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Form **990**

Return of Organization Exempt From Income Tax

OMB No 1545-0047

2016

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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.

A For the 2016 calendar year, or tax year beginning **JUN 1, 2016** and ending **MAY 31, 2017**

B Check if applicable

- ☐ Address change
- ☒ Name change
- ☐ Initial return
- ☐ Final return/terminated
- ☐ Amended return
- ☐ Application pending

C Name of organization

AUGSBURG UNIVERSITY

Doing business as

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

2211 RIVERSIDE AVENUE

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

MINNEAPOLIS, MN 55454-1351

F Name and address of principal officer: **PAUL PRIBBENOW**

SAME AS C ABOVE

D Employer identification number

41-0694721

E Telephone number

612-330-1000

G Gross receipts \$

119,188,612.

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.AUGSBURG.EDU**

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

L Year of formation: **1872**

M State of legal domicile: **MN**

Part I Summary

1 Briefly describe the organization's mission or most significant activities: **A PRIVATE LUTHERAN FOUR-YEAR UNIVERSITY LOCATED IN DOWNTOWN MINNEAPOLIS.**

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

3 Number of voting members of the governing body (Part VI, line 1a)

35

4 Number of independent voting members of the governing body (Part VI, line 1b)

34

5 Total number of individuals employed in calendar year 2016 (Part V, line 2a)

1944

6 Total number of volunteers (estimate if necessary)

34

7a Total unrelated business revenue from Part VIII, column (C), line 12

-79,156.

7b Net unrelated business taxable income from Form 990-T, line 34

-183,677.

8 Contributions and grants (Part VIII, line 1h)

Prior Year

28,456,184.

Current Year

12,419,724.

9 Program service revenue (Part VIII, line 2g)

97,800,804.

103,379,612.

10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)

-823,157.

1,618,873.

11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)

178,065.

-178,693.

12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)

125,611,896.

117,239,516.

13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)

34,693,493.

38,191,232.

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)

47,028,356.

46,815,317.

16a Professional fundraising fees (Part IX, column (A), line 11e)

19,097.

10,699.

b Total fundraising expenses (Part IX, column (D), line 25) **2,455,499.**

17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)

26,201,712.

26,593,010.

18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)

107,942,658.

111,610,258.

19 Revenue less expenses. Subtract line 18 from line 12

17,669,238.

5,629,258.

20 Total assets (Part X, line 16)

157,266,702.

216,659,242.

21 Total liabilities (Part X, line 26)

44,013,636.

94,067,233.

22 Net assets or fund balances Subtract line 21 from line 20

113,253,066.

122,592,009.

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.

Signature of officer **Beth Reissenweber** **Date** **12-11-2017**

BETH REISSENWEBER, VP FOR FINANCE AND ADMIN, CFO

Type or print name and title

Print/Type preparer's name

KAREN GRIES

Preparer's signature

Date

12/18/2017

Check if self-employed

☐

PTIN

P00078514

Firm's name

CLIFTONLARSONALLEN LLP

Firm's EIN

41-0746749

Firm's address

**220 SOUTH SIXTH STREET, SUITE 300
MINNEAPOLIS, MN 55402**

Phone no. **612-376-4500**

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

☒ Yes ☐ No

632001 11-11-16

LHA For Paperwork Reduction Act Notice, see the separate instructions.

Form **990** (2016)

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Part III Statement of Program Service Accomplishments

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

☒ X**1** Briefly describe the organization's mission:

AUGSBURG UNIVERSITY EDUCATES STUDENTS TO BE INFORMED CITIZENS,
THOUGHTFUL STEWARDS, CRITICAL THINKERS, AND RESPONSIBLE LEADERS.

THE AUGSBURG EXPERIENCE IS SUPPORTED BY AN ENGAGED COMMUNITY THAT IS

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 \$ 69,788,118. including grants of \$ 38,191,232.) (Revenue \$ 91,517,036.)
POSTSECONDARY EDUCATION

SET IN A VIBRANT NEIGHBORHOOD AT THE HEART OF THE TWIN CITIES, AUGSBURG UNIVERSITY OFFERS MORE THAN 50 UNDERGRADUATE MAJORS AND NINE GRADUATE DEGREES TO OVER 3,500 STUDENTS OF DIVERSE BACKGROUNDS. THE TRADEMARKS OF AN AUGSBURG EDUCATION ARE AN EMPHASIS UPON DIRECT, PERSONAL EXPERIENCE AND OUR DEEP COMMITMENT TO EDUCATING STUDENTS AT THE INTERSECTIONS OF FAITH, LEARNING, AND SERVICE. AUGSBURG IS RECOGNIZED AS ONE OF THE COUNTRY'S LEADING INSTITUTIONS FOR COMMUNITY ENGAGEMENT BY THE PRESIDENT'S HIGHER EDUCATION COMMUNITY SERVICE HONOR ROLL. IN ADDITION, THE UNIVERSITY WAS AWARDED THE 2012 WILLIAM M. BURKE PRESIDENTIAL AWARD FOR EXCELLENCE IN EXPERIENTIAL EDUCATION BY THE

4b (Code) (Expenses \$ 23,094,496. including grants of \$ 0.) (Revenue \$ 1,930,133.)
ACADEMIC SUPPORT AND STUDENT SERVICES

AUGSBURG UNIVERSITY PROVIDES INNOVATIVE PROGRAMMING AND SUPPORT SERVICES TO A DIVERSE COMMUNITY OF OVER 3,500 UNDERGRADUATE AND GRADUATE LEARNERS. THE GAGE CENTER FOR STUDENT SUCCESS PROVIDES ADVISING, TUTORING, AND OTHER ACADEMIC SUPPORT SERVICES TO ALL UNDERGRADUATE AND GRADUATE STUDENTS. THE GAGE CENTER INCLUDES CLASS ACADEMIC SPECIALISTS WHO PROVIDE INDIVIDUALIZED ACCOMMODATIONS FOR STUDENTS WITH COGNITIVE, LEARNING, AND PHYSICAL DISABILITIES. THE GAGE CENTER ALSO OFFERS SUPPORT PROGRAMS FOR FIRST-GENERATION AND LOW-INCOME STUDENTS. IN ADDITION, AUGSBURG'S STEPUP PROGRAM, AN INNOVATIVE, NATIONALLY RECOGNIZED RESIDENTIAL UNIVERSITY RECOVERY PROGRAM, SUPPORTS

4c (Code) (Expenses \$ 7,745,419. including grants of \$ 0.) (Revenue \$ 9,932,443.)
AUXILIARY SERVICES

AUGSBURG UNIVERSITY'S RESIDENCE LIFE PROGRAM SEEKS TO DEVELOP RESIDENTS WHO ARE BOTH STUDENTS AND NEIGHBORS IN AN URBAN COLLEGIATE SETTING. THE UNIVERSITY HAS FIVE RESIDENCE HALLS AND THREE DINING VENUES. DURING THE FALL OF 2016, AUGSBURG WAS HOME TO 954 STUDENTS, WITH 807 PARTICIPATING IN STUDENT MEAL PLANS. A'VIANDS DINING SERVICE STRIVES TO PROVIDE A WIDE VARIETY OF MEALS THAT MEET NUTRITIONAL AND CULTURAL REQUIREMENTS AND EDUCATE STUDENTS ABOUT NUTRITION AND SUSTAINABLE FOOD PRACTICES. A CAMPUS BOOKSTORE SERVES STUDENTS, FACULTY, STAFF, AND THE GENERAL PUBLIC, OFFERING A VARIETY OF FAIR TRADE GOODS.

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

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

4e Total program service expenses 100,628,033.

Form 990 (2016)

RMLVS IABODFG

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	X	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>		X
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? <i>If "Yes," complete Schedule D, Part I</i>		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		X
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? <i>If "Yes," complete Schedule D, Part IV</i>	X	
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>	X	
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>	X	
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>	X	
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>	X	
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>	X	
14a Did the organization maintain an office, employees, or agents outside of the United States?	X	
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? <i>If "Yes," complete Schedule F, Parts I and IV</i>	X	
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? <i>If "Yes," complete Schedule F, Parts II and IV</i>		X
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? <i>If "Yes," complete Schedule F, Parts III and IV</i>		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		X

Part IV Checklist of Required Schedules (continued)

	Yes	No
20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		
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? If "Yes," complete Schedule I, Parts I and II		X
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? If "Yes," complete Schedule I, Parts I and III	X	
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? If "Yes," complete Schedule J	X	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a	X	
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		X
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?		X
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		X
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? If "Yes," complete Schedule L, Part I		X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I		X
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? If "Yes," complete Schedule L, Part II	X	
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? If "Yes," complete Schedule L, Part III		X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
b A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
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? If "Yes," complete Schedule L, Part IV		X
29 Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	X	
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M		X
31 Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I		X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II		X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I		X
34 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1	X	
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?	X	
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)? If "Yes," complete Schedule R, Part V, line 2		X
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2		X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	X	

Note. All Form 990 filers are required to complete Schedule O

Form 990 (2016)

Part V Statements Regarding Other IRS Filings and Tax ComplianceCheck 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	1a 444		
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b 0		
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c		
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a 1944		
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	X	
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	X	
b If "Yes," has it filed a Form 990-T for this year? If "No," to line 3b, provide an explanation in Schedule O	3b	X	
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	X	
b If "Yes," enter the name of the foreign country SEE SCHEDULE O 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		X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b		X
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		X
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	X	
b If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	X	
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c		X
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		X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f		X
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		
9 Sponsoring organizations maintaining donor advised funds.			
a Did the sponsoring organization make any taxable distributions under section 4966?	9a		
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b		
10 Section 501(c)(7) organizations. Enter			
a Initiation fees and capital contributions included on Part VIII, line 12	10a		
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b		
11 Section 501(c)(12) organizations. Enter:			
a Gross income from members or shareholders	11a		
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b		
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a		
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b		
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		X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b		

Form 990 (2016)

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 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.	35	
1b Enter the number of voting members included in line 1a, above, who are independent	34	
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?		X
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?		X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	X	
5 Did the organization become aware during the year of a significant diversion of the organization's assets?		X
6 Did the organization have members or stockholders?	X	
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?	X	
7b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	X	
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a The governing body?	X	
b Each committee with authority to act on behalf of the governing body?	X	
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		X

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?		X
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?		X
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	X	
12b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
12c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	X	
13 Did the organization have a written whistleblower policy?	X	
14 Did the organization have a written document retention and destruction policy?	X	
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official	X	
b Other officers or key employees of the organization		X
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?		X
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?		

