

Form **990****Return of Organization Exempt From Income Tax**

OMB No 1545-0047

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.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**2017****Open to Public Inspection**Department of the Treasury  
Internal Revenue Service

|                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>A</b> For the 2017 calendar year, or tax year beginning May 1, 2017, and ending April 30, 2018                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>B</b> Check if applicable:<br><input type="checkbox"/> Address change<br><input type="checkbox"/> Name change<br><input type="checkbox"/> Initial return<br><input type="checkbox"/> Final return/terminated<br><input type="checkbox"/> Amended return<br><input type="checkbox"/> Application pending | <b>C</b> Name of organization <u>Brock University</u><br>Doing business as _____<br>Number and street (or P.O. box if mail is not delivered to street address) Room/suite<br><u>1812 Sir Isaac Brock Way</u><br>City or town, state or province, country, and ZIP or foreign postal code<br><u>St. Catharines, Ontario, Canada, L2S 3A1</u><br><b>F</b> Name and address of principal officer <u>Gervan Fearon</u><br><u>same as above</u><br><b>I</b> Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) (insert no ) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 |
| <b>J</b> Website: <u>www.brocku.ca</u>                                                                                                                                                                                                                                                                     | <b>D</b> Employer identification number <u>98 0052780</u><br><b>E</b> Telephone number <u>908-688-5550</u><br><b>G</b> Gross receipts \$ <u>272,473,877</u><br><b>H(a)</b> Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br><b>H(b)</b> Are all subordinates included? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If "No," attach a list (see instructions)<br><b>H(c)</b> Group exemption number ▶ _____                                                                                                                                                   |
| <b>K</b> Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ _____                                                                                                                   | <b>L</b> Year of formation <u>1964</u> <b>M</b> State of legal domicile <u>CA</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

**Part I Summary**

|                                                                                             |                                                                                                                                                                                                        |                                                                            |                                |
|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------|
| <b>Activities &amp; Governance</b>                                                          | <b>1</b> Briefly describe the organization's mission or most significant activities: <u>Teaching and research in broadly based undergraduate and graduate education and interdisciplinary programs</u> |                                                                            |                                |
|                                                                                             | <b>2</b> Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.                                                       |                                                                            |                                |
|                                                                                             | <b>3</b> Number of voting members of the governing body (Part VI, line 1a)                                                                                                                             | <u>3</u>                                                                   | <u>25</u>                      |
|                                                                                             | <b>4</b> Number of independent voting members of the governing body (Part VI, line 1b)                                                                                                                 | <u>4</u>                                                                   | <u>21</u>                      |
|                                                                                             | <b>5</b> Total number of individuals employed in calendar year 2017 (Part VII, line 2a)                                                                                                                | <u>5</u>                                                                   | <u>5,911</u>                   |
|                                                                                             | <b>6</b> Total number of volunteers (estimate if necessary)                                                                                                                                            | <u>6</u>                                                                   | <u>536</u>                     |
|                                                                                             | <b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12                                                                                                                         | <u>7a</u>                                                                  | <u>-</u>                       |
| <b>b</b> Net unrelated business taxable income from Form 990-T, line 34                     | <u>7b</u>                                                                                                                                                                                              | <u>-</u>                                                                   |                                |
| <b>Revenue</b>                                                                              | <b>8</b> Contributions and grants (Part VIII, line 1h)                                                                                                                                                 | Prior Year <u>80,893,533</u>                                               | Current Year <u>85,755,846</u> |
|                                                                                             | <b>9</b> Program service revenue (Part VIII, line 2g)                                                                                                                                                  | <u>128,571,980</u>                                                         | <u>142,484,899</u>             |
|                                                                                             | <b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)                                                                                                                                | <u>3,165,944</u>                                                           | <u>6,522,096</u>               |
|                                                                                             | <b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)                                                                                                                     | <u>28,643,623</u>                                                          | <u>32,582,380</u>              |
|                                                                                             | <b>12</b> Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)                                                                                                             | <u>241,275,080</u>                                                         | <u>267,345,221</u>             |
|                                                                                             | <b>Expenses</b>                                                                                                                                                                                        | <b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1–3) | <u>14,778,511</u>              |
| <b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)                     |                                                                                                                                                                                                        | <u>-</u>                                                                   | <u>-</u>                       |
| <b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) |                                                                                                                                                                                                        | <u>151,424,267</u>                                                         | <u>164,606,037</u>             |
| <b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)                    |                                                                                                                                                                                                        | <u>-</u>                                                                   | <u>-</u>                       |
| <b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ <u>3,418,606</u>       |                                                                                                                                                                                                        | <u>-</u>                                                                   | <u>-</u>                       |
| <b>17</b> Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)                      |                                                                                                                                                                                                        | <u>65,843,260</u>                                                          | <u>71,475,678</u>              |
| <b>18</b> Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)         |                                                                                                                                                                                                        | <u>232,046,038</u>                                                         | <u>251,888,717</u>             |
| <b>19</b> Revenue less expenses. Subtract line 18 from line 12                              |                                                                                                                                                                                                        | <u>9,229,042</u>                                                           | <u>15,456,504</u>              |
| <b>Net Assets or Fund Balances</b>                                                          | <b>20</b> Total assets (Part X, line 16)                                                                                                                                                               | Beginning of Current Year <u>451,389,178</u>                               | End of Year <u>498,459,610</u> |
|                                                                                             | <b>21</b> Total liabilities (Part X, line 26)                                                                                                                                                          | <u>307,704,142</u>                                                         | <u>349,559,576</u>             |
|                                                                                             | <b>22</b> Net assets or fund balances. Subtract line 21 from line 20                                                                                                                                   | <u>143,685,036</u>                                                         | <u>148,900,034</u>             |

**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.

|                  |                                               |                            |
|------------------|-----------------------------------------------|----------------------------|
| <b>Sign Here</b> | Signature of officer <u>BRIAN HUTCHINGS</u>   | Date <u>MARCH 15, 2019</u> |
|                  | Type or print name and title <u>UP, ADMIN</u> |                            |

|                               |                                                           |                                         |                      |                                                 |                       |
|-------------------------------|-----------------------------------------------------------|-----------------------------------------|----------------------|-------------------------------------------------|-----------------------|
| <b>Paid Preparer Use Only</b> | Print/Type preparer's name <u>Shy Joseph</u>              | Preparer's signature <u>[Signature]</u> | Date <u>3/14/219</u> | Check <input type="checkbox"/> if self-employed | PTIN <u>P01085371</u> |
|                               | Firm's name ▶ <u>KPMG, LLP</u>                            | Firm's EIN ▶ <u>13-5565207</u>          |                      |                                                 |                       |
|                               | Firm's address ▶ <u>60 South Street, Boston, MA 02111</u> | Phone no <u>613-988-1000</u>            |                      |                                                 |                       |

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No.

For Paperwork Reduction Act Notice, see the separate instructions.

Cat No 11282Y

Form **990** (2017)

SCANNED MAY 06 2019

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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 ☐**1** Briefly describe the organization's mission:

- Brock flourishes through the scholarly, creative, and professional achievements of its students, faculty, and staff. Offering a range of undergraduate and graduate programs, Brock fosters teaching and research of the highest quality. As a diverse and inclusive community, Brock contributes to Canada and beyond through imagination, innovation and commitment.

**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 \$ 179,361,084 including grants of \$ 15,807,002 ) (Revenue \$ 164,693,051 )

Incorporated in 1964, Brock University has continually developed rigorous undergraduate, graduate and doctoral programs, including experiential learning opportunities and one of Canada's largest co-op programs.

Total student headcount for 2017-18 was nearly 19,000 students. Brock has 7 academic faculties: Applied Health Sciences, Goodman School of Business, Education, Humanities, Mathematics and Science, Social Sciences and Graduate Studies. Total faculty of 600 and there are 8 Canada Research Chairs. Over the past 15 years, Brock has been one of Ontario's fastest growing universities, both in students and modern infrastructure. Brock offers more than 120 undergraduate and graduate programs.

**4b** (Code: ) (Expenses \$ 9,884,595 including grants of \$ ) (Revenue \$ 10,102,142 )

Research

Brock's transdisciplinary community-based research supports the region's emerging industry clusters such as biomanufacturing, digital media, green technology, and life sciences. Through the main research institutes and centres at Brock, we foster intellectual environments in which researchers across disciplines combine their expertise to create new forms of inquiry and new types of solutions. Most of Brock's external research revenue is from the Tri-Council (CIHR, NSERC and SSHRC).

**4c** (Code: ) (Expenses \$ including grants of \$ ) (Revenue \$ )**4d** Other program services (Describe in Schedule O.)

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

**4e** Total program service expenses ▶ 189,245,679

**Part IV Checklist of Required Schedules**

|                                                                                                                                                                                                                                                                                                                       | Yes   | No |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A . . . . .                                                                                                                                                                         | 1 ✓   |    |
| 2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? . . . . .                                                                                                                                                                                                         | 2 ✓   |    |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I . . . . .                                                                                                                      | 3     | ✓  |
| 4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II . . . . .                                                                                                       | 4     | ✓  |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III . . . . .                                                                               | 5     | ✓  |
| 6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I . . . . .                                                    | 6     | ✓  |
| 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II . . . . .                                                                                            | 7     | ✓  |
| 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III . . . . .                                                                                                                                                         | 8 ✓   |    |
| 9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV . . . . .            | 9     | ✓  |
| 10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V . . . . .                                                                                                     | 10 ✓  |    |
| 11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.                                                                                                                                                                    |       |    |
| a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI . . . . .                                                                                                                                                                       | 11a ✓ |    |
| b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII . . . . .                                                                                                     | 11b   | ✓  |
| c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII . . . . .                                                                                                     | 11c   | ✓  |
| d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX . . . . .                                                                                                                      | 11d   | ✓  |
| e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X . . . . .                                                                                                                                                                                     | 11e ✓ |    |
| f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X . . . . .                                                            | 11f   | ✓  |
| 12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII . . . . .                                                                                                                                                        | 12a ✓ |    |
| b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional . . . . .                                                                           | 12b   | ✓  |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E . . . . .                                                                                                                                                                                                        | 13 ✓  |    |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? . . . . .                                                                                                                                                                                                             | 14a ✓ |    |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV . . . . . | 14b ✓ |    |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV . . . . .                                                                                                           | 15    | ✓  |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV . . . . .                                                                                                     | 16 ✓  |    |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions) . . . . .                                                                                            | 17    | ✓  |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II . . . . .                                                                                                                           | 18 ✓  |    |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III . . . . .                                                                                                                                                     | 19    | ✓  |

**Part IV Checklist of Required Schedules (continued)**

|                                                                                                                                                                                                                                                                                                                               | Yes        | No |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----|
| <b>20 a</b> Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H . . . . .                                                                                                                                                                                                             | <b>20a</b> | ✓  |
| <b>b</b> If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .                                                                                                                                                                                               | <b>20b</b> |    |
| <b>21</b> 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 . . . . .                                                                                             | <b>21</b>  | ✓  |
| <b>22</b> 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 . . . . .                                                                                                                 | <b>22</b>  | ✓  |
| <b>23</b> 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 . . . . .                                                      | <b>23</b>  | ✓  |
| <b>24a</b> 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 . . . . .                           | <b>24a</b> | ✓  |
| <b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .                                                                                                                                                                                                          | <b>24b</b> | ✓  |
| <b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .                                                                                                                                                                 | <b>24c</b> | ✓  |
| <b>d</b> Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . . .                                                                                                                                                                                                    | <b>24d</b> | ✓  |
| <b>25a</b> <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I . . . . .                                                                                        | <b>25a</b> | ✓  |
| <b>b</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 . . . . .                                        | <b>25b</b> | ✓  |
| <b>26</b> 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 . . . . .                                 | <b>26</b>  | ✓  |
| <b>27</b> 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 . . . . . | <b>27</b>  | ✓  |
| <b>28</b> 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):                                                                                                                       |            |    |
| <b>a</b> A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV . . . . .                                                                                                                                                                                                    | <b>28a</b> | ✓  |
| <b>b</b> A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV . . . . .                                                                                                                                                                                 | <b>28b</b> | ✓  |
| <b>c</b> 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 . . . . .                                                                                     | <b>28c</b> | ✓  |
| <b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M . . . . .                                                                                                                                                                                                  | <b>29</b>  | ✓  |
| <b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M . . . . .                                                                                                                                  | <b>30</b>  | ✓  |
| <b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I . . . . .                                                                                                                                                                                        | <b>31</b>  | ✓  |
| <b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II . . . . .                                                                                                                                                                      | <b>32</b>  | ✓  |
| <b>33</b> 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 . . . . .                                                                                                                      | <b>33</b>  | ✓  |
| <b>34</b> 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 . . . . .                                                                                                                                                                  | <b>34</b>  | ✓  |
| <b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .                                                                                                                                                                                                                  | <b>35a</b> | ✓  |
| <b>b</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 . . . . .                                                                                          | <b>35b</b> |    |
| <b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2 . . . . .                                                                                                                           | <b>36</b>  |    |
| <b>37</b> 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 . . . . .                                                                             | <b>37</b>  | ✓  |
| <b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .                                                                                                                       | <b>38</b>  | ✓  |

