNIVERSITY	Yes	
(8) SON CONSORTIUM INC CAMPUS BOX 1058 ONE BROOKINGS DR ST LOUIS, MO 63130 46-2932954	FACILITATE DELIVERY OF EDUCATION OF ITS MEMBER INSTITUTIONS	DE	501(c)(3)	Type I	N/A		No
(9) COMMITTEE ON INSTITUTIONAL COOPERATION 1819 S NEIL ST CHAMPAIGN, IL 61820 46-3254996	ACADEMIC CONSORTIUM TO ADVANCE MISSION OF MEMBER INSTITUTIONS	IL	501(c)(3)	Type III-O	N/A		No
(10) WOMANS EDUCATIONAL AID ASSOC 804 OAKTON ST 1E EVANSTON, IL 60202 36-3049387	PROVIDING FINANCIAL AID TO STUDENTS	IL	501(c)(3)	Type III-FI	N/A		No

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

(a) Name of related organization	(b) Transaction type(a-s)	(c) Amount Involved	(d) Method of determining amount involved
Rubicon Insurance Company	Q	4,136,493	Cash
Rubicon Insurance Company	R	3,733,407	cash
Northwestern Global Health Foundation	S	1,313,163	cash
Northwestern University Employees Benefit Trust - Health	R	49,841,809	cash
Northwestern University Employees Benefit Trust - Dental	R	3,360,276	cash
Bensell US Feeder LP	S	3,275,850	Cash