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed **MA, MN**

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
☐ Own website ☐ Another's website ☒ Upon request ☐ 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 **BETH REISSENWEBER - 612-330-1000**
2211 RIVERSIDE AVENUE, MINNEAPOLIS, MN 55454-1351

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent ContractorsCheck 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, and 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 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) PAUL PRIBBENOW PRESIDENT	40.00	X		X				311,187.	0.	61,788.
(2) JEFFERY NODLAND CHAIR	2.00	X		X				0.	0.	0.
(3) DAVID TIEDE VICE CHAIR	2.00	X		X				0.	0.	0.
(4) MARK EUSTIS TREASURER	2.00	X		X				0.	0.	0.
(5) KAREN DURANT SECRETARY	2.00	X		X				0.	0.	0.
(6) ANDREA ADOLFSON BOARD MEMBER	2.00	X						0.	0.	0.
(7) ANN ASHTON-PIPER BOARD MEMBER	2.00	X						0.	0.	0.
(8) MATT ENTENZA BOARD MEMBER	2.00	X						0.	0.	0.
(9) NICHOLAS GANGESTAD BOARD MEMBER	2.00	X						0.	0.	0.
(10) AMIT GHOSH BOARD MEMBER	2.00	X						0.	0.	0.
(11) NORMAN HAGFORS BOARD MEMBER	2.00	X						0.	0.	0.
(12) JODI HARPSTEAD BOARD MEMBER	2.00	X						0.	0.	0.
(13) MARLENE WHITERABBIT HELGEMO BOARD MEMBER	2.00	X						0.	0.	0.
(14) BISHOP RICK HOYME BOARD MEMBER	2.00	X						0.	0.	0.
(15) DIANE JACOBSON BOARD MEMBER	2.00	X						0.	0.	0.
(16) ROLF JACOBSON BOARD MEMBER	2.00	X						0.	0.	0.
(17) WAYNE JORGENSEN BOARD MEMBER	2.00	X						0.	0.	0.

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

(A) Name and title	(B) Average hours per week (list any hours for related organizations below 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			
(18) TOBY LABELLE BOARD MEMBER	2.00	X						0.	0.	0.
(19) LAJUNE LANGE BOARD MEMBER	2.00	X						0.	0.	0.
(20) STEVE LARSON BOARD MEMBER	2.00	X						0.	0.	0.
(21) ANDRE LEWIS BOARD MEMBER	2.00	X						0.	0.	0.
(22) DENNIS MEYER BOARD MEMBER	2.00	X						0.	0.	0.
(23) PAM MOKSNES BOARD MEMBER	2.00	X						0.	0.	0.
(24) PAUL MUELLER BOARD MEMBER	2.00	X						0.	0.	0.
(25) LISA NOVOTNY BOARD MEMBER	2.00	X						0.	0.	0.
(26) RACHEL PRINGNITZ BOARD MEMBER	2.00	X						0.	0.	0.
1b Sub-total								311,187.	0.	61,788.
c Total from continuation sheets to Part VII, Section A								1,148,418.	0.	124,539.
d Total (add lines 1b and 1c)								1,459,605.	0.	186,327.

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 **14**

- 3** Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual
- 4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual
- 5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person

	Yes	No
3		X
4	X	
5		X

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
MCGOUGH CONSTRUCTION, INC. NW 5970 PO BOX 1450, MINNEAPOLIS, MN 55485	CONSTRUCTION	20,780,144.
A'VIANDS, 1751 W CTY RD B, SUITE 300, ROSEVILLE, MN 55113	FOOD SERVICES	2,779,964.
BARNES & NOBLE COLLEGE, 120 MOUNTAINVIEW BLVD, BASKING RIDGE, NJ 07920	BOOKSTORE PROVIDER	742,499.
MARCO NW 7128 PO BOX 1450, MINNEAPOLIS, MN 55485	PRINTING & MAILING PROVIDER	313,040.
CONTINUUM CONSTRUCTION, INC., 8120 PENN AVENUE SOUTH, SUITE 455, BLOOMINGTON, MN	CONSTRUCTION	201,703.

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **21**

SEE PART VII, SECTION A CONTINUATION SHEETS

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(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(27) EARL SETHRE BOARD MEMBER	2.00	X						0.	0.	0.
(28) DEAN SUNDKUIST BOARD MEMBER	2.00	X						0.	0.	0.
(29) BISHOP ANN SVENNUNGSSEN BOARD MEMBER	2.00	X						0.	0.	0.
(30) JILL THOMAS BOARD MEMBER	2.00	X						0.	0.	0.
(31) VICKI TURNQUIST BOARD MEMBER	2.00	X						0.	0.	0.
(32) NORMAN WAHL BOARD MEMBER	2.00	X						0.	0.	0.
(33) MARK WILHELM BOARD MEMBER	2.00	X						0.	0.	0.
(34) NOYA WOODRICH BOARD MEMBER	2.00	X						0.	0.	0.
(35) KAREN KAIVOLA PROVOST/CHIEF ACADEMIC OFFICER	40.00			X				216,938.	0.	13,606.
(36) BETH REISSEWEBER VP FOR FINANCE ADMIN/CFO	40.00			X				212,293.	0.	24,828.
(37) HEATHER RIDDLE VP OF INSTITUTIONAL ADVANCEMENT	40.00					X		162,278.	0.	11,906.
(38) WILLIAM MULLEN VP OF ENROLLMENT MANAGEMENT	40.00					X		146,985.	0.	21,479.
(39) LEIF ANDERSON VP OF INFORMATION/CIO	40.00					X		142,555.	0.	22,359.
(40) REBECCA JOHN VP OF MARKETING	40.00					X		140,730.	0.	15,918.
(41) ANN GARVEY VP OF STUDENT AFFAIRS	40.00					X		126,639.	0.	14,443.
Total to Part VII, Section A, line 1c								1,148,418.		124,539

Part VIII Statement of RevenueCheck 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	1 a Federated campaigns	1a			
	b Membership dues	1b			
	c Fundraising events	1c 495,081.			
	d Related organizations	1d			
	e Government grants (contributions)	1e 3,409,682.			
	f All other contributions, gifts, grants, and similar amounts not included above	1f 8,514,961.			
	g Noncash contributions included in lines 1a-1f \$	640,892.			
	h Total. Add lines 1a-1f	12,419,724.			
	Program Service Revenue	2 a TUITION AND FEES	Business Code 611710	91,517,036.	91,517,036.
b AUXILIARY ENTERPRISES		711210	9,932,443.	9,932,443.	
c OTHER STUDENT SERVICES		900099	1,622,973.	1,544,586.	78,387.
d EDUCATIONAL ACTIVITIES		611710	307,160.	307,160.	
e					
f All other program service revenue					
g Total. Add lines 2a-2f		103,379,612.			
Other Revenue		3 Investment income (including dividends, interest, and other similar amounts)		1,197,402.	-28,097.
	4 Income from investment of tax-exempt bond proceeds				
	5 Royalties				
	6 a Gross rents	(i) Real 913,066.			
		b Less: rental expenses	1,042,512.		
		c Rental income or (loss)	-129,446.		
		d Net rental income or (loss)	-129,446.		-129,446.
	7 a Gross amount from sales of assets other than inventory	(i) Securities 1,185,621.			
		b Less: cost or other basis and sales expenses	748,586. 15,564.		
		c Gain or (loss)	437,035. -15,564.		
		d Net gain or (loss)	421,471.		421,471.
	8 a Gross income from fundraising events (not including \$ 495,081. of contributions reported on line 1c) See Part IV, line 18	a 93,187.			
		b Less: direct expenses	142,434.		
		c Net income or (loss) from fundraising events	-49,247.		-49,247.
	9 a Gross income from gaming activities. See Part IV, line 19	a			
		b Less: direct expenses	b		
		c Net income or (loss) from gaming activities			
	10 a 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			
11 a					
	b				
	c				
	d All other revenue				
e Total. Add lines 11a-11d					
12 Total revenue. See instructions.		117,239,516.	103,301,225.	-79,156.	1,597,723.