**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                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------------------------------|-------------------------------------|
| <b>1a</b> Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable . . . . .                                                                                                                                                               | <b>1a</b>   |                                     |                                     |
| <b>b</b> Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .                                                                                                                                                             | <b>1b</b>   |                                     |                                     |
| <b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .                                                                                    | <b>1c</b>   |                                     |                                     |
| <b>2a</b> 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 . . . . .                                                              | <b>2a</b> 0 |                                     |                                     |
| <b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns? . . . . .                                                                                                                              | <b>2b</b>   |                                     |                                     |
| <b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) . . . . .                                                                                                                                     |             |                                     |                                     |
| <b>3a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . . .                                                                                                                                              | <b>3a</b>   |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O . . . . .                                                                                                                                 | <b>3b</b>   |                                     |                                     |
| <b>4a</b> 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)? . . . . . | <b>4a</b>   | <input checked="" type="checkbox"/> |                                     |
| <b>b</b> If "Yes," enter the name of the foreign country: ► Canada . . . . .<br>See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).                                                            |             |                                     |                                     |
| <b>5a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .                                                                                                                                      | <b>5a</b>   |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? . . . . .                                                                                                                            | <b>5b</b>   |                                     | <input checked="" type="checkbox"/> |
| <b>c</b> If "Yes" to line 5a or 5b, did the organization file Form 8886-T? . . . . .                                                                                                                                                                           | <b>5c</b>   |                                     |                                     |
| <b>6a</b> 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? . . . . .                                    | <b>6a</b>   |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .                                                                                               | <b>6b</b>   |                                     |                                     |
| <b>7 Organizations that may receive deductible contributions under section 170(c).</b>                                                                                                                                                                         |             |                                     |                                     |
| <b>a</b> 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? . . . . .                                                                                             | <b>7a</b>   |                                     |                                     |
| <b>b</b> If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .                                                                                                                                             | <b>7b</b>   |                                     |                                     |
| <b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .                                                                                                        | <b>7c</b>   |                                     |                                     |
| <b>d</b> If "Yes," indicate the number of Forms 8282 filed during the year . . . . .                                                                                                                                                                           | <b>7d</b>   |                                     |                                     |
| <b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .                                                                                                                             | <b>7e</b>   |                                     |                                     |
| <b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .                                                                                                                                | <b>7f</b>   |                                     |                                     |
| <b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . .                                                                                                            | <b>7g</b>   |                                     |                                     |
| <b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . .                                                                                                          | <b>7h</b>   |                                     |                                     |
| <b>8 Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? . . . . .                                                     | <b>8</b>    |                                     |                                     |
| <b>9 Sponsoring organizations maintaining donor advised funds.</b>                                                                                                                                                                                             |             |                                     |                                     |
| <b>a</b> Did the sponsoring organization make any taxable distributions under section 4966? . . . . .                                                                                                                                                          | <b>9a</b>   |                                     |                                     |
| <b>b</b> Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . . . .                                                                                                                                           | <b>9b</b>   |                                     |                                     |
| <b>10 Section 501(c)(7) organizations.</b> Enter:                                                                                                                                                                                                              |             |                                     |                                     |
| <b>a</b> Initiation fees and capital contributions included on Part VIII, line 12 . . . . .                                                                                                                                                                    | <b>10a</b>  |                                     |                                     |
| <b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .                                                                                                                                                 | <b>10b</b>  |                                     |                                     |
| <b>11 Section 501(c)(12) organizations.</b> Enter:                                                                                                                                                                                                             |             |                                     |                                     |
| <b>a</b> Gross income from members or shareholders . . . . .                                                                                                                                                                                                   | <b>11a</b>  |                                     |                                     |
| <b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them) . . . . .                                                                                                                 | <b>11b</b>  |                                     |                                     |
| <b>12a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041? . . . . .                                                                                                                                | <b>12a</b>  |                                     |                                     |
| <b>b</b> If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . . . .                                                                                                                                                       | <b>12b</b>  |                                     |                                     |
| <b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>                                                                                                                                                                                     |             |                                     |                                     |
| <b>a</b> Is the organization licensed to issue qualified health plans in more than one state? . . . . .                                                                                                                                                        | <b>13a</b>  |                                     |                                     |
| <b>Note.</b> See the instructions for additional information the organization must report on Schedule O                                                                                                                                                        |             |                                     |                                     |
| <b>b</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 . . . . .                                                                                   | <b>13b</b>  |                                     |                                     |
| <b>c</b> Enter the amount of reserves on hand . . . . .                                                                                                                                                                                                        | <b>13c</b>  |                                     |                                     |
| <b>14a</b> Did the organization receive any payments for indoor tanning services during the tax year? . . . . .                                                                                                                                                | <b>14a</b>  |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .                                                                                                                                   | <b>14b</b>  |                                     |                                     |

**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                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| <b>1a</b> Enter the number of voting members of the governing body at the end of the tax year . . . . . <b>1a</b> 25                                                                                                                             |                                     |                                     |
| 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.                                |                                     |                                     |
| <b>b</b> Enter the number of voting members included in line 1a, above, who are independent <b>1b</b> 21                                                                                                                                         |                                     |                                     |
| <b>2</b> 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? . . . . . <b>2</b>                                                |                                     | <input checked="" type="checkbox"/> |
| <b>3</b> 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? . . . . . <b>3</b> |                                     | <input checked="" type="checkbox"/> |
| <b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? <b>4</b>                                                                                                               |                                     | <input checked="" type="checkbox"/> |
| <b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? <b>5</b>                                                                                                                     |                                     | <input checked="" type="checkbox"/> |
| <b>6</b> Did the organization have members or stockholders? . . . . . <b>6</b>                                                                                                                                                                   |                                     | <input checked="" type="checkbox"/> |
| <b>7a</b> 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? . . . . . <b>7a</b>                                                                 |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . . <b>7b</b>                                                           |                                     | <input checked="" type="checkbox"/> |
| <b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:                                                                                                       |                                     |                                     |
| <b>a</b> The governing body? . . . . . <b>8a</b>                                                                                                                                                                                                 | <input checked="" type="checkbox"/> |                                     |
| <b>b</b> Each committee with authority to act on behalf of the governing body? . . . . . <b>8b</b>                                                                                                                                               | <input checked="" type="checkbox"/> |                                     |
| <b>9</b> 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. . . . . <b>9</b>          |                                     | <input checked="" type="checkbox"/> |

### Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

|                                                                                                                                                                                                                                                                                                                            | Yes                                 | No                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| <b>10a</b> Did the organization have local chapters, branches, or affiliates? . . . . . <b>10a</b>                                                                                                                                                                                                                         |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? <b>10b</b>                                                                             |                                     |                                     |
| <b>11a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? <b>11a</b>                                                                                                                                                                          |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990                                                                                                                                                                                                                      |                                     |                                     |
| <b>12a</b> Did the organization have a written conflict of interest policy? If "No," go to line 13 . . . . . <b>12a</b>                                                                                                                                                                                                    | <input checked="" type="checkbox"/> |                                     |
| <b>b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? <b>12b</b>                                                                                                                                                                    | <input checked="" type="checkbox"/> |                                     |
| <b>c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done . . . . . <b>12c</b>                                                                                                                                           | <input checked="" type="checkbox"/> |                                     |
| <b>13</b> Did the organization have a written whistleblower policy? . . . . . <b>13</b>                                                                                                                                                                                                                                    |                                     | <input checked="" type="checkbox"/> |
| <b>14</b> Did the organization have a written document retention and destruction policy? . . . . . <b>14</b>                                                                                                                                                                                                               | <input checked="" type="checkbox"/> |                                     |
| <b>15</b> 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?                                                                                             |                                     |                                     |
| <b>a</b> The organization's CEO, Executive Director, or top management official . . . . . <b>15a</b>                                                                                                                                                                                                                       | <input checked="" type="checkbox"/> |                                     |
| <b>b</b> Other officers or key employees of the organization . . . . . <b>15b</b>                                                                                                                                                                                                                                          | <input checked="" type="checkbox"/> |                                     |
| If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).                                                                                                                                                                                                                                        |                                     |                                     |
| <b>16a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . . <b>16a</b>                                                                                                                                      |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . . . . <b>16b</b> |                                     |                                     |

### Section C. Disclosure

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

**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: ►  
 Brock University, 1812 Sir Isaac Brock Way, St. Catharines, Ontario, Canada, L2S 3A1 (905)688-5550

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, 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)<br>Name and Title                  | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position<br>(do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>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) Mark Arthur<br>Trustee             | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (2) Michele-Elise Burnett<br>Trustee   | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (3) Trevor C Cooper<br>Trustee         | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (4) John E Fisher<br>Trustee           | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (5) William G Rickers<br>Trustee       | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (6) Elizabeth M Zimmermann<br>Trustee  | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (7) John Zoccoli<br>Trustee            | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (8) Gary Comerford<br>Trustee          | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (9) Mario De Divitiis<br>Trustee       | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (10) Mary DeSousa<br>Trustee           | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (11) Kristine Freudenthaler<br>Trustee | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (12) Dennis Hewko<br>Trustee           | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (13) Marco Marrone<br>Trustee          | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (14) Beverley Morden<br>Trustee        | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid
  - List all of the organization's **current** key employees, if any. See instructions for definition of "key employee "
  - List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
  - List all of the organization's **former** officers, key employees, 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)<br>Name and Title                                 | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position<br>(do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>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) Shannon Kitchings<br>Student Trustee              | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        | 1,965 91                                                             |                                                                           |                                                                                               |
| (2) Patrick Foster<br>Student Trustee                 | 1                                                                                          | ✓                                                                                                            |                       |         |              |                              |        | 8,417 10                                                             |                                                                           |                                                                                               |
| (3) Tim Kenyon<br>Vice-President, Research            | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (4) Chabriol Colebatch<br>Secretary                   | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 91,944 61                                                            |                                                                           | 12,446 58                                                                                     |
| (5) Shirley Cheechoo<br>Chancellor                    | 1                                                                                          |                                                                                                              |                       | ✓       |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (6) Tom Traves<br>Interim President & Vice Chancellor | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 263,841 21                                                           |                                                                           | 17,179 93                                                                                     |
| (7) Gervan Fearon<br>President & Vice-Chancellor      | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 104,215 38                                                           |                                                                           | 10,373 01                                                                                     |
| (8) Brian Hutchings<br>VP Administration              | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 195,478 14                                                           |                                                                           | 17,118 77                                                                                     |
| (9) Joffre Mercier<br>Interim VP Research             | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 189,886 92                                                           |                                                                           | 17,179 92                                                                                     |
| (10) Tom Dunk<br>Interim Provost & VP Academic        | 35                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 206,429 71                                                           |                                                                           | 17,118 73                                                                                     |
| (11) Martin Kusy<br>Professor                         | 40                                                                                         |                                                                                                              |                       |         |              | ✓                            |        | 212,785 18                                                           |                                                                           | 4,567 05                                                                                      |
| (12) Jack Lightstone<br>Professor                     | 40                                                                                         |                                                                                                              |                       |         |              | ✓                            |        | 251,930 53                                                           |                                                                           | 17,179 93                                                                                     |
| (13) Fayez Elayan<br>Professor                        | 40                                                                                         |                                                                                                              |                       |         |              | ✓                            |        | 252,528 91                                                           |                                                                           | 17,133 51                                                                                     |
| (14) Danny Cho<br>Professor                           | 40                                                                                         |                                                                                                              |                       |         |              | ✓                            |        | 242,420.15                                                           |                                                                           | 17,133 52                                                                                     |

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

| (A)<br>Name and title                                          | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position<br>(do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                                |                                                                                            | Individual trustee or director                                                                               | Institutional trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| (15) Leanne Standryk<br>Trustee                                | 1                                                                                          | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (16) John Suk<br>Trustee                                       | 1                                                                                          | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (17) Robin Williams<br>Trustee                                 | 1                                                                                          | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (18) Chris Phillips<br>Trustee                                 | 1                                                                                          | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (19) Sophia Aggelonitis<br>Trustee                             | 1                                                                                          | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (20) Scott Henderson<br>Faculty Trustee                        | 40                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 102,272 04                                                           |                                                                           | 13,030 43                                                                                     |
| (21) Diane Miller<br>Faculty Trustee                           | 40                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 149,878 56                                                           |                                                                           | 14,114 08                                                                                     |
| (22) Miriam Richards<br>Faculty Trustee                        | 40                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 130,998 24                                                           |                                                                           | 15,615 11                                                                                     |
| (23) Giulia Forsythe<br>Staff Trustee                          | 35                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 53,130 95                                                            |                                                                           | 8,593 35                                                                                      |
| (24) Gloria Gallagher<br>Staff Trustee                         | 35                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 69,955 46                                                            |                                                                           | 10,115 60                                                                                     |
| (25) Kristen Smith<br>Staff Trustee                            | 35                                                                                         | <input checked="" type="checkbox"/>                                                                          |                       |         |              |                              |        | 52,229 15                                                            |                                                                           | 5,547 87                                                                                      |
| <b>1b Sub-total</b>                                            |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| <b>c Total from continuation sheets to Part VII, Section A</b> |                                                                                            |                                                                                                              |                       |         |              |                              |        | 2,797,964 45                                                         |                                                                           | 228,612 83                                                                                    |
| <b>d Total (add lines 1b and 1c)</b>                           |                                                                                            |                                                                                                              |                       |         |              |                              |        | 3,356,428 85                                                         |                                                                           | 295,629 27                                                                                    |

**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 **▶** 588

**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

|          | Yes                                 | No                                  |
|----------|-------------------------------------|-------------------------------------|
| <b>3</b> | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>4</b> | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| <b>5</b> | <input type="checkbox"/>            | <input type="checkbox"/>            |

**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

**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)<br>Name and business address                                                                                                                                                   | (B)<br>Description of services | (C)<br>Compensation |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|---------------------|
| Deloitte Inc., 5140 Yonge Street Suite 1700 North York, ON M2N 6L7, Canada                                                                                                         | Consulting                     | 7,214,162           |
| Garda, Address 54 Centennial Pkwy North Hamilton, ON L8E 1H6, Canada                                                                                                               | Security                       | 733,238             |
| Stolk Construction Limited, 11 Petersburg Circle Port Colborne, ON L3K 5V5, Canada                                                                                                 | Construction                   | 506,658             |
| Workday Limited, The Kings Building 152-155 Church Street Dublin D7, Ireland                                                                                                       | Cloud Application, IT          | 466,035             |
| Ausenco Engineering Canada Inc., 100-1016B Sutton Dr Burlington, ON L7L 6B8                                                                                                        | Engineering & Construction     | 402,983             |
| <b>2</b> Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization <b>▶</b> | 31                             |                     |