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				
2 Grants and other assistance to domestic individuals See Part IV, line 22	38,191,232.	38,191,232.		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	1,552,190.	520,391.	752,633.	279,166.
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	38,194,262.	34,001,903.	2,817,403.	1,374,956.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	1,945,907.	1,741,768.	91,644.	112,495.
9 Other employee benefits	2,616,504.	2,284,142.	178,437.	153,925.
10 Payroll taxes	2,506,454.	2,184,669.	173,653.	148,132.
11 Fees for services (non-employees):				
a Management				
b Legal	206,643.		206,643.	
c Accounting	82,772.		82,772.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17	10,699.			10,699.
f Investment management fees	213,622.		213,622.	
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	6,147,986.	5,041,795.	915,943.	190,248.
12 Advertising and promotion	507,553.	299,436.	205,658.	2,459.
13 Office expenses	2,227,556.	2,125,905.	178,375.	-76,724.
14 Information technology	1,820,779.	1,565,796.	190,626.	64,357.
15 Royalties				
16 Occupancy	3,357,642.	3,036,834.	320,701.	107.
17 Travel	2,885,393.	2,324,231.	443,595.	117,567.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	1,872,669.	1,360,382.	452,055.	60,232.
20 Interest	610,021.	559,602.	50,419.	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	3,876,496.	3,525,805.	350,508.	183.
23 Insurance	661,213.	607,725.	53,488.	
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 DUES AND FEES	1,188,738.	720,210.	419,845.	48,683.
b REFERENCE MATERIALS	495,505.	488,095.	6,383.	1,027.
c EMPLOYEE TRAINING/RECRT	79,448.	19,009.	58,544.	1,895.
d				
e All other expenses	358,974.	29,103.	363,779.	-33,908.
25 Total functional expenses. Add lines 1 through 24e	111,610,258.	100,628,033.	8,526,726.	2,455,499.
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 ☐ if following SOP 98-2 (ASC 958-720)

Part X Balance SheetCheck if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	17,308,637.	1	8,443,227.
	2 Savings and temporary cash investments	19,303,293.	2	18,631,575.
	3 Pledges and grants receivable, net	2,668,178.	3	2,965,233.
	4 Accounts receivable, net	7,723,018.	4	5,807,974.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L	360,718.	5	383,305.
	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 instr). Complete Part II of Sch L		6	
	7 Notes and loans receivable, net	5,624,942.	7	5,893,738.
	8 Inventories for sale or use	39,378.	8	20,997.
	9 Prepaid expenses and deferred charges	607,357.	9	600,920.
	10a Land, buildings, and equipment. cost or other basis. Complete Part VI of Schedule D	10a 159,314,224.		
	b Less: accumulated depreciation	10b 55,911,557.	10c	103,402,667.
	11 Investments - publicly traded securities	24,642,353.	11	30,055,658.
	12 Investments - other securities. See Part IV, line 11	14,000,190.	12	16,104,225.
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11	2,119,304.	15	24,349,723.
16 Total assets. Add lines 1 through 15 (must equal line 34)	157,266,702.	16	216,659,242.	
Liabilities	17 Accounts payable and accrued expenses	8,592,196.	17	14,639,610.
	18 Grants payable		18	
	19 Deferred revenue	4,341,223.	19	4,381,231.
	20 Tax-exempt bond liabilities	24,630,000.	20	69,091,605.
	21 Escrow or custodial account liability. Complete Part IV of Schedule D	89,698.	21	175,474.
	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		22	
	23 Secured mortgages and notes payable to unrelated third parties	540,000.	23	0.
	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	5,820,519.	25	5,779,313.
	26 Total liabilities. Add lines 17 through 25	44,013,636.	26	94,067,233.
	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		51,527,919.	27	73,881,840.
28 Temporarily restricted net assets		29,577,423.	28	14,422,423.
29 Permanently restricted net assets		32,147,724.	29	34,287,746.
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		113,253,066.	33	122,592,009.
34 Total liabilities and net assets/fund balances	157,266,702.	34	216,659,242.	

Form 990 (2016)

Part XI Reconciliation of Net AssetsCheck 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	117,239,516.
2	Total expenses (must equal Part IX, column (A), line 25)	2	111,610,258.
3	Revenue less expenses. Subtract line 2 from line 1	3	5,629,258.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	113,253,066.
5	Net unrealized gains (losses) on investments	5	3,959,206.
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	-249,521.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	122,592,009.

Part XII Financial Statements and ReportingCheck 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		X
b 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 checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	X	
c 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.	X	
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?	X	
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits	X	

Form 990 (2016)

Department of the Treasury
Internal Revenue Service

▶ **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

2016

Open to Public Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box)

- 02
- 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 (Form 990 or 990-EZ).)
- 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 agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: _____
- 10 ☐ 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.)
- 11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12 ☐ 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 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- 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 1-10 above (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) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")	9,229,161.	12,244,396.	12,098,785.	28,456,184.	12,419,724.	74,448,250.
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	9,229,161.	12,244,396.	12,098,785.	28,456,184.	12,419,724.	74,448,250.
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)						15,779,876.
6 Public support. Subtract line 5 from line 4						58,668,374.

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
7 Amounts from line 4	9,229,161.	12,244,396.	12,098,785.	28,456,184.	12,419,724.	74,448,250.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	580,275.	480,167.	484,371.	265,671.	1,225,499.	3,035,983.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11 Total support. Add lines 7 through 10						77,484,233.
12 Gross receipts from related activities, etc. (see instructions)					12	478,862,091.
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 ► <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f))	14	75.72 %
15 Public support percentage from 2015 Schedule A, Part II, line 14	15	75.59 %
16a 33 1/3% support test - 2016. 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 ► <input checked="" type="checkbox"/>		
b 33 1/3% support test - 2015. 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 ► <input type="checkbox"/>		
17a 10% -facts-and-circumstances test - 2016. 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 ► <input type="checkbox"/>		
b 10% -facts-and-circumstances test - 2015. 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 ► <input type="checkbox"/>		
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 ► <input type="checkbox"/>		

Schedule A (Form 990 or 990-EZ) 2016

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

(Complete only if you checked the box on line 10 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) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(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) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(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 2016 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2015 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2016 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2015 Schedule A, Part III, line 17	18	%

19a 33 1/3% support tests - 2016. 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 - 2015.** 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 in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d 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		
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)		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.		
3b 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		
3c 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		
4a Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below		
4b 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.		
4c 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		
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).		
5b 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?		
5c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) 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 .		
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ)		
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 I of Schedule L (Form 990 or 990-EZ).		
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 .		
9b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in Part VI .		
9c Did a disqualified person (as defined in line 9a) 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 .		
10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer 10b below.		
10b 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.)		

Part IV Supporting Organizations (continued)

	Yes	No
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?		
b A family member of a person described in (a) above?		
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.		

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, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) 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 Activities Test. Answer (a) and (b) below.		
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		
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.		
3 Parent of Supported Organizations 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.		
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.		

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 (explain in Part VI.) 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)		
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)		

Schedule A (Form 990 or 990-EZ) 2016

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

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 2016 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-2016	(iii) Distributable Amount for 2016
1 Distributable amount for 2016 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2016 (reasonable cause required; explain in Part VI). See instructions			
3 Excess distributions carryover, if any, to 2016:			
a			
b			
c From 2013			
d From 2014			
e From 2015			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2016 distributable amount			
i Carryover from 2011 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2016 from Section D, line 7 \$			
a Applied to underdistributions of prior years			
b Applied to 2016 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4			
5 Remaining underdistributions for years prior to 2016, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions			
6 Remaining underdistributions for 2016. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions			
7 Excess distributions carryover to 2017. Add lines 3j and 4c			
8 Breakdown of line 7			
a			
b Excess from 2013			
c Excess from 2014			
d Excess from 2015			
e Excess from 2016			

Schedule A (Form 990 or 990-EZ) 2016

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.)

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

2016

Open to Public Inspection

If the organization answered "Yes," on 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," on 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," on 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 organization **AUGSBURG UNIVERSITY** Employer identification number **41-0694721**

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 campaign activity expenditures

▶ \$ 0.

3 Volunteer hours for political campaign activities

..... 0.

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

▶ \$ 0.

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

▶ \$ 0.

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

☐ Yes ☐ No

4a Was a correction made?

☐ Yes ☐ No

b If "Yes," describe in Part IV.

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

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

▶ \$

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

☐ Yes ☐ No

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

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

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule C (Form 990 or 990-EZ) 2016

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

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

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

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)			
b Total lobbying expenditures to influence a legislative body (direct lobbying)			
c Total lobbying expenditures (add lines 1a and 1b)			
d Other exempt purpose expenditures			
e Total exempt purpose expenditures (add lines 1c and 1d)			
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.			
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)			
h Subtract line 1g from line 1a. If zero or less, enter -0-			
i Subtract line 1f from line 1c. If zero or less, enter -0-			
j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?			

☐ Yes ☐ No

4-Year Averaging Period Under section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below.)

See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Schedule C (Form 990 or 990-EZ) 2016

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 on 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?		X	
b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		X	
c Media advertisements?		X	
d Mailings to members, legislators, or the public?		X	
e Publications, or published or broadcast statements?		X	
f Grants to other organizations for lobbying purposes?		X	
g Direct contact with legislators, their staffs, government officials, or a legislative body?		X	
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		X	
i Other activities?	X		136,194.
j Total. Add lines 1c through 1i			136,194.
2a Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		X	
b If "Yes," enter the amount of any tax incurred under section 4912			
c If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

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

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

PART II-B, LINE 1, LOBBYING ACTIVITIES:

AUGSBURG UNIVERSITY IS A MEMBER OF THE MINNESOTA PRIVATE COLLEGE

COUNCIL (MPCC). ACTIVITIES CONDUCTED BY THE MPCC INCLUDE ALL PUBLIC

RELATIONS AND ADVOCACY WORK, LEGISLATIVE LOBBYING, SERVING AS A FISCAL

AGENT IN LIMITED CIRCUMSTANCES, CONDUCTING RESEARCH, AND PROVIDING A

VEHICLE FOR COLLABORATION OF MEMBER INSTITUTIONS. ADDITIONAL ACTIVITIES.

Part IV Supplemental Information (continued)

PROVIDED FOR BY THE ORGANIZATION INCLUDE HANDLING ALL SHARED
FUNDRAISING FOR THE BENEFIT OF THE MEMBERS, RECEIVING GRANTS FOR AND
CARRYING OUT SPECIAL PROJECTS, AND PROVIDING A VEHICLE FOR
COLLABORATION AMONG THE MEMBER INSTITUTIONS.

A PORTION OF THIS AMOUNT, BUT NOT ALL OF IT, SUPPORTED ATTEMPTS TO
INFLUENCE LEGISLATION WITHIN THE MEANING OF SECTION 501(C)(3) OF THE
INTERNAL REVENUE CODE ("LOBBYING"). THE AMOUNT OF LOBBYING EXPENSES
PAID FROM AUGSBURG UNIVERSITY'S DUES WAS SIGNIFICANTLY LESS THAN THAT
AMOUNT.

SCHEDULE D
(Form 990)Department of the Treasury
Internal Revenue Service**Supplemental Financial Statements**▶ Complete if the organization answered "Yes" on 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.

OMB No 1545-0047

2016Open to Public
Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the

organization answered "Yes" on Form 990, Part IV, line 6

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate value of contributions to (during year)		
3 Aggregate value of grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?		<input 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 type="checkbox"/> Yes <input type="checkbox"/> No

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

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

<input type="checkbox"/> Preservation of land for public use (e.g., recreation or education)	<input type="checkbox"/> Preservation of a historically important land area
<input type="checkbox"/> Protection of natural habitat	<input type="checkbox"/> Preservation of a certified historic structure
<input type="checkbox"/> 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 Tax 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, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, 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" on 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 on 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 on Form 990, Part VIII, line 1	▶ \$ _____
b Assets included in Form 990, Part X	▶ \$ _____

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

Schedule D (Form 990) 2016

632051 08-29-16

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" on 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:

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

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21, 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 on Part XIII ☒

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	39,412,669.	40,463,556.	38,330,460.	34,552,630.	29,778,094.
b Contributions	1,360,310.	1,639,418.	1,057,082.	1,042,234.	1,021,877.
c Net investment earnings, gains, and losses	4,641,966.	-1,307,331.	2,296,454.	3,700,984.	4,776,803.
d Grants or scholarships	1,661,460.	1,364,011.	1,129,614.	1,078,547.	1,008,737.
e Other expenditures for facilities and programs	0.	137,241.	118,542.	113,713.	111,410.
f Administrative expenses	-124,877.	-118,278.	-27,716.	226,872.	96,003.
g End of year balance	43,878,362.	39,412,669.	40,463,556.	38,330,460.	34,552,630.

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

- a Board designated or quasi-endowment ☒ 1.57 %
 b Permanent endowment ☒ 76.52 %
 c Temporarily restricted endowment ☒ 21.91 %

The percentages on 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
 (ii) related organizations

	Yes	No
3a(i)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3a(ii)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3b	<input type="checkbox"/>	<input type="checkbox"/>

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

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" on 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		3,960,439.		3,960,439.
b Buildings		66,460,392.	30,296,197.	36,164,195.
c Leasehold improvements		29,392,217.	17,803,557.	11,588,660.
d Equipment		10,980,677.	7,811,803.	3,168,874.
e Other		48,520,499.		48,520,499.

Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) ☒ 103,402,667.

Schedule D (Form 990) 2016

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests	246,907.	COST
(3) Other		
(A) ALTERNATIVE INVESTMENTS	15,774,951.	END-OF-YEAR MARKET VALUE
(B) CSV LIFE INSURANCE	82,367.	END-OF-YEAR MARKET VALUE
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶	16,104,225.	

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1) CSV OF LIFE INSURANCE	449,143.
(2) DEPOSITS HELD BY TRUSTEE	23,879,096.
(3) BENEFICIAL INTEREST IN FUNDS HELD IN TRUST	21,484.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	24,349,723.

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) ANNUITIES PAYABLE	787,987.
(3) U.S. GOVERNMENT GRANTS REFUNDABLE	4,979,688.
(4) PV CAPITAL LEASE OBLIGATIONS	11,638.
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	5,779,313.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☒

Schedule D (Form 990) 2016

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	77,829,456.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12			
a	Net unrealized gains (losses) on investments	2a	3,959,206.	
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII)	2d	1,141,181.	
e	Add lines 2a through 2d		2e	5,100,387.
3	Subtract line 2e from line 1		3	72,729,069.
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	213,622.	
b	Other (Describe in Part XIII)	4b	44,296,825.	
c	Add lines 4a and 4b		4c	44,510,447.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)		5	117,239,516.

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

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	74,390,350.
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	1,184,946.	
e	Add lines 2a through 2d		2e	1,184,946.
3	Subtract line 2e from line 1		3	73,205,404.
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	213,622.	
b	Other (Describe in Part XIII)	4b	38,191,232.	
c	Add lines 4a and 4b		4c	38,404,854.
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)		5	111,610,258.

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.

PART IV, LINE 2B:

FUNDS HELD IN CUSTODY FOR OTHERS RELATES TO AGENCY FUNDS THAT AUGSBURG UNIVERSITY HELPS TO ADMINISTER. THERE ARE APPROXIMATELY 11 AGENCIES THAT AUGSBURG UNIVERSITY CURRENTLY WORKS WITH IN THIS TYPE OF RELATIONSHIP.

PART V, LINE 4:

THE UNIVERSITY ENDOWMENT CONSISTS OF APPROXIMATELY 350 INDIVIDUAL FUNDS ESTABLISHED FOR A VARIETY OF PURPOSES BASED ON DONOR RESTRICTIONS AND BOARD DESIGNATIONS.

PART X, LINE 2:

THE UNIVERSITY HAS RECEIVED A DETERMINATION LETTER FROM THE INTERNAL

Part XIII Supplemental Information (continued)

REVENUE SERVICE INDICATING IT IS A TAX-EXEMPT ORGANIZATION UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE AND IS SUBJECT TO FEDERAL AND STATE INCOME TAX ONLY ON NET UNRELATED BUSINESS INCOME. THE UNIVERSITY ENGAGES IN ACTIVITIES THAT ARE CONSIDERED UNRELATED TO ITS EXEMPT PURPOSE. THESE ACTIVITIES ARE SUBJECT TO FEDERAL AND STATE INCOME TAXES. SUCH ACTIVITIES GENERATED A LOSS POSITION IN FISCAL 2017 AND AN INCOME POSITION IN FISCAL 2016. FURTHER, THE UNIVERSITY HAS A NET OPERATING LOSS CARRY-FORWARD AVAILABLE TO OFFSET ANY TAXABLE INCOME FROM THESE UNRELATED ACTIVITIES. ACCORDINGLY, NO FEDERAL OR STATE TAX PROVISION IS REQUIRED. THE NET OPERATING LOSSES BEGIN TO EXPIRE IN 2034.

THE UNIVERSITY ADOPTED ACCOUNTING STANDARDS FOR CONTINGENCIES IN EVALUATING UNCERTAIN TAX POSITIONS AND FILES AS A TAX-EXEMPT ORGANIZATION. NO ADJUSTMENTS TO THE FINANCIAL STATEMENTS WERE REQUIRED AS A RESULT OF THE IMPLEMENTATION OF THIS STANDARD. THE UNIVERSITY HAS NO CURRENT OBLIGATION FOR UNRELATED BUSINESS INCOME TAX.

THE UNIVERSITY TAX RETURNS ARE SUBJECT TO REVIEW AND EXAMINATION BY FEDERAL AUTHORITIES. SHOULD THAT STATUS BE CHALLENGED IN THE FUTURE, THE TAX RETURNS FOR THE YEARS 2014 THROUGH 2016 ARE SUBJECT TO REVIEW BY FEDERAL AUTHORITIES.

PART XI, LINE 2D - OTHER ADJUSTMENTS:

CHANGE IN ALLOWANCE FOR UNCOLLECTIBLE PLEDGES	-59,329.
SPECIAL EVENT EXPENSES	142,434.
RENTAL EXPENSES	1,042,512.
LOSS ON DISPOSAL OF FIXED ASSETS	15,564.
TOTAL TO SCHEDULE D, PART XI, LINE 2D	1,141,181.

Schedule D (Form 990) 2016

Part XIII Supplemental Information (continued)

PART XI, LINE 4B - OTHER ADJUSTMENTS:

SCHOLARSHIPS AND GRANTS	38,191,232.
NON-OPERATING INVESTMENT INCOME	2,923,000.
NON-OPERATING GIFTS AND GRANTS	3,182,593.
TOTAL TO SCHEDULE D, PART XI, LINE 4B	44,296,825.

PART XII, LINE 2D - OTHER ADJUSTMENTS:

SPECIAL EVENT EXPENSES	142,434.
RENTAL EXPENSES	1,042,512.
TOTAL TO SCHEDULE D, PART XII, LINE 2D	1,184,946.