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

| (A)<br>Name and title                                          | (B)<br>Average hours per week (list any hours for related organizations below dotted line) | (C)<br>Position<br>(do not check more than one box, unless person is both an officer and a director/trustee) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                                |                                                                                            | Individual trustee or director                                                                               | Institutional trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| (15) Barbara Sainty<br>Associate Professor                     | 40                                                                                         |                                                                                                              |                       |         |              | ✓                            |        | 215,008 73                                                           |                                                                           | 17,133 51                                                                                     |
| (16) Susan Sydor<br>Professor                                  | 40                                                                                         |                                                                                                              |                       |         |              |                              | ✓      | 131,614 28                                                           |                                                                           | 20,291.48                                                                                     |
| (17) Mary-Louise Vanderlee<br>Professor                        | 40                                                                                         |                                                                                                              |                       |         |              |                              | ✓      | 117,733 15                                                           |                                                                           | 14,421 68                                                                                     |
| (18) Neil McCartney<br>Former Provost & VP Academic            | 40                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 130,108 50                                                           |                                                                           | 12,170 89                                                                                     |
| (19) Gary Libben<br>Professor                                  | 40                                                                                         |                                                                                                              |                       | ✓       |              |                              |        | 181,656 04                                                           |                                                                           | 17,164 32                                                                                     |
| (20)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (21)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (22)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (23)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (24)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| (25)                                                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| <b>1b Sub-total</b>                                            |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| <b>c Total from continuation sheets to Part VII, Section A</b> |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |
| <b>d Total (add lines 1b and 1c)</b>                           |                                                                                            |                                                                                                              |                       |         |              |                              |        |                                                                      |                                                                           |                                                                                               |

**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 ▶

- |                                                                                                                                                                                                                                       | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>3</b> Did the organization list any <b>former</b> officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual                                       |     |    |
| <b>4</b> 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 |     |    |
| <b>5</b> 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                       |     |    |

**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)<br>Name and business address | (B)<br>Description of services | (C)<br>Compensation |
|----------------------------------|--------------------------------|---------------------|
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |
|                                  |                                |                     |

- 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 ▶

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

|                                                                   |                                              |                                                                                                                                    |                           | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from tax<br>under sections<br>512-514 |
|-------------------------------------------------------------------|----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|---------------------------|----------------------|----------------------------------------------------|-----------------------------------------|------------------------------------------------------------------|
| <b>Contributions, Gifts, Grants<br/>and Other Similar Amounts</b> | <b>1a</b>                                    | Federated campaigns                                                                                                                | <b>1a</b>                 |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Membership dues                                                                                                                    | <b>1b</b>                 |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>c</b>                                     | Fundraising events                                                                                                                 | <b>1c</b>                 | 36,785               |                                                    |                                         |                                                                  |
|                                                                   | <b>d</b>                                     | Related organizations                                                                                                              | <b>1d</b>                 |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>e</b>                                     | Government grants (contributions)                                                                                                  | <b>1e</b>                 | 80,597,479           |                                                    |                                         |                                                                  |
|                                                                   | <b>f</b>                                     | All other contributions, gifts, grants,<br>and similar amounts not included above                                                  | <b>1f</b>                 | 5,121,582            |                                                    |                                         |                                                                  |
|                                                                   | <b>g</b>                                     | Noncash contributions included in lines 1a-1f \$                                                                                   |                           | 2,483,334            |                                                    |                                         |                                                                  |
|                                                                   | <b>h</b>                                     | <b>Total.</b> Add lines 1a-1f                                                                                                      |                           | 85,755,846           |                                                    |                                         |                                                                  |
| <b>Program Service Revenue</b>                                    |                                              |                                                                                                                                    |                           | <b>Business Code</b> |                                                    |                                         |                                                                  |
|                                                                   | <b>2a</b>                                    | Student Fees                                                                                                                       | 611710                    | 132,382,757          | 132,382,757                                        |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Research                                                                                                                           | 611710                    | 10,102,142           | 10,102,142                                         |                                         |                                                                  |
|                                                                   | <b>c</b>                                     |                                                                                                                                    |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>d</b>                                     |                                                                                                                                    |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>e</b>                                     |                                                                                                                                    |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>f</b>                                     | All other program service revenue                                                                                                  |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>g</b>                                     | <b>Total.</b> Add lines 2a-2f                                                                                                      |                           | 142,484,899          |                                                    |                                         |                                                                  |
| <b>Other Revenue</b>                                              | <b>3</b>                                     | Investment income (including dividends, interest,<br>and other similar amounts)                                                    |                           | 6,522,096            |                                                    |                                         | 6,522,096                                                        |
|                                                                   | <b>4</b>                                     | Income from investment of tax-exempt bond proceeds                                                                                 |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>5</b>                                     | Royalties                                                                                                                          |                           | 282,754              |                                                    |                                         | 282,754                                                          |
|                                                                   |                                              |                                                                                                                                    | (i) Real (ii) Personal    |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>6a</b>                                    | Gross rents                                                                                                                        | 218,550                   |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Less: rental expenses                                                                                                              | 122,952                   |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>c</b>                                     | Rental income or (loss)                                                                                                            | 95,598                    |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>d</b>                                     | Net rental income or (loss)                                                                                                        |                           | 95,598               |                                                    |                                         | 95,598                                                           |
|                                                                   | <b>7a</b>                                    | Gross amount from sales of<br>assets other than inventory                                                                          | (i) Securities (ii) Other |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Less: cost or other basis<br>and sales expenses                                                                                    |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>c</b>                                     | Gain or (loss)                                                                                                                     |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>d</b>                                     | Net gain or (loss)                                                                                                                 |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>8a</b>                                    | Gross income from fundraising<br>events (not including \$ 36,785<br>of contributions reported on line 1c).<br>See Part IV, line 18 | a 50,504                  |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Less: direct expenses                                                                                                              | b 156,770                 |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>c</b>                                     | Net income or (loss) from fundraising events                                                                                       |                           | (106,266)            |                                                    |                                         | (106,266)                                                        |
|                                                                   | <b>9a</b>                                    | Gross income from gaming activities.<br>See Part IV, line 19                                                                       | a                         |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Less: direct expenses                                                                                                              | b                         |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>c</b>                                     | Net income or (loss) from gaming activities                                                                                        |                           |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>10a</b>                                   | Gross sales of inventory, less<br>returns and allowances                                                                           | a 6,239,251               |                      |                                                    |                                         |                                                                  |
|                                                                   | <b>b</b>                                     | Less: cost of goods sold                                                                                                           | b 4,848,934               |                      |                                                    |                                         |                                                                  |
| <b>c</b>                                                          | Net income or (loss) from sales of inventory |                                                                                                                                    | 1,390,317                 | 1,390,317            |                                                    |                                         |                                                                  |
| <b>Miscellaneous Revenue</b>                                      |                                              |                                                                                                                                    | <b>Business Code</b>      |                      |                                                    |                                         |                                                                  |
| <b>11a</b>                                                        | Ancillary                                    | 611710                                                                                                                             | 19,217,392                | 19,217,392           |                                                    |                                         |                                                                  |
| <b>b</b>                                                          | Sundry                                       | 611710                                                                                                                             | 11,702,585                | 11,702,585           |                                                    |                                         |                                                                  |
| <b>c</b>                                                          |                                              |                                                                                                                                    |                           |                      |                                                    |                                         |                                                                  |
| <b>d</b>                                                          | All other revenue                            |                                                                                                                                    |                           |                      |                                                    |                                         |                                                                  |
| <b>e</b>                                                          | <b>Total.</b> Add lines 11a-11d              |                                                                                                                                    | 30,919,977                |                      |                                                    |                                         |                                                                  |
| <b>12</b>                                                         | <b>Total revenue.</b> See instructions.      |                                                                                                                                    | 267,345,221               | 174,795,193          |                                                    | 6,794,182                               |                                                                  |

**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)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------|----------------------------------------|-----------------------------|
| <b>1</b> Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21                                                                                                                                    | -                     | -                               | -                                      | -                           |
| <b>2</b> Grants and other assistance to domestic individuals. See Part IV, line 22                                                                                                                                                               | 240,137               | 240,137                         | -                                      | -                           |
| <b>3</b> Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16                                                                                                        | 15,566,865            | 15,566,865                      | -                                      | -                           |
| <b>4</b> Benefits paid to or for members                                                                                                                                                                                                         | -                     | -                               | -                                      | -                           |
| <b>5</b> Compensation of current officers, directors, trustees, and key employees                                                                                                                                                                | 1,790,199             | 609,050                         | 1,181,149                              | -                           |
| <b>6</b> Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)                                                                                           | -                     | -                               | -                                      | -                           |
| <b>7</b> Other salaries and wages                                                                                                                                                                                                                | 136,134,771           | 116,017,166                     | 18,367,437                             | 1,750,169                   |
| <b>8</b> Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)                                                                                                                                      | 15,948,765            | 13,485,913                      | 2,260,474                              | 202,378                     |
| <b>9</b> Other employee benefits                                                                                                                                                                                                                 | 4,950,482             | 4,186,015                       | 701,649                                | 62,818                      |
| <b>10</b> Payroll taxes                                                                                                                                                                                                                          | 5,781,819             | 4,888,974                       | 819,477                                | 73,368                      |
| <b>11</b> Fees for services (non-employees).                                                                                                                                                                                                     |                       |                                 |                                        |                             |
| <b>a</b> Management                                                                                                                                                                                                                              | -                     | -                               | -                                      | -                           |
| <b>b</b> Legal                                                                                                                                                                                                                                   | 670,609               | 55,279                          | 594,434                                | 20,896                      |
| <b>c</b> Accounting                                                                                                                                                                                                                              | 136,149               | 1,041                           | 135,108                                | -                           |
| <b>d</b> Lobbying                                                                                                                                                                                                                                | -                     | -                               | -                                      | -                           |
| <b>e</b> Professional fundraising services. See Part IV, line 17                                                                                                                                                                                 | -                     | -                               | -                                      | -                           |
| <b>f</b> Investment management fees                                                                                                                                                                                                              | 74,359                | -                               | 74,359                                 | -                           |
| <b>g</b> Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)                                                                                                                             | 3,608,015             | 1,183,018                       | 2,423,120                              | 1,877                       |
| <b>12</b> Advertising and promotion                                                                                                                                                                                                              | 1,973,852             | 1,133,858                       | 29,702                                 | 810,291                     |
| <b>13</b> Office expenses                                                                                                                                                                                                                        | 1,649,303             | 771,610                         | 842,277                                | 35,416                      |
| <b>14</b> Information technology                                                                                                                                                                                                                 | 2,010,181             | 1,058,833                       | 831,774                                | 119,574                     |
| <b>15</b> Royalties                                                                                                                                                                                                                              | -                     | -                               | -                                      | -                           |
| <b>16</b> Occupancy                                                                                                                                                                                                                              | 11,998,895            | 3,672,947                       | 8,304,630                              | 21,318                      |
| <b>17</b> Travel                                                                                                                                                                                                                                 | 2,879,153             | 2,668,266                       | 170,244                                | 40,643                      |
| <b>18</b> Payments of travel or entertainment expenses for any federal, state, or local public officials                                                                                                                                         | -                     | -                               | -                                      | -                           |
| <b>19</b> Conferences, conventions, and meetings                                                                                                                                                                                                 | 475,159               | 412,370                         | 46,642                                 | 16,147                      |
| <b>20</b> Interest                                                                                                                                                                                                                               | 5,705,853             | 2,802,580                       | 2,903,273                              | -                           |
| <b>21</b> Payments to affiliates                                                                                                                                                                                                                 | -                     | -                               | -                                      | -                           |
| <b>22</b> Depreciation, depletion, and amortization                                                                                                                                                                                              | 14,858,240            | 268,457                         | 14,584,269                             | 5,514                       |
| <b>23</b> Insurance                                                                                                                                                                                                                              | 818,982               | 134,188                         | 684,794                                | -                           |
| <b>24</b> 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.)                                      |                       |                                 |                                        |                             |
| <b>a</b> Other operating supplies                                                                                                                                                                                                                | 9,845,088             | 9,319,106                       | 496,999                                | 28,983                      |
| <b>b</b> Membership dues                                                                                                                                                                                                                         | 844,509               | 686,170                         | 91,199                                 | 67,140                      |
| <b>c</b> Research                                                                                                                                                                                                                                | 9,884,595             | 9,884,595                       | -                                      | -                           |
| <b>d</b> Cost of sales reported with Revenue                                                                                                                                                                                                     | (4,848,934)           | (4,848,934)                     | -                                      | -                           |
| <b>e</b> All other expenses. Miscellaneous                                                                                                                                                                                                       | 8,891,714             | 5,048,174                       | 3,681,420                              | 162,075                     |
| <b>25</b> Total functional expenses. Add lines 1 through 24e                                                                                                                                                                                     | 251,888,717           | 189,245,679                     | 59,224,431                             | 3,418,606                   |
| <b>26</b> Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720) |                       |                                 |                                        |                             |

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

|                                                                                      |                                                                                                                                                                                                                                                                                                                                                  | (A)<br>Beginning of year |             | (B)<br>End of year |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------|--------------------|
| <b>Assets</b>                                                                        | <b>1</b> Cash—non-interest-bearing . . . . .                                                                                                                                                                                                                                                                                                     |                          | <b>1</b>    |                    |
|                                                                                      | <b>2</b> Savings and temporary cash investments . . . . .                                                                                                                                                                                                                                                                                        | 33,076,203               | <b>2</b>    | 40,435,290         |
|                                                                                      | <b>3</b> Pledges and grants receivable, net . . . . .                                                                                                                                                                                                                                                                                            | 2,297,437                | <b>3</b>    | 4,763,417          |
|                                                                                      | <b>4</b> Accounts receivable, net . . . . .                                                                                                                                                                                                                                                                                                      | 15,494,511               | <b>4</b>    | 18,218,474         |
|                                                                                      | <b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .                                                                                                                                                           |                          | <b>5</b>    |                    |
|                                                                                      | <b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . . |                          | <b>6</b>    |                    |
|                                                                                      | <b>7</b> Notes and loans receivable, net . . . . .                                                                                                                                                                                                                                                                                               |                          | <b>7</b>    |                    |
|                                                                                      | <b>8</b> Inventories for sale or use . . . . .                                                                                                                                                                                                                                                                                                   | 1,294,506                | <b>8</b>    | 857,010            |
|                                                                                      | <b>9</b> Prepaid expenses and deferred charges . . . . .                                                                                                                                                                                                                                                                                         | 139,927                  | <b>9</b>    | 309,303            |
|                                                                                      | <b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D                                                                                                                                                                                                                                                   | <b>10a</b> 554,719,582   |             |                    |
|                                                                                      | <b>b</b> Less: accumulated depreciation . . . . .                                                                                                                                                                                                                                                                                                | <b>10b</b> (240,328,580) | <b>10c</b>  | 314,391,002        |
|                                                                                      | <b>11</b> Investments—publicly traded securities . . . . .                                                                                                                                                                                                                                                                                       | 111,879,162              | <b>11</b>   | 118,677,187        |
|                                                                                      | <b>12</b> Investments—other securities. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                                                           |                          | <b>12</b>   |                    |
|                                                                                      | <b>13</b> Investments—program-related. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                                                            |                          | <b>13</b>   |                    |
|                                                                                      | <b>14</b> Intangible assets . . . . .                                                                                                                                                                                                                                                                                                            |                          | <b>14</b>   | 807,927            |
|                                                                                      | <b>15</b> Other assets. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                                                                           | 8,479,125                | <b>15</b>   |                    |
| <b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . . | 451,389,178                                                                                                                                                                                                                                                                                                                                      | <b>16</b>                | 498,459,610 |                    |
| <b>Liabilities</b>                                                                   | <b>17</b> Accounts payable and accrued expenses . . . . .                                                                                                                                                                                                                                                                                        | 17,002,937               | <b>17</b>   | 26,037,522         |
|                                                                                      | <b>18</b> Grants payable . . . . .                                                                                                                                                                                                                                                                                                               |                          | <b>18</b>   |                    |
|                                                                                      | <b>19</b> Deferred revenue . . . . .                                                                                                                                                                                                                                                                                                             | 165,602,258              | <b>19</b>   | 184,779,926        |
|                                                                                      | <b>20</b> Tax-exempt bond liabilities . . . . .                                                                                                                                                                                                                                                                                                  |                          | <b>20</b>   |                    |
|                                                                                      | <b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .                                                                                                                                                                                                                                                        |                          | <b>21</b>   |                    |
|                                                                                      | <b>22</b> 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 . . . . .                                                                                                                                         |                          | <b>22</b>   |                    |
|                                                                                      | <b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .                                                                                                                                                                                                                                                               | 107,128,244              | <b>23</b>   | 112,664,093        |
|                                                                                      | <b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .                                                                                                                                                                                                                                                                 |                          | <b>24</b>   |                    |
|                                                                                      | <b>25</b> 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 . . . . .                                                                                                                                                        | 17,970,703               | <b>25</b>   | 26,078,035         |
|                                                                                      | <b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 . . . . .                                                                                                                                                                                                                                                                            | 307,704,142              | <b>26</b>   | 349,559,576        |
| <b>Net Assets or Fund Balances</b>                                                   | <b>Organizations that follow SFAS 117 (ASC 958), check here</b> <input type="checkbox"/> <b>and complete lines 27 through 29, and lines 33 and 34.</b>                                                                                                                                                                                           |                          |             |                    |
|                                                                                      | <b>27</b> Unrestricted net assets . . . . .                                                                                                                                                                                                                                                                                                      | 33,701                   | <b>27</b>   | 43,630             |
|                                                                                      | <b>28</b> Temporarily restricted net assets . . . . .                                                                                                                                                                                                                                                                                            | 28,361,183               | <b>28</b>   | 37,599,366         |
|                                                                                      | <b>29</b> Permanently restricted net assets . . . . .                                                                                                                                                                                                                                                                                            | 115,290,152              | <b>29</b>   | 111,257,038        |
|                                                                                      | <b>Organizations that do not follow SFAS 117 (ASC 958), check here</b> <input type="checkbox"/> <b>and complete lines 30 through 34.</b>                                                                                                                                                                                                         |                          |             |                    |
|                                                                                      | <b>30</b> Capital stock or trust principal, or current funds . . . . .                                                                                                                                                                                                                                                                           |                          | <b>30</b>   |                    |
|                                                                                      | <b>31</b> Paid-in or capital surplus, or land, building, or equipment fund . . . . .                                                                                                                                                                                                                                                             |                          | <b>31</b>   |                    |
|                                                                                      | <b>32</b> Retained earnings, endowment, accumulated income, or other funds . . . . .                                                                                                                                                                                                                                                             |                          | <b>32</b>   |                    |
|                                                                                      | <b>33</b> Total net assets or fund balances . . . . .                                                                                                                                                                                                                                                                                            | 143,685,036              | <b>33</b>   | 148,900,034        |
| <b>34</b> Total liabilities and net assets/fund balances . . . . .                   | 451,389,178                                                                                                                                                                                                                                                                                                                                      | <b>34</b>                | 498,459,610 |                    |

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI ☒

|           |                                                                                                                |           |             |
|-----------|----------------------------------------------------------------------------------------------------------------|-----------|-------------|
| <b>1</b>  | Total revenue (must equal Part VIII, column (A), line 12)                                                      | <b>1</b>  | 267,345,221 |
| <b>2</b>  | Total expenses (must equal Part IX, column (A), line 25)                                                       | <b>2</b>  | 251,888,717 |
| <b>3</b>  | Revenue less expenses. Subtract line 2 from line 1                                                             | <b>3</b>  | 15,456,504  |
| <b>4</b>  | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))                      | <b>4</b>  | 143,685,034 |
| <b>5</b>  | Net unrealized gains (losses) on investments                                                                   | <b>5</b>  | (1,703,167) |
| <b>6</b>  | Donated services and use of facilities                                                                         | <b>6</b>  | -           |
| <b>7</b>  | Investment expenses                                                                                            | <b>7</b>  | -           |
| <b>8</b>  | Prior period adjustments                                                                                       | <b>8</b>  | -           |
| <b>9</b>  | Other changes in net assets or fund balances (explain in Schedule O)                                           | <b>9</b>  | (8,538,337) |
| <b>10</b> | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | <b>10</b> | 148,900,034 |

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

|                                                                                                                                                                                                                                                                                                                                                                                                                                     | Yes                                 | No                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| <b>1</b> Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____<br>If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.                                                                                                                                        |                                     |                                     |
| <b>2a</b> Were the organization's financial statements compiled or reviewed by an independent accountant?<br>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:<br><input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis |                                     | <input checked="" type="checkbox"/> |
| <b>b</b> Were the organization's financial statements audited by an independent accountant?<br>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.<br><input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis                 | <input checked="" type="checkbox"/> |                                     |
| <b>c</b> 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?<br>If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.                                                                      | <input checked="" type="checkbox"/> |                                     |
| <b>3a</b> 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?                                                                                                                                                                                                                                                                  |                                     | <input checked="" type="checkbox"/> |
| <b>b</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.                                                                                                                                                                                                      |                                     |                                     |

**SCHEDULE A**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization

Brock University

Employer identification number

98 0052780

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

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

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 ☒ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).) 02
- 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<br>(described on lines 1–10<br>above (see instructions)) | (iv) Is the organization<br>listed in your governing<br>document? |    | (v) Amount of monetary<br>support (see<br>instructions) | (vi) Amount of<br>other support (see<br>instructions) |
|------------------------------------|----------|-------------------------------------------------------------------------------------|-------------------------------------------------------------------|----|---------------------------------------------------------|-------------------------------------------------------|
|                                    |          |                                                                                     | Yes                                                               | No |                                                         |                                                       |
| (A)                                |          |                                                                                     |                                                                   |    |                                                         |                                                       |
| (B)                                |          |                                                                                     |                                                                   |    |                                                         |                                                       |
| (C)                                |          |                                                                                     |                                                                   |    |                                                         |                                                       |
| (D)                                |          |                                                                                     |                                                                   |    |                                                         |                                                       |
| (E)                                |          |                                                                                     |                                                                   |    |                                                         |                                                       |
| <b>Total</b>                       |          |                                                                                     |                                                                   |    |                                                         |                                                       |

**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) 2013    | (b) 2014   | (c) 2015   | (d) 2016   | (e) 2017   | (f) Total   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|------------|------------|------------|------------|-------------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .                                                                                                 | 102,860,683 | 89,827,082 | 74,219,451 | 80,893,533 | 85,755,846 | 433,556,595 |
| <b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .                                                                                                    |             |            |            |            |            |             |
| <b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .                                                                                            |             |            |            |            |            |             |
| <b>4 Total.</b> Add lines 1 through 3. . . . .                                                                                                                                                                        | 102,860,683 | 89,827,082 | 74,219,451 | 80,893,533 | 85,755,846 | 433,556,595 |
| <b>5</b> 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). . . . . |             |            |            |            |            | 50,402,102  |
| <b>6 Public support.</b> Subtract line 5 from line 4 . . . . .                                                                                                                                                        |             |            |            |            |            | 383,158,304 |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►                                                                                                                                                                                     | (a) 2013    | (b) 2014   | (c) 2015   | (d) 2016   | (e) 2017   | (f) Total   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|------------|------------|------------|------------|-------------|
| <b>7</b> Amounts from line 4 . . . . .                                                                                                                                                                                            | 102,860,683 | 89,827,082 | 74,219,451 | 80,893,533 | 87,755,846 | 433,556,595 |
| <b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources . . . . .                                                                                | 5,965,884   | 4,133,001  | 4,385,522  | 3,657,690  | 7,023,400  | 25,165,497  |
| <b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .                                                                                                             | -           | -          | 3,343      | -          | -          | 3,343       |
| <b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .                                                                                                               | -           | -          | -          | -          | -          | -           |
| <b>11 Total support.</b> Add lines 7 through 10 . . . . .                                                                                                                                                                         |             |            |            |            |            | 458,725,435 |
| <b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .                                                                                                                                               |             |            |            |            | <b>12</b>  | 821,605,603 |
| <b>13 First five years.</b> 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 <b>stop here</b> . . . . . <input type="checkbox"/> |             |            |            |            |            |             |

**Section C. Computation of Public Support Percentage**

|                                                                                                                                                                                                                                                                                                                                                                                                                                               |           |         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>14</b> Public support percentage for 2017 (line 6, column (f) divided by line 11, column (f)) . . . . .                                                                                                                                                                                                                                                                                                                                    | <b>14</b> | 83.53 % |
| <b>15</b> Public support percentage from 2016 Schedule A, Part II, line 14 . . . . .                                                                                                                                                                                                                                                                                                                                                          | <b>15</b> | 84.89 % |
| <b>16a 33 1/3% support test—2017.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . <input checked="" type="checkbox"/>                                                                                                                                                                |           |         |
| <b>b 33 1/3% support test—2016.</b> 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 <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . <input type="checkbox"/>                                                                                                                                                                        |           |         |
| <b>17a 10%-facts-and-circumstances test—2017.</b> 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 <b>stop here.</b> 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>b 10%-facts-and-circumstances test—2016.</b> 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 <b>stop here.</b> 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>18 Private foundation.</b> 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"/>                                                                                                                                                                                                                                                               |           |         |

**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) 2013 | (b) 2014 | (c) 2015 | (d) 2016 | (e) 2017 | (f) Total |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| <b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")                                                                       |          |          |          |          |          |           |
| <b>2</b> 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 |          |          |          |          |          |           |
| <b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513                                                                             |          |          |          |          |          |           |
| <b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf                                                                          |          |          |          |          |          |           |
| <b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge                                                                  |          |          |          |          |          |           |
| <b>6 Total.</b> Add lines 1 through 5.                                                                                                                                            |          |          |          |          |          |           |
| <b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons                                                                                                |          |          |          |          |          |           |
| <b>b</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           |          |          |          |          |          |           |
| <b>c</b> Add lines 7a and 7b                                                                                                                                                      |          |          |          |          |          |           |
| <b>8 Public support.</b> (Subtract line 7c from line 6.)                                                                                                                          |          |          |          |          |          |           |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►                                                                                                                                                                           | (a) 2013 | (b) 2014 | (c) 2015 | (d) 2016 | (e) 2017 | (f) Total |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| <b>9</b> Amounts from line 6                                                                                                                                                                                            |          |          |          |          |          |           |
| <b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources                                                                              |          |          |          |          |          |           |
| <b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975                                                                                                        |          |          |          |          |          |           |
| <b>c</b> Add lines 10a and 10b                                                                                                                                                                                          |          |          |          |          |          |           |
| <b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on                                                                                   |          |          |          |          |          |           |
| <b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)                                                                                                               |          |          |          |          |          |           |
| <b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.)                                                                                                                                                                |          |          |          |          |          |           |
| <b>14 First five years.</b> 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 <b>stop here</b> <input type="checkbox"/> |          |          |          |          |          |           |