PART XII, LINE 4B - OTHER ADJUSTMENTS:

SCHOLARSHIPS AND GRANTS	38,191,232.
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SCHEDULE E
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Schools

► Complete if the organization answered "Yes" on 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

2016

Open to Public
Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

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
- SEE 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" on 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	X	
2	X	
3	X	
4a	X	
4b	X	
4c	X	
4d	X	
5a		X
5b		X
5c		X
5d		X
5e		X
5f		X
5g		X
5h		X
6a	X	
6b		X
7	X	

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or Form 990-EZ.

Schedule E (Form 990 or 990-EZ) 2016

Part II **Supplemental Information.** Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable.
Also provide any other additional information**LINE 3 - EXPLANATION OF NONDISCRIMINATION POLICY:**

THE STATEMENT IS PUBLISHED AT VARIOUS TIMES THROUGHOUT THE
YEAR IN REGIONAL NEWSPAPERS ANNOUNCING REGISTRATION DATES AND
PROGRAMS OFFERED. THE UNIVERSITY FOLLOWS A NONDISCRIMINATORY
POLICY REGARDING ALL PROGRAMS. ENROLLMENT OF STUDENTS IS
WITHOUT DISCRIMINATION AS TO RACE, RELIGION, SEX, COLOR OR
NATIONAL ORIGIN. RECRUITMENT PROCEDURES ARE DESIGNED AND CARRIED OUT TO
REACH STUDENTS OF ALL RACIAL SEGMENTS IN THE GEOGRAPHICAL AREA SERVED.

LINE 6 - EXPLANATION OF GOVERNMENT FINANCIAL AID:

THE UNIVERSITY RECEIVES SUPPORT FROM THE STATE OF MINNESOTA AND FROM THE
UNITED STATES GOVERNMENT IN CONNECTION WITH STUDENT AID PROGRAMS SUCH AS
FEDERAL AND MINNESOTA COLLEGE WORK-STUDY PROGRAMS, PELL GRANTS,
SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS AND PERKINS LOAN FUNDS. THE
UNIVERSITY ALSO RECEIVES VARIOUS OTHER FEDERAL AND STATE EDUCATIONAL AND
RESEARCH GRANTS OR SUBSIDIES.

SCHEDULE F
(Form 990)Department of the Treasury
Internal Revenue Service**Statement of Activities Outside the United States**

▶ Complete if the organization answered "Yes" on 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

2016Open to Public
Inspection

Name of the organization

Employer identification number

AUGSBURG UNIVERSITY**41-0694721****Part I** **General Information on Activities Outside the United States.** Complete if the organization answered "Yes" on 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 the region	(d) Activities conducted in the region (by type) (such as, 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 the region	(f) Total expenditures for and investments in the region
CENTRAL AMERICA & CARIBBEAN	3	11	PROGRAM SERVICES	INSTRUCTION	1,756,360.
CENTRAL AMERICA & CARIBBEAN	0	0	INVESTMENTS	N/A	1,225,076.
EAST ASIA & THE PACIFIC	0	0	PROGRAM SERVICES	INSTRUCTION	18,771.
EAST ASIA & THE PACIFIC	0	0	PROGRAM SERVICES	ACADEMIC SUPPORT	6,005.
EUROPE	0	0	PROGRAM SERVICES	INSTRUCTION	29,833.
EUROPE	0	0	PROGRAM SERVICES	INSTITUTIONAL SUPPORT	7,061.
EUROPE	0	0	PROGRAM SERVICES	ACADEMIC SUPPORT	1,368.
EUROPE	0	0	PROGRAM SERVICES	STUDENT SERVICES	2,451.
3 a Sub-total	3	11			3,046,925.
b Total from continuation sheets to Part I	2	13			1,620,594.
c Totals (add lines 3a and 3b)	5	24			4,667,519.

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

Schedule F (Form 990) 2016

Part I Continuation of Activities per Region. (Schedule F (Form 990), Part I, line 3)

(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	1	7	PROGRAM SERVICES	INSTRUCTION	717,189.
NORTH AMERICA	0	0	PROGRAM SERVICES	INSTITUTIONAL SUPPORT	19,881.
NORTH AMERICA	0	0	PROGRAM SERVICES	STUDENT SERVICES	11,789.
SOUTH AMERICA	0	0	PROGRAM SERVICES	INSTRUCTION	700.
SOUTH ASIA	0	0	PROGRAM SERVICES	INSTITUTIONAL SUPPORT	18,505.
SUB-SAHARAN AFRICA	1	6	PROGRAM SERVICES	INSTRUCTION	852,530.
Totals	2	13			1,620,594.

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 separately 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 separately file Form 5713, International Boycott Report (see Instructions for Form 5713, do not file with Form 990)* ☐ Yes ☒ No

Schedule F (Form 990) 2016

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.

PART I, LINE 2:

THE MAJORITY OF EXPENDITURES RELATE TO WIRE TRANSFERS MADE TO FOREIGN OFFICES TO COVER PAYMENTS MADE DIRECTLY OUT OF THESE OFFICES FOR EXPENDITURES INCURRED FOR INSTRUCTION OF STUDENTS WHILE ATTENDING COURSES AT THESE LOCATIONS. REMAINING EXPENDITURES RELATE TO PAYMENTS MADE DIRECTLY TO VENDORS FOR SERVICES PROVIDED TO THE UNIVERSITY BY FOREIGN VENDORS. ALL REQUESTS FOR PAYMENTS/WIRES ARE REVIEWED AND APPROVED BY APPROPRIATE SUPERVISORS OF THE RELATED DEPARTMENT.

AUGSBURG UNIVERSITY OFFERS SCHOLARSHIPS AND GRANTS TO QUALIFIED STUDENTS TO HELP REDUCE THEIR OUT-OF-POCKET TUITION COSTS. STUDENTS RECEIVING FINANCIAL ASSISTANCE OF THIS FORM MUST MEET SPECIFIC CRITERIA SUCH AS ACADEMIC ACHIEVEMENT, FINANCIAL NEED AND OTHER SIMILAR STANDARDS WHETHER PUT IN PLACE BY THE UNIVERSITY OR BY DONORS.

PART I, LINE 3:

THE UNIVERSITY USES THE ACCRUAL METHOD TO REPORT EXPENDITURES ON SCHEDULE F.

Department of the Treasury
Internal Revenue Service

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

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

2016

Open to Public Inspection

Employer identification number
41-0694721

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

- e** ☐ Solicitation of non-government grants
- f** ☐ Solicitation of government grants
- g** ☐ Special fundraising events

- ☐
- Yes

Total

- [illegible]

Part II Fundraising Events. Complete if the organization answered "Yes" on 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 (add col. (a) through col. (c))
		STEPUP GALA (event type)	A-CLUB GOLF (event type)	2 (total number)	
Revenue	1 Gross receipts	500,359.	67,612.	20,297.	588,268.
	2 Less: Contributions	453,816.	33,500.	7,765.	495,081.
	3 Gross income (line 1 minus line 2)	46,543.	34,112.	12,532.	93,187.
Direct Expenses	4 Cash prizes			156.	156.
	5 Noncash prizes	2,000.	9,500.		11,500.
	6 Rent/facility costs		5,016.	4,609.	9,625.
	7 Food and beverages	27,886.	3,170.	2,343.	33,399.
	8 Entertainment		7,936.		7,936.
	9 Other direct expenses	77,530.	1,711.	577.	79,818.
	10 Direct expense summary. Add lines 4 through 9 in column (d)				142,434.
	11 Net income summary. Subtract line 10 from line 3, column (d)				-49,247.

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

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col (a) through col (c))
Revenue	1 Gross revenue				
	2 Cash prizes				
Direct Expenses	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	
	7 Direct expense summary. Add lines 2 through 5 in column (d)				
	8 Net gaming income summary. 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 activity conducted in:
- | | | |
|-------------------------------|-----|---|
| a The organization's facility | 13a | % |
| b An outside facility | 13b | % |
- 14 Enter the name and address of the person who prepares the organization's gaming/special events books and records:

Name ► _____

Address ► _____

- 15a Does the organization have a contract with a third party from whom the organization receives gaming revenue?
- ☐
- 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 to be 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

Part IV Supplemental Information (continued)

**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" on 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

2016

**Open to Public
Inspection**

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items

- | | |
|--|---|
| <input type="checkbox"/> First-class or charter travel | <input checked="" type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees |
| <input type="checkbox"/> Discretionary spending account | <input type="checkbox"/> Personal services (such as, maid, chauffeur, chef) |

b If any of the boxes on 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

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?

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

- | | |
|---|---|
| <input checked="" type="checkbox"/> Compensation committee | <input type="checkbox"/> Written employment contract |
| <input checked="" type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study |
| <input type="checkbox"/> Form 990 of other organizations | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization

- a** Receive a severance payment or change-of-control payment?
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?
- c** Participate in, or receive payment from, an equity-based compensation arrangement?

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.

5 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of

- a** The organization?
- b** Any related organization?

If "Yes" on line 5a or 5b, describe in Part III.

6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- a** The organization?
- b** Any related organization?

If "Yes" on line 6a or 6b, describe in Part III

7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III

8 Were any amounts reported on 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

9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

	Yes	No
1b	X	
2	X	
4a		X
4b		X
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		

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

Schedule J (Form 990) 2016

AUGSBURG UNIVERSITY

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.