**Section C. Computation of Public Support Percentage**

|                                                                                                  |           |   |
|--------------------------------------------------------------------------------------------------|-----------|---|
| <b>15</b> Public support percentage for 2017 (line 8, column (f) divided by line 13, column (f)) | <b>15</b> | % |
| <b>16</b> Public support percentage from 2016 Schedule A, Part III, line 15                      | <b>16</b> | % |

**Section D. Computation of Investment Income Percentage**

|                                                                                                       |           |   |
|-------------------------------------------------------------------------------------------------------|-----------|---|
| <b>17</b> Investment income percentage for 2017 (line 10c, column (f) divided by line 13, column (f)) | <b>17</b> | % |
| <b>18</b> Investment income percentage from 2016 Schedule A, Part III, line 17                        | <b>18</b> | % |

- 19a 33 1/3% support tests—2017.** 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—2016.** 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 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.                                                                                                                                                                                                                 |     |    |
| <b>2</b> 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 <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2).                                                                                                                                                                                                                                              |     |    |
| <b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.                                                                                                                                                                                                                                                                                                                                                                                               |     |    |
| <b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in <b>Part VI</b> when and how the organization made the determination.                                                                                                                                                                                                                                                            |     |    |
| <b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in <b>Part VI</b> what controls the organization put in place to ensure such use.                                                                                                                                                                                                                                                                                                     |     |    |
| <b>4a</b> 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.                                                                                                                                                                                                                                                                                                                                                |     |    |
| <b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.                                                                                                                                                                                                         |     |    |
| <b>c</b> 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 <b>Part VI</b> 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.                                                                                                                                                                            |     |    |
| <b>5a</b> 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 <b>Part VI</b> , 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). |     |    |
| <b>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?                                                                                                                                                                                                                                                                                                                                                                   |     |    |
| <b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?                                                                                                                                                                                                                                                                                                                                                                                                                          |     |    |
| <b>6</b> 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 <b>Part VI</b> .                                                          |     |    |
| <b>7</b> 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).                                                                                                                                                                                               |     |    |
| <b>8</b> 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).                                                                                                                                                                                                                                                                                                                                                      |     |    |
| <b>9a</b> 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 <b>Part VI</b> .                                                                                                                                                                                                                                      |     |    |
| <b>b</b> 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 <b>Part VI</b> .                                                                                                                                                                                                                                                                                                                          |     |    |
| <b>c</b> 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 <b>Part VI</b> .                                                                                                                                                                                                                                                                                               |     |    |
| <b>10a</b> 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.                                                                                                                                                                                                                                                           |     |    |
| <b>b</b> Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)                                                                                                                                                                                                                                                                                                                                                           |     |    |

**Part IV Supporting Organizations (continued)****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**.

|            | Yes | No |
|------------|-----|----|
| <b>11a</b> |     |    |
| <b>11b</b> |     |    |
| <b>11c</b> |     |    |

**Section B. Type I Supporting Organizations**

- 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.

|          | Yes | No |
|----------|-----|----|
| <b>1</b> |     |    |
| <b>2</b> |     |    |

**Section C. Type II Supporting Organizations**

- 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).

|          | Yes | No |
|----------|-----|----|
| <b>1</b> |     |    |

**Section D. All Type III Supporting Organizations**

- 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.

|          | Yes | No |
|----------|-----|----|
| <b>1</b> |     |    |
| <b>2</b> |     |    |
| <b>3</b> |     |    |

**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** ☐ The organization satisfied the Activities Test. Complete **line 2** below.
- b** ☐ The organization is the parent of each of its supported organizations. Complete **line 3** below.
- c** ☐ 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

|           | Yes | No |
|-----------|-----|----|
| <b>2a</b> |     |    |
| <b>2b</b> |     |    |
| <b>3a</b> |     |    |
| <b>3b</b> |     |    |

**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.

| <b>Section A - Adjusted Net Income</b>                                                                                                                                                                            |           | (A) Prior Year | (B) Current Year (optional) |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------------|-----------------------------|
| <b>1</b> Net short-term capital gain                                                                                                                                                                              | <b>1</b>  |                |                             |
| <b>2</b> Recoveries of prior-year distributions                                                                                                                                                                   | <b>2</b>  |                |                             |
| <b>3</b> Other gross income (see instructions)                                                                                                                                                                    | <b>3</b>  |                |                             |
| <b>4</b> Add lines 1 through 3.                                                                                                                                                                                   | <b>4</b>  |                |                             |
| <b>5</b> Depreciation and depletion                                                                                                                                                                               | <b>5</b>  |                |                             |
| <b>6</b> 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) | <b>6</b>  |                |                             |
| <b>7</b> Other expenses (see instructions)                                                                                                                                                                        | <b>7</b>  |                |                             |
| <b>8 Adjusted Net Income</b> (subtract lines 5, 6, and 7 from line 4).                                                                                                                                            | <b>8</b>  |                |                             |
| <b>Section B - Minimum Asset Amount</b>                                                                                                                                                                           |           | (A) Prior Year | (B) Current Year (optional) |
| <b>1</b> Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):                                                                          |           |                |                             |
| <b>a</b> Average monthly value of securities                                                                                                                                                                      | <b>1a</b> |                |                             |
| <b>b</b> Average monthly cash balances                                                                                                                                                                            | <b>1b</b> |                |                             |
| <b>c</b> Fair market value of other non-exempt-use assets                                                                                                                                                         | <b>1c</b> |                |                             |
| <b>d Total</b> (add lines 1a, 1b, and 1c)                                                                                                                                                                         | <b>1d</b> |                |                             |
| <b>e Discount</b> claimed for blockage or other factors (explain in detail in <b>Part VI</b> ):                                                                                                                   |           |                |                             |
| <b>2</b> Acquisition indebtedness applicable to non-exempt-use assets                                                                                                                                             | <b>2</b>  |                |                             |
| <b>3</b> Subtract line 2 from line 1d.                                                                                                                                                                            | <b>3</b>  |                |                             |
| <b>4</b> Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions)                                                                                                           | <b>4</b>  |                |                             |
| <b>5</b> Net value of non-exempt-use assets (subtract line 4 from line 3)                                                                                                                                         | <b>5</b>  |                |                             |
| <b>6</b> Multiply line 5 by .035                                                                                                                                                                                  | <b>6</b>  |                |                             |
| <b>7</b> Recoveries of prior-year distributions                                                                                                                                                                   | <b>7</b>  |                |                             |
| <b>8 Minimum Asset Amount</b> (add line 7 to line 6)                                                                                                                                                              | <b>8</b>  |                |                             |
| <b>Section C - Distributable Amount</b>                                                                                                                                                                           |           |                | Current Year                |
| <b>1</b> Adjusted net income for prior year (from Section A, line 8, Column A)                                                                                                                                    | <b>1</b>  |                |                             |
| <b>2</b> Enter 85% of line 1.                                                                                                                                                                                     | <b>2</b>  |                |                             |
| <b>3</b> Minimum asset amount for prior year (from Section B, line 8, Column A)                                                                                                                                   | <b>3</b>  |                |                             |
| <b>4</b> Enter greater of line 2 or line 3.                                                                                                                                                                       | <b>4</b>  |                |                             |
| <b>5</b> Income tax imposed in prior year                                                                                                                                                                         | <b>5</b>  |                |                             |
| <b>6 Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).                                                                                   | <b>6</b>  |                |                             |
| <b>7</b> <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).                                |           |                |                             |

**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 <b>Part VI</b> ). See instructions.                                                                               |              |  |
| 7                         | <b>Total annual distributions.</b> Add lines 1 through 6                                                                                           |              |  |
| 8                         | Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ). See instructions. |              |  |
| 9                         | Distributable amount for 2017 from Section C, line 6                                                                                               |              |  |
| 10                        | Line 8 amount divided by line 9 amount                                                                                                             |              |  |

  

| Section E - Distribution Allocations (see instructions)                                                                                                                           | (i)<br>Excess Distributions | (ii)<br>Underdistributions<br>Pre-2017 | (iii)<br>Distributable<br>Amount for 2017 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|----------------------------------------|-------------------------------------------|
| 1 Distributable amount for 2017 from Section C, line 6                                                                                                                            |                             |                                        |                                           |
| 2 Underdistributions, if any, for years prior to 2017 (reasonable cause required—explain in <b>Part VI</b> ). See instructions.                                                   |                             |                                        |                                           |
| 3 Excess distributions carryover, if any, to 2017                                                                                                                                 |                             |                                        |                                           |
| a                                                                                                                                                                                 |                             |                                        |                                           |
| b From 2013                                                                                                                                                                       |                             |                                        |                                           |
| c From 2014                                                                                                                                                                       |                             |                                        |                                           |
| d From 2015                                                                                                                                                                       |                             |                                        |                                           |
| e From 2016                                                                                                                                                                       |                             |                                        |                                           |
| f <b>Total</b> of lines 3a through e                                                                                                                                              |                             |                                        |                                           |
| g Applied to underdistributions of prior years                                                                                                                                    |                             |                                        |                                           |
| h Applied to 2017 distributable amount                                                                                                                                            |                             |                                        |                                           |
| i Carryover from 2012 not applied (see instructions)                                                                                                                              |                             |                                        |                                           |
| j Remainder Subtract lines 3g, 3h, and 3i from 3f.                                                                                                                                |                             |                                        |                                           |
| 4 Distributions for 2017 from Section D, line 7: \$                                                                                                                               |                             |                                        |                                           |
| a Applied to underdistributions of prior years                                                                                                                                    |                             |                                        |                                           |
| b Applied to 2017 distributable amount                                                                                                                                            |                             |                                        |                                           |
| c Remainder Subtract lines 4a and 4b from 4                                                                                                                                       |                             |                                        |                                           |
| 5 Remaining underdistributions for years prior to 2017, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in <b>Part VI</b> . See instructions. |                             |                                        |                                           |
| 6 Remaining underdistributions for 2017. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in <b>Part VI</b> . See instructions.                        |                             |                                        |                                           |
| 7 <b>Excess distributions carryover to 2018.</b> Add lines 3j and 4c.                                                                                                             |                             |                                        |                                           |
| 8 Breakdown of line 7.                                                                                                                                                            |                             |                                        |                                           |
| a Excess from 2013                                                                                                                                                                |                             |                                        |                                           |
| b Excess from 2014                                                                                                                                                                |                             |                                        |                                           |
| c Excess from 2015                                                                                                                                                                |                             |                                        |                                           |
| d Excess from 2016                                                                                                                                                                |                             |                                        |                                           |
| e Excess from 2017                                                                                                                                                                |                             |                                        |                                           |

**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 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.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**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).<br><input type="checkbox"/> Preservation of land for public use (e.g., recreation or education) <input type="checkbox"/> Preservation of a historically important land area<br><input type="checkbox"/> Protection of natural habitat <input type="checkbox"/> Preservation of a certified historic structure<br><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.                                                                                                                                                                                                                                                                                        |    |
| 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 7/25/06, 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? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> 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)? . . . . . <input type="checkbox"/> Yes <input type="checkbox"/> 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 . . . . .                                                                                                                                                                                                                                                                                                                            | ▶ \$ 33,617 |
| (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 . . . . .                                                                                                                                                                                                                                                                                                                                          | ▶ \$        |

**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:

|                                        | Amount    |
|----------------------------------------|-----------|
| <b>c</b> Beginning balance             | <b>1c</b> |
| <b>d</b> Additions during the year     | <b>1d</b> |
| <b>e</b> Distributions during the year | <b>1e</b> |
| <b>f</b> Ending balance                | <b>1f</b> |

**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 |
|---------------------------------------------------------|------------------|----------------|--------------------|----------------------|---------------------|
| <b>1a</b> Beginning of year balance                     | 70,543,728       | 64,830,688     | 66,252,924         | 70,276,657           | 63,583,396          |
| <b>b</b> Contributions                                  | 1,004,525        | 1,243,488      | 959,106            | (673,710)            | 3,056,892           |
| <b>c</b> Net investment earnings, gains, and losses     | 3,236,413        | 8,390,934      | 1,918,764          | 8,055,453            | 8,448,306           |
| <b>d</b> Grants or scholarships                         | (1,891,877)      | (1,654,807)    | (1,783,593)        | (1,568,835)          | (1,392,988)         |
| <b>e</b> Other expenditures for facilities and programs |                  |                |                    |                      |                     |
| <b>f</b> Administrative expenses                        | 2,423,598        | (2,266,575)    | (2,516,513)        | (9,836,641)          | (3,418,949)         |
| <b>g</b> End of year balance                            | 75,316,387       | 70,543,728     | 64,830,688         | 66,252,924           | 70,276,657          |

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

**a** Board designated or quasi-endowment ☒ 75.00%

**b** Permanent endowment ☒ 92.50%

**c** Temporarily restricted endowment ☒ 0.00%

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                                  |
|---------------|-----|-------------------------------------|
| <b>3a(i)</b>  |     | <input checked="" type="checkbox"/> |
| <b>3a(ii)</b> |     | <input checked="" type="checkbox"/> |
| <b>3b</b>     |     |                                     |

**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 |
|--------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------|------------------------------|----------------|
| <b>1a</b> Land                                                                                         | 25,320,750                           | 20,554,969                      |                              | 45,875,719     |
| <b>b</b> Buildings                                                                                     | 4,736,666                            | 325,875,589                     | 138,218,716                  | 192,393,539    |
| <b>c</b> Leasehold improvements                                                                        |                                      | 92,616,639                      | 34,716,966                   | 57,899,673     |
| <b>d</b> Equipment                                                                                     |                                      | 37,050,675                      | 23,218,178                   | 13,832,497     |
| <b>e</b> Other                                                                                         |                                      | 48,564,294                      | 44,174,720                   | 4,389,574      |
| <b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) |                                      |                                 |                              | 314,391,002    |

**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<br>(including name of security) | (b) Book value | (c) Method of valuation<br>Cost or end-of-year market value |
|-------------------------------------------------------------------------|----------------|-------------------------------------------------------------|
| (1) Financial derivatives                                               |                |                                                             |
| (2) Closely-held equity interests                                       |                |                                                             |
| (3) Other                                                               |                |                                                             |
| (A)                                                                     |                |                                                             |
| (B)                                                                     |                |                                                             |
| (C)                                                                     |                |                                                             |
| (D)                                                                     |                |                                                             |
| (E)                                                                     |                |                                                             |
| (F)                                                                     |                |                                                             |
| (G)                                                                     |                |                                                             |
| (H)                                                                     |                |                                                             |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 12.) ▶    |                |                                                             |

**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<br>Cost or end-of-year market value |
|----------------------------------------------------------------------|----------------|-------------------------------------------------------------|
| (1)                                                                  |                |                                                             |
| (2)                                                                  |                |                                                             |
| (3)                                                                  |                |                                                             |
| (4)                                                                  |                |                                                             |
| (5)                                                                  |                |                                                             |
| (6)                                                                  |                |                                                             |
| (7)                                                                  |                |                                                             |
| (8)                                                                  |                |                                                             |
| (9)                                                                  |                |                                                             |
| Total. (Column (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)                                                                  |                |
| (2)                                                                  |                |
| (3)                                                                  |                |
| (4)                                                                  |                |
| (5)                                                                  |                |
| (6)                                                                  |                |
| (7)                                                                  |                |
| (8)                                                                  |                |
| (9)                                                                  |                |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶ |                |

**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) Accrued Benefit Obligation                                       | 26,078,035     |
| (3)                                                                  |                |
| (4)                                                                  |                |
| (5)                                                                  |                |
| (6)                                                                  |                |
| (7)                                                                  |                |
| (8)                                                                  |                |
| (9)                                                                  |                |
| Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶ |                |
|                                                                      | 26,078,035     |

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 ☐

**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.

|          |                                                                                                          |           |              |
|----------|----------------------------------------------------------------------------------------------------------|-----------|--------------|
| <b>1</b> | Total revenue, gains, and other support per audited financial statements . . . . .                       | <b>1</b>  | 252,718,671  |
| <b>2</b> | Amounts included on line 1 but not on Form 990, Part VIII, line 12:                                      |           |              |
| <b>a</b> | Net unrealized gains (losses) on investments . . . . .                                                   | <b>2a</b> | (1,703,167)  |
| <b>b</b> | Donated services and use of facilities . . . . .                                                         | <b>2b</b> | -            |
| <b>c</b> | Recoveries of prior year grants . . . . .                                                                | <b>2c</b> | -            |
| <b>d</b> | Other (Describe in Part XIII.) . . . . .                                                                 | <b>2d</b> | (17,772,317) |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b> . . . . .                                                          | <b>2e</b> | (19,475,484) |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b> . . . . .                                                     | <b>3</b>  | 272,194,155  |
| <b>4</b> | Amounts included on Form 990, Part VIII, line 12, but not on line 1:                                     |           |              |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                               | <b>4a</b> | -            |
| <b>b</b> | Other (Describe in Part XIII.) . . . . .                                                                 | <b>4b</b> | (4,848,934)  |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b> . . . . .                                                              | <b>4c</b> | (4,848,934)  |
| <b>5</b> | Total revenue. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 12.) . . . . . | <b>5</b>  | 267,345,221  |

**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.

|          |                                                                                                           |           |             |
|----------|-----------------------------------------------------------------------------------------------------------|-----------|-------------|
| <b>1</b> | Total expenses and losses per audited financial statements . . . . .                                      | <b>1</b>  | 256,737,650 |
| <b>2</b> | Amounts included on line 1 but not on Form 990, Part IX, line 25:                                         |           |             |
| <b>a</b> | Donated services and use of facilities . . . . .                                                          | <b>2a</b> | -           |
| <b>b</b> | Prior year adjustments . . . . .                                                                          | <b>2b</b> | -           |
| <b>c</b> | Other losses . . . . .                                                                                    | <b>2c</b> | -           |
| <b>d</b> | Other (Describe in Part XIII.) . . . . .                                                                  | <b>2d</b> | 4,848,934   |
| <b>e</b> | Add lines <b>2a</b> through <b>2d</b> . . . . .                                                           | <b>2e</b> | 4,848,934   |
| <b>3</b> | Subtract line <b>2e</b> from line <b>1</b> . . . . .                                                      | <b>3</b>  | 251,888,717 |
| <b>4</b> | Amounts included on Form 990, Part IX, line 25, but not on line 1:                                        |           |             |
| <b>a</b> | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .                                | <b>4a</b> | -           |
| <b>b</b> | Other (Describe in Part XIII.) . . . . .                                                                  | <b>4b</b> | -           |
| <b>c</b> | Add lines <b>4a</b> and <b>4b</b> . . . . .                                                               | <b>4c</b> | -           |
| <b>5</b> | Total expenses. Add lines <b>3</b> and <b>4c</b> . (This must equal Form 990, Part I, line 18.) . . . . . | <b>5</b>  | 251,888,717 |

**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 III, Line 1 and 4 - Contributed works of art are recorded as revenue and expense, at fair market value, at the date of contribution. Artwork

purchases are expensed as acquired. The contributed works of art enhance program delivery of many degree programs (Visual Arts, History,

Classics, Comparative Literatures &amp; Arts and Medieval and Renaissance Studies)

Part V, Line 1(f) - Administrative expenses includes the adjustment related to the change in the foreign exchange rates from the prior year

to the current year

Part V, Line 4 - the endowment funds are restricted contributions received by the University and unrestricted donations internally

designated by the Board of Trustees. The principal is required to be maintained intact. The investment income generated from the

endowment must be used in accordance with the various purposes established by donors or the Board of Trustees

Part X - The benefit obligation consists of non-pension future benefits that available to most employees and pension beneficiaries

Non-pension benefits include retiree medical and dental benefits, accumulated sick leave benefits, pre-retirement leave benefits and

for faculty only, a health care spending account

Part XI, Line 2(d) - This amount includes funds internally allocated for endowment spending ( -\$1,891,882) and increase to Employee

Future Benefits ( -\$15,880,435)

**Part XIII**   **Supplemental Information** *(continued)*

Part XI, Line 4(b) - This amount represents cost of good sold related to the campus bookstore

Part XII, Line 2(d) - This amount represents cost of good sold related to the campus bookstore

**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.  
► Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No 1545-0047

**2017**

**Open to Public Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**Part I**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | YES                                 | NO                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| 1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 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?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 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.<br>Brock University is subject to the Ontario Humans Rights code, which is a provincial law for freedom from discrimination whereby every person has a right to equal treatment without discrimination because of race, ancestry, place of origin, colour, ethnic origin, citizenship, sex, sexual orientation, age, marital status, family status or disability. See Human Rights policy available online ( <a href="http://brocku.ca/human-rights/policies-procedures">http://brocku.ca/human-rights/policies-procedures</a> ). The University publicizes its nondiscriminatory policy on its applications. | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 4 Does the organization maintain the following?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                     |                                     |
| a Records indicating the racial composition of the student body, faculty, and administrative staff?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| d Copies of all material used by the organization or on its behalf to solicit contributions?<br>If you answered "No" to any of the above, please explain. If you need more space, use Part II.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| 5 Does the organization discriminate by race in any way with respect to:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                     |                                     |
| a Students' rights or privileges?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| b Admissions policies?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| c Employment of faculty or administrative staff?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| d Scholarships or other financial assistance?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| e Educational policies?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| f Use of facilities?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| g Athletic programs?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| h Other extracurricular activities?<br>If you answered "Yes" to any of the above, please explain. If you need more space, use Part II.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| 6a Does the organization receive any financial aid or assistance from a governmental agency?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| b Has the organization's right to such aid ever been revoked or suspended?<br>If you answered "Yes" on either line 6a or line 6b, explain on Part II.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |

**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. See instructions.

Part I - Line 4a

Brock University does not engage in racially discriminatory policies. Brock University is subject to the Ontario Human Rights code, which is a provincial law for freedom from discrimination because of race, ancestry, place of origin, color, ethnic origin, citizenship, sex, sexual orientation, age, marital status, family status, or disability.

Part I - Line 4b

Brock University does not engage in racially discriminatory policies when making scholarship and financial assistance decisions. Brock University is subject to the Ontario Human Rights code, which is a provincial law for freedom from discrimination because of race, ancestry, place of origin, color, ethnic origin, citizenship, sex, sexual orientation, age, marital status, family status, or disability.

Part I - Line 6a

The University receives grants from the Canadian Federal Government and the Ontario Provincial Government.

**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.  
► Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**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 |
|---------------------------------------------------|-------------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| (1) North America                                 | 1                                   | 5,911                                                                      | Program services expense                                                                                                                           | Education & Research                                                                                   | 173,438,677                                              |
| (2) North America                                 |                                     |                                                                            | Management and General                                                                                                                             | Education & Research                                                                                   | 59,224,431                                               |
| (3) North America                                 |                                     |                                                                            | Fundraising expenses                                                                                                                               | Education & Research                                                                                   | 3,418,606                                                |
| (4) North America                                 |                                     |                                                                            | Non-US Investments                                                                                                                                 | Investment                                                                                             | 118,677,187                                              |
| (5) North America                                 |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 12,201,389                                               |
| (6) Central America/Caribbean                     |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 304,122                                                  |
| (7) East Asia and the Pacific                     |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 684,673                                                  |
| (8) Europe                                        |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 492,209                                                  |
| (9) Middle East and North Africa                  |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 506,732                                                  |
| (10) Russia and Neighboring States                |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 232,631                                                  |
| (11) South America                                |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 323,336                                                  |
| (12) South Asia                                   |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 420,115                                                  |
| (13) Sub-Saharan Africa                           |                                     |                                                                            | Program services expense                                                                                                                           | Scholarship                                                                                            | 401,658                                                  |
| (14)                                              |                                     |                                                                            |                                                                                                                                                    |                                                                                                        |                                                          |
| (15)                                              |                                     |                                                                            |                                                                                                                                                    |                                                                                                        |                                                          |
| (16)                                              |                                     |                                                                            |                                                                                                                                                    |                                                                                                        |                                                          |
| (17)                                              |                                     |                                                                            |                                                                                                                                                    |                                                                                                        |                                                          |
| <b>3a Sub-total</b>                               | <b>1</b>                            | <b>5,911</b>                                                               |                                                                                                                                                    |                                                                                                        | <b>370,325,767</b>                                       |
| <b>b Total from continuation sheets to Part I</b> |                                     |                                                                            |                                                                                                                                                    |                                                                                                        |                                                          |
| <b>c Totals (add lines 3a and 3b)</b>             | <b>1</b>                            | <b>5,911</b>                                                               |                                                                                                                                                    |                                                                                                        | <b>370,325,767</b>                                       |

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

| 1    | (a) Name of organization | (b) IRS code section and EIN (if applicable) | (c) Region | (d) Purpose of grant | (e) Amount of cash grant | (f) Manner of cash disbursement | (g) Amount of noncash assistance | (h) Description of noncash assistance | (i) Method of valuation (book, FMV, appraisal, other) |
|------|--------------------------|----------------------------------------------|------------|----------------------|--------------------------|---------------------------------|----------------------------------|---------------------------------------|-------------------------------------------------------|
| (1)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (2)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (3)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (4)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (5)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (6)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (7)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (8)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (9)  |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (10) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (11) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (12) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (13) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (14) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (15) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |
| (16) |                          |                                              |            |                      |                          |                                 |                                  |                                       |                                                       |

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

3 Enter total number of other organizations or entities . . . . . **▲**

**Part III** **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 16.  
Part III can be duplicated if additional space is needed.

| (a) Type of grant or assistance | (b) Region                | (c) Number of recipients | (d) Amount of cash grant | (e) Manner of cash disbursement | (f) Amount of noncash assistance | (g) Description of noncash assistance | (h) Method of valuation (book, FMV, appraisal, other) |
|---------------------------------|---------------------------|--------------------------|--------------------------|---------------------------------|----------------------------------|---------------------------------------|-------------------------------------------------------|
| (1) Scholarship                 | North America             | 7387                     | 12,201,389               | Cheques, EFTs                   |                                  |                                       |                                                       |
| (2) Scholarship                 | Central America/Caribbia  | 58                       | 304,122                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (3) Scholarship                 | East Asia and the Pacific | 302                      | 684,673                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (4) Scholarship                 | Europe                    | 56                       | 492,209                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (5) Scholarship                 | Middle East and North Afr | 91                       | 506,732                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (6) Scholarship                 | Russia and Neighboring    | 24                       | 232,631                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (7) Scholarship                 | South America             | 40                       | 323,336                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (8) Scholarship                 | South Asia                | 187                      | 420,115                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (9) Scholarship                 | Sub-Saharan Africa        | 161                      | 401,658                  | Cheques, EFTs                   |                                  |                                       |                                                       |
| (10)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (11)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (12)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (13)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (14)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (15)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (16)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (17)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |
| (18)                            |                           |                          |                          |                                 |                                  |                                       |                                                       |

**Part IV Foreign Forms**

- 1** Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926).* ☐ Yes ☒ No
- 2** Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to 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; don't 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; don't file with Form 990).* ☒ Yes ☐ No

**Part V** **Supplemental Information**

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

Grants are recorded upon receipt into separate general ledger accounts. The activities in these accounts are monitored and reviewed by the Office of Research Services and the Finance Department. The Office of Research Services in conjunction with the researcher assigned to each grant provide oversight of the accounts and the activity contained within.

Grants and other assistance to individuals outside the US consists of student awards and scholarships. The Office of the Registrar administers and monitors all awards and scholarships.