PART I, LINE 1A:

PAUL PRIBBENOW - RESIDENCE FOR PERSONAL USE - NOT INCLUDIBLE IN TAXABLE

INCOME

SCHEDULE K
(Form 990)

Department of the Treasury
Internal Revenue Service

ENTITY 1

Supplemental Information on Tax-Exempt Bonds

► Complete if the organization answered "Yes" on 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

2016

Open to Public
Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number
41-0694721

Part I Bond Issues SEE PART VI FOR COLUMN (A) CONTINUATIONS

(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Deceased		(h) On behalf of issuer		(i) Pooled financing	
						Yes	No	Yes	No	Yes	No
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-098852560416HHS6			07/27/06	5,000,000.	MULTIPLE FACILITIES				X		X
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-098852560416HUF9			10/13/10	8,936,602.	REFINANCE SERIES 4-Y BONDS				X		X
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-098852560416HE42			07/30/14	6,705,000.	REFINANCE SERIES 6-C BONDS				X		X
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-0988525		NONE	04/15/15	12,400,000.	REFINANCE SERIES 6-J1 BONDS				X		X

Part II Proceeds

	A		B		C		D	
1 Amount of bonds retired		3,000,000.		5,556,602.		1,275,000.		765,000.
2 Amount of bonds legally defeased								
3 Total proceeds of issue		5,000,000.		8,936,602.		6,705,000.		12,400,000.
4 Gross proceeds in reserve funds						505,928.		
5 Capitalized interest from proceeds								
6 Proceeds in refunding escrows								
7 Issuance costs from proceeds		99,000.		172,187.		134,100.		90,613.
8 Credit enhancement from proceeds		26,500.						
9 Working capital expenditures from proceeds								
10 Capital expenditures from proceeds		4,874,500.						
11 Other spent proceeds				8,764,415.		6,064,972.		12,309,387.
12 Other unspent proceeds								
13 Year of substantial completion		2008	2010	2014	2015			
14 Were the bonds issued as part of a current refunding issue?	Yes	No	Yes	No	Yes	No	Yes	No
15 Were the bonds issued as part of an advance refunding issue?		X	X		X		X	
16 Has the final allocation of proceeds been made?	X		X		X		X	
17 Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X		X		X	

Part III Private Business Use

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

SCHEDULE K
(Form 990)

Department of the Treasury
Internal Revenue Service

ENTITY 2

Supplemental Information on Tax-Exempt Bonds

► Complete if the organization answered "Yes" on 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

2016

Open to Public
Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number
41-0694721

Part I Bond Issues SEE PART VI FOR COLUMN (A) CONTINUATIONS

(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) Pooled financing	
						Yes	No	Yes	No	Yes	No
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-0988525		NONE	12/01/16	32,240,000	CSBR FINANCING				X		X
MINNESOTA HIGHER EDUCATION FACILITIES AUT41-098852560416H2T0			12/01/16	13,680,000	CSBR FINANCING				X		X
C											
D											

Part II Proceeds

	A	B	C	D
1 Amount of bonds retired				
2 Amount of bonds legally defeased				
3 Total proceeds of issue	33,836,864.	13,584,240.		
4 Gross proceeds in reserve funds	2,611,717.	1,108,197.		
5 Capitalized interest from proceeds	1,328,839.			
6 Proceeds in refunding escrows				
7 Issuance costs from proceeds	366,737.	155,614.		
8 Credit enhancement from proceeds				
9 Working capital expenditures from proceeds				
10 Capital expenditures from proceeds	16,671,932.	7,160,077.		
11 Other spent proceeds				
12 Other unspent proceeds	12,857,639.	5,160,352.		
13 Year of substantial completion	2017	2017		
14 Were the bonds issued as part of a current refunding issue?	Yes No	Yes No	Yes No	Yes No
15 Were the bonds issued as part of an advance refunding issue?	X	X		
16 Has the final allocation of proceeds been made?	X	X		
17 Does the organization maintain adequate books and records to support the final allocation of proceeds?	X	X		

Part III Private Business Use

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

632121 10-19-16 LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990. 54

Schedule K (Form 990) 2016

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						X	
c Are there any research agreements that may result in private business use of bond-financed property?		X		X		X		X
d If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?								
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		1.06 %		.00 %		.00 %		2.62 %
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		.00 %		.00 %		.00 %		.00 %
6 Total of lines 4 and 5		1.06 %		.00 %		.00 %		2.62 %
7 Does the bond issue meet the private security or payment test?		X		X		X		X
8a Has there been a sale or disposition of any of the bond-financed property to a non-governmental person other than a 501(c)(3) organization since the bonds were issued?		X		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		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		X
2 If "No" to line 1, did the following apply?								
a Rebate not due yet?		X		X		X		X
b Exception to rebate?	X		X					X
c No rebate due?		X		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		X
4a Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X		X		X		X
b Name of provider								
c Term of hedge								
d Was the hedge superintegrated?								
e Was the hedge terminated?								

	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				
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?								
c Are there any research agreements that may result in private business use of bond-financed property?		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?								
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		.00 %		.00 %		%		%
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		.00 %		.00 %		%		%
6 Total of lines 4 and 5		.00 %		.00 %		%		%
7 Does the bond issue meet the private security or payment test?		X		X				
8a Has there been a sale or disposition of any of the bond-financed property to a non-governmental person other than a 501(c)(3) organization since the bonds were issued?		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					

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				
2 If "No" to line 1, did the following apply?								
a Rebate not due yet?	X		X					
b Exception to rebate?		X		X				
c No rebate due?		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					
4a Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X		X				
b Name of provider								
c Term of hedge								
d Was the hedge superintegrated?								
e Was the hedge terminated?								

AUGSBURG UNIVERSITY

ENTITY 2

Part IV Arbitrage (Continued)

5a	Were gross proceeds invested in a guaranteed investment contract (GIC)?				
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?				
7	Has the organization established written procedures to monitor the requirements of section 148?				

Part V Procedures To Undertake Corrective Action

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 isn't available under applicable regulations?	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
	X		X					

Part VI Supplemental Information. Provide additional information for responses to questions on Schedule K. See instructions

SCHEDULE K, PART I, BOND ISSUES:

(A) ISSUER NAME: MINNESOTA HIGHER EDUCATION FACILITIES AUTHORITY

(A) ISSUER NAME: MINNESOTA HIGHER EDUCATION FACILITIES AUTHORITY

(A) ISSUER NAME: MINNESOTA HIGHER EDUCATION FACILITIES AUTHORITY

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(A) ISSUER NAME: MINNESOTA HIGHER EDUCATION FACILITIES AUTHORITY

(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

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

2016

Open To Public Inspection

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

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

[illegible]

2 Enter the amount of tax incurred by the organization managers or disqualified persons during the year under section 4958

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

Part II Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990-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
WILLIAM FRAME	FORMER O	LOAN AGA		X	194,965.	383,305.		X	X		X	
Total						\$ 383,305.						

Total

► \$ 383,305.

Part III Grants or Assistance Benefiting Interested Persons.	
---	--

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

[illegible]

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule L (Form 990 or 990-EZ) 2016

SEE PART V FOR CONTINUATIONS

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

Part V Supplemental Information

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

SCHEDULE L, PART II, LOANS TO AND FROM INTERESTED PERSONS:

(A) NAME OF PERSON: WILLIAM FRAME

(B) RELATIONSHIP WITH ORGANIZATION: FORMER OFFICER

(C) PURPOSE OF LOAN: LOAN AGAINST LIFE INSURANCE POLICY

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

2016

**Open To Public
Inspection**

Name of the organization

AUGSBURG UNIVERSITY

Employer identification number

41-0694721

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				
2 Art - Historical treasures				
3 Art - Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities - Publicly traded	X	29	622,129	STOCK MARKET QUOTES
10 Securities - Closely held stock				
11 Securities - Partnership, LLC, or trust interests				
12 Securities - Miscellaneous				
13 Qualified conservation contribution - Historic structures				
14 Qualified conservation contribution - Other				
15 Real estate - Residential				
16 Real estate - Commercial				
17 Real estate - Other				
18 Collectibles				
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other (AUCTION ITEMS)	X	128	18,763	ESTIMATED FMV
26 Other ()				
27 Other ()				
28 Other ()				

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

29

0

30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it
must hold for at least three years from the date of the initial contribution, and which isn't required to be used for
exempt purposes for the entire holding period?

b If "Yes," describe the arrangement in Part II.

31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?

32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash
contributions?

b If "Yes," describe in Part II.

33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked,
describe in Part II

	Yes	No
30a		X
31	X	
32a		X
33		

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

Schedule M (Form 990) (2016)

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.

SCHEDULE M, PART I, COLUMN (B):

COLUMN (B) REPORTS THE NUMBER OF CONTRIBUTORS FOR PUBLICLY TRADED

SECURITIES AND NUMBER OF ITEMS CONTRIBUTED FOR SPECIAL EVENT AUCTION

ITEMS.

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

2016

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Inspection

Name of the organization

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41-0694721

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

COMMITTED TO INTENTIONAL DIVERSITY IN ITS LIFE AND WORK. AN AUGSBURG
EDUCATION IS DEFINED BY EXCELLENCE IN THE LIBERAL ARTS AND PROFESSIONAL
STUDIES, GUIDED BY THE FAITH AND VALUES OF THE LUTHERAN CHURCH, AND
SHAPED BY ITS URBAN AND GLOBAL SETTINGS.