**SCHEDULE G  
(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information Regarding Fundraising or Gaming Activities**

Complete if the organization answered "Yes" 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.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest instructions.

OMB No 1545-0047

**2017**

Open to Public  
Inspection

Name of the organization

Brock University

Employer identification number

98 0052780

**Part I 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.

- 1** Indicate whether the organization raised funds through any of the following activities. Check all that apply.
- |                                                                    |                                                                         |
|--------------------------------------------------------------------|-------------------------------------------------------------------------|
| <b>a</b> <input type="checkbox"/> Mail solicitations               | <b>e</b> <input type="checkbox"/> Solicitation of non-government grants |
| <b>b</b> <input type="checkbox"/> Internet and email solicitations | <b>f</b> <input type="checkbox"/> Solicitation of government grants     |
| <b>c</b> <input type="checkbox"/> Phone solicitations              | <b>g</b> <input type="checkbox"/> Special fundraising events            |
| <b>d</b> <input type="checkbox"/> In-person solicitations          |                                                                         |
- 2a** Did the organization have a written or oral agreement with any individual (including officers, directors, trustees, or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☐ Yes ☐ No
- b** If "Yes," list the 10 highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization.

| (i) Name and address of individual or entity (fundraiser) | (ii) Activity | (iii) Did fundraiser have custody or control of contributions? |    | (iv) Gross receipts from activity | (v) Amount paid to (or retained by) fundraiser listed in col (i) | (vi) Amount paid to (or retained by) organization |
|-----------------------------------------------------------|---------------|----------------------------------------------------------------|----|-----------------------------------|------------------------------------------------------------------|---------------------------------------------------|
|                                                           |               | Yes                                                            | No |                                   |                                                                  |                                                   |
| 1                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 2                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 3                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 4                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 5                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 6                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 7                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 8                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 9                                                         |               |                                                                |    |                                   |                                                                  |                                                   |
| 10                                                        |               |                                                                |    |                                   |                                                                  |                                                   |

**Total** ▶

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

**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                 |
|-----------------|----------------------------------------------------------------------------------|---------------------------------|----------------------------|----------------------|----------------------------------|
|                 |                                                                                  | Golf Tournament<br>(event type) | Homecoming<br>(event type) | 37<br>(total number) | (add col (a) through<br>col (c)) |
| Revenue         | <b>1</b> Gross receipts . . . . .                                                | 60,783                          | 7,438                      | 19,068               | 87,289                           |
|                 | <b>2</b> Less: Contributions . . . . .                                           | 36,785                          | -                          | -                    | 36,785                           |
|                 | <b>3</b> Gross income (line 1 minus<br>line 2) . . . . .                         | 23,998                          | 7,438                      | 19,068               | 50,504                           |
| Direct Expenses | <b>4</b> Cash prizes . . . . .                                                   | -                               | -                          | -                    | -                                |
|                 | <b>5</b> Noncash prizes . . . . .                                                | 5,932                           | 2,807                      | 22,522               | 31,261                           |
|                 | <b>6</b> Rent/facility costs . . . . .                                           | 9,534                           | 4,181                      | 21,065               | 34,780                           |
|                 | <b>7</b> Food and beverages . . . . .                                            | 11,007                          | 12,543                     | 27,134               | 50,684                           |
|                 | <b>8</b> Entertainment . . . . .                                                 | -                               | 653                        | 10,959               | 11,612                           |
|                 | <b>9</b> Other direct expenses . . . . .                                         | 344                             | 5,840                      | 22,249               | 28,433                           |
|                 | <b>10</b> Direct expense summary. Add lines 4 through 9 in column (d) . . . . .  |                                 |                            |                      | 156,770                          |
|                 | <b>11</b> Net income summary. Subtract line 10 from line 3, column (d) . . . . . |                                 |                            |                      | (106,266)                        |

**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<br>bingo/progressive bingo                    | (c) Other gaming                                                    | (d) Total gaming (add<br>col (a) through col (c)) |
|-----------------|---------------------------------------------------------------------------------------|---------------------------------------------------------------------|---------------------------------------------------------------------|---------------------------------------------------------------------|---------------------------------------------------|
|                 |                                                                                       |                                                                     |                                                                     |                                                                     |                                                   |
| Revenue         | <b>1</b> Gross revenue . . . . .                                                      |                                                                     |                                                                     |                                                                     |                                                   |
|                 | <b>2</b> Cash prizes . . . . .                                                        |                                                                     |                                                                     |                                                                     |                                                   |
| Direct Expenses | <b>3</b> Noncash prizes . . . . .                                                     |                                                                     |                                                                     |                                                                     |                                                   |
|                 | <b>4</b> Rent/facility costs . . . . .                                                |                                                                     |                                                                     |                                                                     |                                                   |
|                 | <b>5</b> Other direct expenses . . . . .                                              |                                                                     |                                                                     |                                                                     |                                                   |
|                 | <b>6</b> Volunteer labor . . . . .                                                    | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No | <input type="checkbox"/> Yes _____ %<br><input type="checkbox"/> No |                                                   |
|                 | <b>7</b> Direct expense summary. Add lines 2 through 5 in column (d) . . . . .        |                                                                     |                                                                     |                                                                     |                                                   |
|                 | <b>8</b> 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:
- |                                      |            |   |
|--------------------------------------|------------|---|
| <b>a</b> The organization's facility | <b>13a</b> | % |
| <b>b</b> An outside facility         | <b>13b</b> | % |
- 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.

SCHEDULE I  
(Form 990)

Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States  
Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

OMB No 1545-0047

2017

Open to Public  
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Department of the Treasury  
Internal Revenue Service  
Name of the organization

► Attach to Form 990.  
► Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

Name of the organization

Employer identification number

BROCK UNIVERSITY

98 0052780

Part I General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☐ Yes ☐ No
- 2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

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

| 1 (a) Name and address of organization or government | (b) EIN | (c) IRC section (if applicable) | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of noncash assistance | (h) Purpose of grant or assistance |
|------------------------------------------------------|---------|---------------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|---------------------------------------|------------------------------------|
| (1) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (2) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (3) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (4) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (5) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (6) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (7) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (8) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (9) -----                                            |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (10) -----                                           |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (11) -----                                           |         |                                 |                          |                                   |                                                       |                                       |                                    |
| (12) -----                                           |         |                                 |                          |                                   |                                                       |                                       |                                    |

- 2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ☐
- 3 Enter total number of other organizations listed in the line 1 table ☐

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

Cat No 50055P

Schedule I (Form 990) (2017)

**Part III** **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.  
Part III can be duplicated if additional space is needed.

| (a) Type of grant or assistance | (b) Number of recipients | (c) Amount of cash grant | (d) Amount of noncash assistance | (e) Method of valuation (book, FMV, appraisal, other) | (f) Description of noncash assistance |
|---------------------------------|--------------------------|--------------------------|----------------------------------|-------------------------------------------------------|---------------------------------------|
| 1 Scholarships                  | 42                       | 240,137                  |                                  |                                                       |                                       |
| 2                               |                          |                          |                                  |                                                       |                                       |
| 3                               |                          |                          |                                  |                                                       |                                       |
| 4                               |                          |                          |                                  |                                                       |                                       |
| 5                               |                          |                          |                                  |                                                       |                                       |
| 6                               |                          |                          |                                  |                                                       |                                       |
| 7                               |                          |                          |                                  |                                                       |                                       |

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

Part 1. Line 2 - Grants and other assistance to individuals in the US consists of student awards and scholarships paid to US students. The Office of the Registrar administers and monitors

all awards and scholarships

**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.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No 1545-0047

**2017**

**Open to Public Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**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 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 checked="" 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.

|    | Yes | No |
|----|-----|----|
| 1a |     |    |
| 1b | ✓   |    |

**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?

|   |   |  |
|---|---|--|
| 2 | ✓ |  |
|---|---|--|

**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 checked="" type="checkbox"/> Written employment contract                     |
| <input 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:

- |                                                                                                |           |   |
|------------------------------------------------------------------------------------------------|-----------|---|
| <b>a</b> Receive a severance payment or change-of-control payment?                             | <b>4a</b> | ✓ |
| <b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? | <b>4b</b> | ✓ |
| <b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement?    | <b>4c</b> | ✓ |

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:

- |                                    |           |   |
|------------------------------------|-----------|---|
| <b>a</b> The organization?         | <b>5a</b> | ✓ |
| <b>b</b> Any related organization? | <b>5b</b> | ✓ |

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:

- |                                    |           |   |
|------------------------------------|-----------|---|
| <b>a</b> The organization?         | <b>6a</b> | ✓ |
| <b>b</b> Any related organization? | <b>6b</b> | ✓ |

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.

|   |  |   |
|---|--|---|
| 7 |  | ✓ |
|---|--|---|

**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.

|   |  |   |
|---|--|---|
| 8 |  | ✓ |
|---|--|---|

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

|   |  |  |
|---|--|--|
| 9 |  |  |
|---|--|--|

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

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

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

| (A) Name and Title                                  | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                                     |                                    | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) reported as deferred on prior Form 990 |
|-----------------------------------------------------|----------------------------------------------------|-------------------------------------|-------------------------------------|------------------------------------|------------------------------------------------|-------------------------|---------------------------------|-----------------------------------------------------------------------|
|                                                     | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | (iv) Other reportable compensation |                                                |                         |                                 |                                                                       |
| Brian Hutchings<br>1 VP Administration              | (i) 187,204.27                                     | (ii) -                              | (iii) 8,273.86                      | (iv) -                             | 12,566.49                                      | 4,552.28                | 212,596.91                      | -                                                                     |
| Tom Traves<br>2 Interim President & Vice-Chancellor | (i) 251,547.61                                     | (ii) -                              | (iii) 12,293.60                     | (iv) -                             | 12,566.45                                      | 4,613.47                | 281,021.14                      | -                                                                     |
| Fayez Elayan<br>3 Professor                         | (i) 252,048.99                                     | (ii) -                              | (iii) 479.92                        | (iv) -                             | 12,566.47                                      | 4,567.05                | 269,662.42                      | -                                                                     |
| Danny Cho<br>4 Professor                            | (i) 241,940.23                                     | (ii) -                              | (iii) 479.92                        | (iv) -                             | 12,566.48                                      | 4,567.05                | 259,553.67                      | -                                                                     |
| Barbara Sainty<br>5 Associate Professor             | (i) 214,242.97                                     | (ii) -                              | (iii) 765.75                        | (iv) -                             | 12,566.46                                      | 4,567.05                | 232,142.23                      | -                                                                     |
| Martin Kusy<br>6 Professor                          | (i) 212,305.26                                     | (ii) -                              | (iii) 479.92                        | (iv) -                             | -                                              | 4,567.05                | 217,352.23                      | -                                                                     |
| Jack Lightstone<br>7 Professor                      | (i) 251,547.64                                     | (ii) -                              | (iii) 382.92                        | (iv) -                             | 12,566.45                                      | 4,613.47                | 269,110.45                      | -                                                                     |
| Diane Miller<br>8 Faculty Trustee                   | (i) 149,398.64                                     | (ii) -                              | (iii) 479.92                        | (iv) -                             | 12,566.47                                      | 1,547.62                | 163,992.64                      | -                                                                     |
| Joffre Mercier<br>9 Interim VP Research             | (i) 181,608.03                                     | (ii) -                              | (iii) 8,278.99                      | (iv) -                             | 12,566.44                                      | 4,613.47                | 207,066.84                      | -                                                                     |
| Tom Dunk<br>10 Interim Provost & VP Academic        | (i) 198,307.63                                     | (ii) -                              | (iii) 8,122.08                      | (iv) -                             | 12,566.45                                      | 4,552.28                | 223,548.44                      | -                                                                     |
| Susan Sydor<br>11 Professor                         | (i) 131,134.83                                     | (ii) -                              | (iii) 479.45                        | (iv) -                             | 15,724.43                                      | 4,567.05                | 151,905.76                      | -                                                                     |
| Gary Libben<br>12 Professor                         | (i) 181,248.31                                     | (ii) -                              | (iii) 407.73                        | (iv) -                             | 12,566.48                                      | 4,597.84                | 198,820.36                      | -                                                                     |
| 13                                                  | (i) -                                              | (ii) -                              | (iii) -                             | (iv) -                             | -                                              | -                       | -                               | -                                                                     |
| 14                                                  | (i) -                                              | (ii) -                              | (iii) -                             | (iv) -                             | -                                              | -                       | -                               | -                                                                     |
| 15                                                  | (i) -                                              | (ii) -                              | (iii) -                             | (iv) -                             | -                                              | -                       | -                               | -                                                                     |
| 16                                                  | (i) -                                              | (ii) -                              | (iii) -                             | (iv) -                             | -                                              | -                       | -                               | -                                                                     |

**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 - 1a - The President of the University receives a discretionary spending account

Each Associate Vice-President and Vice-President has a professional allowance account that is used for professional development and training

Each faculty member has a professional expense reimbursement account that is used for professional development, attending conferences, training or research materials. The amount received each year is set out in the collective agreement (<http://brocku.ca/hr-ehs/collective-agreements-2>)

Part II - Amounts reported as compensation to foreign persons are for services rendered to the University outside of the United States and are not required to be reported on Forms