FORM 990, PART III, LINE 4A, PROGRAM SERVICE ACCOMPLISHMENTS:

NATIONAL SOCIETY FOR EXPERIENTIAL EDUCATION. AUGSBURG RANKS AMONG THE
TOP PRODUCERS OF NATIONAL AND INTERNATIONAL STUDENT FELLOWSHIP
AWARDEES. OUR PASSION FOR ACCESS AND EXCELLENCE IN THE LIBERAL ARTS AND
PROFESSIONAL STUDIES IS GUIDED BY THE FAITH AND VALUES OF THE LUTHERAN
CHURCH, WHICH CALL THE UNIVERSITY TO EDUCATE STUDENTS TO BE INFORMED
CITIZENS, THOUGHTFUL STEWARDS, CRITICAL THINKERS, AND RESPONSIBLE
LEADERS.

FORM 990, PART III, LINE 4B, PROGRAM SERVICE ACCOMPLISHMENTS:

MORE THAN 100 STUDENTS EACH YEAR WITH COUNSELING, SUBSTANCE-FREE
HOUSING, AND LEADERSHIP DEVELOPMENT. FINALLY, THROUGH THE INTEGRATED
SERVICES OF THE ENROLLMENT CENTER, STUDENTS AND FAMILIES CAN RECEIVE
COUNSELING AND SUPPORT WITH TUITION PAYMENT PLANS, SCHOLARSHIPS,
FINANCIAL AID, AND REGISTRATION.

FORM 990, PART V, LINE 4B, LIST OF FOREIGN COUNTRIES:

MEXICO, GUATEMALA, EL SALVADOR, NICARAGUA,
NAMIBIA

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FORM 990, PART VI, SECTION A, LINE 1:

THE EXECUTIVE COMMITTEE CONSISTS OF THE CHAIR AND OTHER OFFICERS, PLUS AT LEAST FOUR OTHER MEMBERS ELECTED BY THE BOARD OF REGENTS. THE EXECUTIVE COMMITTEE HAS THE AUTHORITY OF THE BOARD OF REGENTS IN THE MANAGEMENT OF THE BUSINESS OF THE UNIVERSITY IN THE INTERVAL BETWEEN MEETINGS OF THE BOARD OF REGENTS, AND THE EXECUTIVE COMMITTEE IS AT ALL TIMES SUBJECT TO THE CONTROL AND DIRECTION OF THE BOARD OF REGENTS.

FORM 990, PART VI, SECTION A, LINE 4:

THE UNIVERSITY FILED RESTATED ARTICLES OF INCORPORATION ON MARCH 2, 2017 TO LEGALLY CHANGE THE NAME FROM "AUGSBURG COLLEGE" TO "AUGSBURG UNIVERSITY" EFFECTIVE SEPTEMBER 1, 2017.

FORM 990, PART VI, SECTION A, LINE 6:

THE VOTING MEMBERS OF THE UNIVERSITY ARE THE GOVERNING MEMBERS. THE GOVERNING MEMBERSHIP CONSISTS OF:

(1) SEVENTY-SIX MEMBERS FROM THE FOLLOWING SYNODS OF THE EVANGELICAL LUTHERAN CHURCH IN AMERICA: MINNEAPOLIS AREA SYNOD, SAINT PAUL AREA SYNOD, SOUTHEASTERN MINNESOTA SYNOD, AND NORTHWEST SYNOD OF WISCONSIN. EACH SUCH SYNOD SHALL HAVE REPRESENTATION WHICH SHALL BE PROPORTIONATE TO ITS COMPARATIVE BAPTIZED MEMBERSHIP;

(2) THE BISHOP, OR THE BISHOP'S DESIGNEE, FROM EACH SUCH SYNOD;

(3) TEN MEMBERS FROM THE BOARD OF REGENTS;

(4) FOUR MEMBERS FROM THE FACULTY: THE CHAIR OF THE FACULTY SENATE AND THE

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CHAIRS OF AUGSBURG UNIVERSITY'S THREE DIVISIONS-FINE ARTS AND HUMANITIES,
NATURAL AND SOCIAL SCIENCES, AND PROFESSIONAL STUDIES;

(5) THREE MEMBERS OF THE UNIVERSITY ADMINISTRATION DETERMINED IN THE
DISCRETION OF THE PRESIDENT; AND

(6) TWO CURRENT STUDENTS HOLDING ELECTED SEATS AS MEMBERS OF THE STUDENT
GOVERNMENT.

MEMBERS FROM EACH CONSTITUENT GROUP SHALL BE SELECTED BY PROCEDURES
DETERMINED BY THEIR PARTICULAR BODY UNLESS OTHERWISE SPECIFIED IN THESE
BYLAWS.

FORM 990, PART VI, SECTION A, LINE 7A:

THE GOVERNING MEMBERSHIP ELECTS THE MEMBERS OF THE UNIVERSITY'S BOARD OF
REGENTS AND THE NOMINATING COMMITTEE. THE GOVERNING MEMBERSHIP ALSO
ESTABLISHES AND ELECTS MEMBERS TO SUCH OTHER COMMITTEES IT DEEMS NECESSARY
TO CONDUCT ITS BUSINESS.

FORM 990, PART VI, SECTION A, LINE 7B:

THE GOVERNING MEMBERSHIP MUST APPROVE AMENDMENTS TO THE ARTICLES OF
INCORPORATION OR BYLAWS OF THE UNIVERSITY, TO MERGE OR CONSOLIDATE WITH
ANOTHER CORPORATION, TO DISPOSE OF ALL OR SUBSTANTIALLY ALL THE ASSETS OF
THIS UNIVERSITY, OR TO DISSOLVE THE UNIVERSITY.

THE GOVERNING MEMBERSHIP RECEIVES REPORTS FROM THE BOARD OF REGENTS AND
ADMINISTRATION OF THE UNIVERSITY AND GENERALLY ACQUAINTS ITSELF WITH THE
PROGRESS AND NEEDS OF THE UNIVERSITY. ITS OBJECTIVES ARE TO STRENGTHEN THE

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UNIVERSITY SPIRITUALLY AND ACADEMICALLY, TO PROMOTE THE UNIVERSITY IN APPROPRIATE FORUMS, AND TO PROVIDE WHATEVER OTHER FORMS OF ASSISTANCE IT MAY FIND FEASIBLE AND APPROPRIATE. IT MAY MAKE RECOMMENDATIONS TO THE BOARD OF REGENTS AS IT DEEMS ADVISABLE.

FORM 990, PART VI, SECTION B, LINE 11B:

AN INDEPENDENT PUBLIC ACCOUNTING FIRM PREPARES THE FORM 990 BASED ON DATA SUPPLIED BY MANAGEMENT OF THE UNIVERSITY. THE DRAFT OF THE FORM 990 IS REVIEWED BY MANAGEMENT WITH ANY CORRECTIONS AND CHANGES BEING INCORPORATED INTO THE DOCUMENT. THE UPDATED DRAFT OF THE FORM 990 IS PROVIDED TO THE AUDIT COMMITTEE FOR THEIR REVIEW AND APPROVAL FOR SUBMISSION. A PUBLIC INSPECTION COPY OF THE FORM 990 IS MADE AVAILABLE TO THE BOARD OF REGENTS PRIOR TO SUBMISSION.

FORM 990, PART VI, SECTION B, LINE 12C:

AUGSBURG UNIVERSITY HAS BOTH A CONFLICT OF INTEREST POLICY SPECIFIC TO ITS BOARD OF REGENTS AND EMPLOYEES TO PROTECT AND SAFEGUARD THE INTERESTS OF AUGSBURG UNIVERSITY. EACH YEAR, THE BOARD OF REGENTS ARE REQUIRED TO DISCLOSE ANY POTENTIAL OR ACTUAL CONFLICTS OF INTEREST IN THEIR SERVICE TO AUGSBURG UNIVERSITY. SUCH FORMS ARE REVIEWED BY THE BOARD CHAIR, OR HIS/HER DESIGNEE, WITH APPROPRIATE ACTION TAKEN. REGENTS ARE REQUIRED TO DISCLOSE ANY CONFLICT PRIOR TO DISCUSSION AT MEETINGS AND TO RECUSE THEMSELVES FROM VOTING, AS RECORDED IN THE MINUTES.

AUGSBURG UNIVERSITY ALSO SEEKS TO AVOID CONFLICTS BETWEEN THE PERSONAL INTERESTS OF EMPLOYEES AND THE INTERESTS OF THE UNIVERSITY. IN THE EVENT AN EMPLOYEE OR THEIR FAMILY MEMBER MAY HAVE A FINANCIAL, PERSONAL, OR PROFESSIONAL INTEREST THAT COULD POTENTIALLY CREATE AN ADVERSE CONFLICT OF

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INTEREST INVOLVING THE UNIVERSITY, THE EMPLOYEE IS REQUIRED TO PROVIDE WRITTEN DISCLOSURE TO THE APPROPRIATE VICE PRESIDENT. THE EMPLOYEE IS THEN REQUIRED TO REFRAIN FROM PARTICIPATING IN THE UNIVERSITY'S CONSIDERATION OR PROCESSING OF THE TRANSACTION TO AVOID ANY INFLUENCE UPON SUCH TRANSACTION.

FORM 990, PART VI, SECTION B, LINE 15A:

THE PRESIDENT'S COMPENSATION IS REVIEWED, AND ADJUSTED IF NECESSARY, ANNUALLY BY THE BOARD OF REGENTS EXECUTIVE COMMITTEE. IN YEARS WHERE AN EXTERNAL FIRM IS NOT ENGAGED, HUMAN RESOURCES PROVIDES SURVEY DATA FROM THE COLLEGE AND UNIVERSITY PROFESSIONAL ASSOCIATION FOR HUMAN RESOURCES (CUPA-HR). THIS INFORMATION IS BASED ON OVER 150 SCHOOLS THAT COMPARE TO AUGSBURG REGARDING ENROLLMENT SIZE, ACADEMIC PROGRAMS, BUDGET SIZE, AS WELL AS OTHER ELCA COLLEGES. THIS INFORMATION IS SENT TO THE EXECUTIVE COMMITTEE EACH SUMMER AND THEN THE REVIEW OCCURS DURING THE NEXT FEW MONTHS BEFORE BEING COMMUNICATED TO THE PRESIDENT IN FALL BY THE BOARD CHAIR. IF A SALARY INCREASE IS APPROVED BY THE BOARD, A PERSONNEL ACTION REQUEST FORM IS SUBMITTED. THIS PROCESS LAST OCCURRED IN 2017.

THE PRESIDENT ANNUALLY REVIEWS THE COMPENSATION FOR ALL MEMBERS OF THE PRESIDENT'S LEADERSHIP TEAM (PLT). HE DETERMINES THE COMPENSATION FOR HIS DIRECT REPORTS, BUT LEAVES THE FINAL DECISION TO THE APPROPRIATE VICE PRESIDENT FOR EMPLOYEES THAT DO NOT REPORT DIRECTLY TO HIM. HUMAN RESOURCES PROVIDES SURVEY DATA FROM THE COLLEGE AND UNIVERSITY PROFESSIONAL ASSOCIATION FOR HUMAN RESOURCES (CUPA-HR), AS WELL AS INDUSTRY SPECIFIC COMPENSATION INFORMATION FOR CERTAIN POSITIONS. THE CUPA-HR SALARY INFORMATION IS BASED ON APPROXIMATELY 150 COLLEGES BOTH NATIONALLY AND ACROSS THE MIDWEST AND INCLUDES INSTITUTIONS WITH SIMILAR STUDENT ENROLLMENT AND BUDGET SIZE, AS WELL AS OTHER ELCA COLLEGES. HUMAN RESOURCES

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PROVIDES THIS INFORMATION TO THE PRESIDENT EACH SPRING, AND THE REVIEW OCCURS DURING THE NEXT FEW MONTHS. THE PRESIDENT COMMUNICATES THE COMPENSATION INCREASE TO THE PLT MEMBER AND HUMAN RESOURCES ENSURES A PERSONNEL ACTION REQUEST FORM IS COMPLETED. THIS PROCESS LAST OCCURRED IN 2017.

FORM 990, PART VI, SECTION C, LINE 19:

THE UNIVERSITY MAKES ITS GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY, AND FINANCIAL STATEMENTS AVAILABLE TO THE PUBLIC UPON REQUEST.

FORM 990, PART XI, LINE 9, CHANGES IN NET ASSETS:

ADJUSTMENT OF ACTUARIAL LIABILITY	-66,509.
CHANGE IN ALLOWANCE FOR UNCOLLECTIBLE PLEDGES	-183,012.
TOTAL TO FORM 990, PART XI, LINE 9	-249,521.

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.

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

[illegible]

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.

[illegible]

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

Schedule R (Form 990) 2016

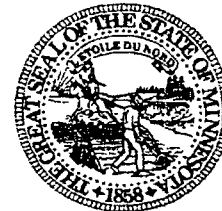
Part V Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.**Note:** Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.**1** During the tax year, did the organization engage in any of the following 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)**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)				
(2)				
(3)				
(4)				
(5)				
(6)				



Office of the Minnesota Secretary of State
Minnesota Business & Nonprofit Corporations
Amendment to Articles of Incorporation

Minnesota Statutes, Chapter 302A or 317A



Read the instructions before completing this form.

Filing Fee: \$55 for expedited service in-person and online filings, \$35 for mail

1. Corporate Name. (Required)

Augsburg College

List the name of the company prior to any desired name change

2. This amendment is effective on the day it is filed with the Secretary of State, unless you indicate another date, no later than 30 days **after** filing with the Secretary of State

03/02/2017

Format: (mm/dd/yyyy)

3. The following amendment(s) to articles regulating the above corporation were adopted. (Insert full text of newly amended article(s) indicating which article(s) is (are) being amended or added.) If the full text of the amendment will not fit in the space provided, attach additional pages.

ARTICLE

See attached.

4. This amendment has been approved pursuant to *Minnesota Statutes, Chapter 302A or 317A.*

5. I, the undersigned, certify that I am signing this document as the person whose signature is required, or as agent of the person(s) whose signature would be required who has authorized me to sign this document on his/her behalf, or in both capacities. I further certify that I have completed all required fields, and that the information in this document is true and correct and in compliance with the applicable chapter of Minnesota Statutes. I understand that by signing this document I am subject to the penalties of perjury as set forth in Section 609.48 as if I had signed this document under oath

[Signature]
Signature of Authorized Person or Authorized Agent

3/2/17
Date

Email Address for Official Notices

Enter an email address to which the Secretary of State can forward official notices required by law and other notices.

controller@augsborg.edu

☒ Check here to have your email address excluded from requests for bulk data, to the extent allowed by Minnesota law.

List a name and daytime phone number of a person who can be contacted about this form:

Kristin Hansen

612-330-1026

Contact Name

Phone Number

Entities that own, lease, or have any financial interest in agricultural land or land capable of being farmed must register with the MN Dept. of Agriculture's Corporate Farm Program.

Does this entity own, lease, or have any financial interest in agricultural land or land capable of being farmed?

Yes ☐ No ☒

RESTATED ARTICLES OF INCORPORATION OF AUGSBURG UNIVERSITY

ARTICLE I – NAME AND LOCATION

The name of this corporation shall be Augsburg University, and its principal place of business shall be in the City of Minneapolis, County of Hennepin, and State of Minnesota. Its registered office shall be at:

**Augsburg University
2211 Riverside Avenue
Minneapolis, MN 55454**

ARTICLE II – PURPOSE

Augsburg University educates students to be informed citizens, thoughtful stewards, critical thinkers, and responsible leaders. The Augsburg experience is supported by an engaged community that is committed to intentional diversity in its life and work. An Augsburg education is defined by excellence in the liberal arts and professional studies, guided by the faith and values of the Lutheran church, and shaped by its urban and global settings.

ARTICLE III – BASIS FOR WORK AND MEMBERSHIP

The Corporation accepts as the basis for its work and educational program the doctrines of the Christian faith as revealed in the canonical books of the Holy Scriptures and as set forth in the three ecumenical creeds, the Unaltered Augsburg Confession and Luther's Small Catechism. This Corporation shall have members with voting rights, who shall be elected as prescribed in the Bylaws of this Corporation.

In case of dissolution, all assets of this Corporation in excess of liabilities shall become the property of the Minneapolis Area Synod, the Saint Paul Area Synod, the Southeastern Minnesota Synod, and the Northwest Synod of Wisconsin of the Evangelical Lutheran Church in America or their successors.

ARTICLE IV – NATURE OF THE CORPORATION AND CONDITIONS OF MEMBERSHIP

In furtherance of its purposes, this corporation may engage in, advance, promote, support and administer activities and projects of every kind and nature whatsoever in its own behalf or as the agent, trustee or representative of others; provided that all the powers of this corporation shall be exercised only so that this corporation's operations are exclusively within the contemplation of Section 501(c)(3) of the Internal Revenue Code.

No substantial part of the activities of this corporation shall consist of carrying on propaganda or otherwise attempting to influence legislation. This corporation shall not participate in or intervene in

(including the publishing or distributing of statements) any political campaign on behalf of (or in opposition to) any candidate for public office.

There shall be no capital stock of this Corporation and no contribution shall be required as a condition of membership. The Corporation shall not afford pecuniary gain, incidentally or otherwise, to its members.

The period of duration shall be perpetual.

ARTICLE V – FINANCIAL RESPONSIBILITIES

Church affiliation shall not cause the Evangelical Lutheran Church in America in its church wide, synodical, or congregational expressions to incur or be subject to the liabilities or debts of this Corporation nor this Corporation to the liabilities nor debts of the ELCA or its synods.

Likewise, members of this corporation shall not be personally liable for payment of any debts or obligations of this corporation of any nature whatsoever, nor shall any of the property of the members be subject to payments of the debts or obligations of this corporation to any extent whatsoever.

ARTICLE VI – GOVERNING BOARD

The Board of Regents of Augsburg University shall be the governing board of the Corporation

The number, term of office, powers, authority and duties of members of the Board of Regents, the time and place of their meetings, and such other regulations as are not inconsistent with the express provisions of these Articles of Incorporation shall be as specified from time to time in the Bylaws of this Corporation.

ARTICLE VII – AMENDMENTS

Both the Board of Regents and the members of this Corporation must approve amendments to these Articles of Incorporation.

Revised: September 18, 2015

Filed: April 5, 2016

Revised: March 2, 2017

Filed: March 2, 2017



Work Item 937903500035
Original File Number 3611-NP

STATE OF MINNESOTA
OFFICE OF THE SECRETARY OF STATE
FILED
03/02/2017 11:59 PM

Steve Simon

Steve Simon
Secretary of State