W-2, 1099, or 1042-S

**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.**  
▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.**

OMB No 1545-0047

**2017**

**Open to Public Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**Part I Types of Property**

|                                                                            | (a)<br>Check if<br>applicable | (b)<br>Number of contributions or<br>items contributed | (c)<br>Noncash contribution<br>amounts reported on<br>Form 990, Part VIII, line 1g | (d)<br>Method of determining<br>noncash contribution amounts |
|----------------------------------------------------------------------------|-------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------|--------------------------------------------------------------|
| 1 Art—Works of art . . . . .                                               |                               |                                                        |                                                                                    |                                                              |
| 2 Art—Historical treasures . . . . .                                       |                               |                                                        |                                                                                    |                                                              |
| 3 Art—Fractional interests . . . . .                                       |                               |                                                        |                                                                                    |                                                              |
| 4 Books and publications . . . . .                                         | ✓                             |                                                        | 18,575                                                                             | Appraised by the library                                     |
| 5 Clothing and household<br>goods . . . . .                                |                               |                                                        |                                                                                    |                                                              |
| 6 Cars and other vehicles . . . . .                                        |                               |                                                        |                                                                                    |                                                              |
| 7 Boats and planes . . . . .                                               |                               |                                                        |                                                                                    |                                                              |
| 8 Intellectual property . . . . .                                          |                               |                                                        |                                                                                    |                                                              |
| 9 Securities—Publicly traded . . . . .                                     | ✓                             | 9                                                      | 149,589                                                                            | FMV on the date of donation                                  |
| 10 Securities—Closely held stock . . . . .                                 |                               |                                                        |                                                                                    |                                                              |
| 11 Securities—Partnership, LLC,<br>or trust interests . . . . .            | ✓                             | 2                                                      | 1,579,200                                                                          | FMV on the date of donation                                  |
| 12 Securities—Miscellaneous . . . . .                                      |                               |                                                        |                                                                                    |                                                              |
| 13 Qualified conservation<br>contribution—Historic<br>structures . . . . . |                               |                                                        |                                                                                    |                                                              |
| 14 Qualified conservation<br>contribution—Other . . . . .                  |                               |                                                        |                                                                                    |                                                              |
| 15 Real estate—Residential . . . . .                                       |                               |                                                        |                                                                                    |                                                              |
| 16 Real estate—Commercial . . . . .                                        |                               |                                                        |                                                                                    |                                                              |
| 17 Real estate—Other . . . . .                                             | ✓                             | 1                                                      | 706,012                                                                            | FMV on the date of donation                                  |
| 18 Collectibles . . . . .                                                  |                               |                                                        |                                                                                    |                                                              |
| 19 Food inventory . . . . .                                                |                               |                                                        |                                                                                    |                                                              |
| 20 Drugs and medical supplies . . . . .                                    |                               |                                                        |                                                                                    |                                                              |
| 21 Taxidermy . . . . .                                                     |                               |                                                        |                                                                                    |                                                              |
| 22 Historical artifacts . . . . .                                          | ✓                             | 3                                                      | 13,423                                                                             | Appraised by the library                                     |
| 23 Scientific specimens . . . . .                                          |                               |                                                        |                                                                                    |                                                              |
| 24 Archeological artifacts . . . . .                                       |                               |                                                        |                                                                                    |                                                              |
| 25 Other ▶ ( Insurance ) . . . . .                                         | ✓                             | 4                                                      | 14,542                                                                             | Insurance company receipt                                    |
| 26 Other ▶ ( Furniture ) . . . . .                                         | ✓                             | 1                                                      | 374                                                                                | Appraised by Di Bella, Chair                                 |
| 27 Other ▶ ( Photos, records ) . . . . .                                   | ✓                             | 2                                                      | 1,619                                                                              | Appraised by the library                                     |
| 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

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 |     | ✓  |
| 31  | ✓   |    |
| 32a |     | ✓  |
| 33  |     |    |

**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.

The number in Part I column (b) represents the number of contributions received

**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.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization

BROCK UNIVERSITY

Employer identification number

98 0052780

**Part VI - Section B**

11a - Form 990 is prepared and reviewed by Financial and Administrative Services. It is available to any Senior Administrator or Board of Trustee member upon request. The Form 990 is also reviewed by outside tax advisors.

12c - The Associate VP of HR is responsible for maintaining compliance with the Conflict of Interest policy (<https://brocku.ca/university-secretariat/university-secretariat/policies/current-policies>). Senior management must ensure this policy is made known to members within their respective units. The Associate VP of HR reports all confirmed conflicts to the appropriate Committee of the Board of Trustees. The Board of Trustees Conflict of Interest Policy is available at <https://brocku.ca/university-secretariat/board-of-trustees/board-resources>. The Chair of the Board is responsible for ensuring compliance and does this by regular training of Board members on conflicts of interest and by ensuring there is a call for disclosure of any conflicts at the beginning of each Board, committee and subcommittee meeting.

15a,b - All compensation for senior employees is managed through the Human Resource Department and approved by the Senior Compensation Committee of the Board of Trustees. Compensation is determined with consideration of relevant comparators. Decisions are documented in meeting minutes, which outline the Board's approval.

**Part VI - Section C**

19 - The University's bylaws, policies and financial statements are all available on the University's website ([www.brocku.ca](http://www.brocku.ca)).

**Part I - Summary**

5 - Brock University has no employees in the United States and does not file a Form W-3.

**Part XI - Reconciliation of Net Assets**

9 - Other changes in net assets include the current year endowment activities, effects of foreign exchange rates, pension obligation and a small adjustment due to rounding.

**Part V - Statements regarding Other IRS Filings and Tax Compliance**

7 - The University may receive contributions from taxpayers who claim a tax deduction on their US income tax return. However, since the University is an entity that is organized and operated in Canada, any tax deduction claimed on a US income tax return is claimed under the United States-Canada Income Tax Treaty and not under Internal Revenue Code Section 170(c).

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

Cat No. 51056K

**Schedule O (Form 990 or 990-EZ) (2017)**

Name of the organization

Employer identification number

BROCK UNIVERSITY

98 0052780

7a and 7b - The University does not generate any unrelated business taxable income that is effectively connected with the conduct of a trade or business within the United States, including from the rental or investment of any debt-financed property, and does not have any unrelated business taxable income that is derived from sources within the United States

2a - Brock University has no employees in the United States and does not file a Form W-3. All of Brock University's employees are Canadian residents. The University reports these employees on Canada Form T4 Summary, which is the equivalent of United States' Federal Form W-3

3b - The University does not file a Form 990-T to report unrelated business taxable income because none of the unrelated business taxable income is effectively connected with the conduct of a trade or business within the United States, and none of the unrelated business taxable income is derived from sources within the United States

**SCHEDULE R**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

OMB No 1545-0047

**2017**

**Open to Public  
Inspection**

**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.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

Name of the organization

BROCK UNIVERSITY

Employer identification number

98-0052780

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

|     | (a)<br>Name, address, and EIN (if applicable) of disregarded entity | (b)<br>Primary activity | (c)<br>Legal domicile (state or foreign country) | (d)<br>Total income | (e)<br>End-of-year assets | (f)<br>Direct controlling entity |
|-----|---------------------------------------------------------------------|-------------------------|--------------------------------------------------|---------------------|---------------------------|----------------------------------|
| (1) |                                                                     |                         |                                                  |                     |                           |                                  |
| (2) |                                                                     |                         |                                                  |                     |                           |                                  |
| (3) |                                                                     |                         |                                                  |                     |                           |                                  |
| (4) |                                                                     |                         |                                                  |                     |                           |                                  |
| (5) |                                                                     |                         |                                                  |                     |                           |                                  |
| (6) |                                                                     |                         |                                                  |                     |                           |                                  |

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

|     | (a)<br>Name, address, and EIN of related organization                                                     | (b)<br>Primary activity | (c)<br>Legal domicile (state or foreign country) | (d)<br>Exempt Code section | (e)<br>Public charity status (if section 501(c)(3)) | (f)<br>Direct controlling entity | (g)<br>Section 512(b)(13) controlled entity? |
|-----|-----------------------------------------------------------------------------------------------------------|-------------------------|--------------------------------------------------|----------------------------|-----------------------------------------------------|----------------------------------|----------------------------------------------|
|     |                                                                                                           |                         |                                                  |                            |                                                     |                                  | Yes No                                       |
| (1) | FRIENDS OF BROCK UNIVERSITY, INC. 1812 SIR ISAAC BROCK WAY, ST CATHARINES, ON, CANADA, L2S 3A1 98-0135070 | FUNDRAISING             | US                                               | 501(C)(3)                  | 7 No                                                |                                  | ✓                                            |
| (2) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |
| (3) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |
| (4) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |
| (5) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |
| (6) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |
| (7) |                                                                                                           |                         |                                                  |                            |                                                     |                                  |                                              |

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

Cat No 50135Y

Schedule R (Form 990) 2017

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

| (a)<br>Name, address, and EIN of<br>related organization | (b)<br>Primary activity | (c)<br>Legal<br>domicile<br>(state or<br>foreign<br>country) | (d)<br>Direct controlling<br>entity | (e)<br>Predominant<br>income (related,<br>unrelated,<br>excluded from<br>tax under<br>sections 512-514) | (f)<br>Share of total<br>income | (g)<br>Share of end-of-<br>year assets | (h)<br>Disproportionate<br>allocations? |    | (i)<br>Code V-UBI<br>amount in box 20<br>of Schedule K-1<br>(Form 1065) | (j)<br>General or<br>managing<br>partner? |    | (k)<br>Percentage<br>ownership |
|----------------------------------------------------------|-------------------------|--------------------------------------------------------------|-------------------------------------|---------------------------------------------------------------------------------------------------------|---------------------------------|----------------------------------------|-----------------------------------------|----|-------------------------------------------------------------------------|-------------------------------------------|----|--------------------------------|
|                                                          |                         |                                                              |                                     |                                                                                                         |                                 |                                        | Yes                                     | No |                                                                         | Yes                                       | No |                                |
| (1) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (2) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (3) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (4) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (5) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (6) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |
| (7) .....                                                |                         |                                                              |                                     |                                                                                                         |                                 |                                        |                                         |    |                                                                         |                                           |    |                                |

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

| (a)<br>Name, address, and EIN of related organization | (b)<br>Primary activity | (c)<br>Legal domicile<br>(state or foreign country) | (d)<br>Direct controlling<br>entity | (e)<br>Type of entity<br>(C corp, S corp, or trust) | (f)<br>Share of total<br>income | (g)<br>Share of<br>end-of-year assets | (h)<br>Percentage<br>ownership | (i)<br>Section 512(b)(13)<br>controlled<br>entity? |    |
|-------------------------------------------------------|-------------------------|-----------------------------------------------------|-------------------------------------|-----------------------------------------------------|---------------------------------|---------------------------------------|--------------------------------|----------------------------------------------------|----|
|                                                       |                         |                                                     |                                     |                                                     |                                 |                                       |                                | Yes                                                | No |
| (1) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (2) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (3) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (4) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (5) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (6) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |
| (7) .....                                             |                         |                                                     |                                     |                                                     |                                 |                                       |                                |                                                    |    |

**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?

|                                                                                                          | Yes                      | No                                  |
|----------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------|
| <b>a</b> Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>b</b> Gift, grant, or capital contribution to related organization(s)                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>c</b> Gift, grant, or capital contribution from related organization(s)                               | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>d</b> Loans or loan guarantees to or for related organization(s)                                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>e</b> Loans or loan guarantees by related organization(s)                                             | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>f</b> Dividends from related organization(s)                                                          | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>g</b> Sale of assets to related organization(s)                                                       | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>h</b> Purchase of assets from related organization(s)                                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>i</b> Exchange of assets with related organization(s)                                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>j</b> Lease of facilities, equipment, or other assets to related organization(s)                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>k</b> Lease of facilities, equipment, or other assets from related organization(s)                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>l</b> Performance of services or membership or fundraising solicitations for related organization(s)  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>m</b> Performance of services or membership or fundraising solicitations by related organization(s)   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>o</b> Sharing of paid employees with related organization(s)                                          | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>p</b> Reimbursement paid to related organization(s) for expenses                                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>q</b> Reimbursement paid by related organization(s) for expenses                                      | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>r</b> Other transfer of cash or property to related organization(s)                                   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>s</b> Other transfer of cash or property from related organization(s)                                 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

**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)<br>Name of related organization | (b)<br>Transaction type (a–s) | (c)<br>Amount involved | (d)<br>Method of determining amount involved |
|-----|-------------------------------------|-------------------------------|------------------------|----------------------------------------------|
| (1) |                                     |                               |                        |                                              |
| (2) |                                     |                               |                        |                                              |
| (3) |                                     |                               |                        |                                              |
| (4) |                                     |                               |                        |                                              |
| (5) |                                     |                               |                        |                                              |
| (6) |                                     |                               |                        |                                              |

**Part VI** **Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

| (a)<br>Name, address, and EIN of entity | (b)<br>Primary activity | (c)<br>Legal domicile<br>(state or foreign<br>country) | (d)<br>Predominant<br>income (related,<br>unrelated, excluded<br>from tax under<br>sections 512-514) | (e)<br>Are all partners<br>section<br>501(c)(3)<br>organizations? |    | (f)<br>Share of<br>total income | (g)<br>Share of<br>end-of-year<br>assets | (h)<br>Disproportionate<br>allocations? |    | (i)<br>Code V—UBI<br>amount in box 20<br>of Schedule K-1<br>(Form 1065) | (j)<br>General or<br>managing<br>partner? |    | (k)<br>Percentage<br>ownership |
|-----------------------------------------|-------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----|---------------------------------|------------------------------------------|-----------------------------------------|----|-------------------------------------------------------------------------|-------------------------------------------|----|--------------------------------|
|                                         |                         |                                                        |                                                                                                      | Yes                                                               | No |                                 |                                          | Yes                                     | No |                                                                         | Yes                                       | No |                                |
| (1) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (2) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (3) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (4) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (5) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (6) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (7) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (8) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (9) .....                               |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (10) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (11) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (12) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (13) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (14) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (15) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |
| (16) .....                              |                         |                                                        |                                                                                                      |                                                                   |    |                                 |                                          |                                         |    |                                                                         |                                           |    |                                |

**Part VII**

**Supplemental Information.**

Provide additional information for responses to questions on Schedule R. See instructions.

Lined area for supplemental information.