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Form **990**

Department of the Treasury
Internal Revenue Service

# Return of Organization Exempt From Income Tax

**Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)**

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

▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

**A For the 2020 calendar year, or tax year beginning 10-01-2020 , and ending 09-30-2021**

**B** Check if applicable:
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Final return/terminated
- ☐ Amended return
- ☐ Application pending

**C** Name of organization
UMass Memorial Health Care Inc (Parent)

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) | Room/suite
306 Belmont Street

City or town, state or province, country, and ZIP or foreign postal code
Worcester, MA 01604

**D Employer identification number**
04-3358566

E Telephone number
(508) 334-0252

**G** Gross receipts $ 458,153,591

**F** Name and address of principal officer:
Sergio Melgar
306 Belmont Street
Worcester, MA 01604

**H(a)** Is this a group return for subordinates? ☐ Yes ☑ No

**H(b)** Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list. (see instructions)

**H(c)** Group exemption number ▶

**I** Tax-exempt status: ☑ 501(c)(3) ☐ 501(c) ( ) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527

**J Website:** ▶ www.ummhealth.org

**K** Form of organization: ☑ Corporation ☐ Trust ☐ Association ☐ Other ▶

**L** Year of formation: 1998

**M** State of legal domicile: MA

## Part I Summary

**1** Briefly describe the organization's mission or most significant activities:
To support, develop and coordinate an integrated health care delivery system that includes multiple health care facilities and providers. To receive in trust, from whatever source, and administer gifts and grants, whether restricted or for a specific purpose. To promote services and programs that are charitable, scientific or educational and that address the physical and mental needs of the community at large, provided the corporation shall operate exclusively for the benefit of the Medical Center and other charitable organizations or hospitals that are under common control.

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

| | | | |
|---|---|---|---|
| **3** | Number of voting members of the governing body (Part VI, line 1a) | **3** | 19 |
| **4** | Number of independent voting members of the governing body (Part VI, line 1b) | **4** | 17 |
| **5** | Total number of individuals employed in calendar year 2020 (Part V, line 2a) | **5** | 1,871 |
| **6** | Total number of volunteers (estimate if necessary) | **6** | 23 |
| **7a** | Total unrelated business revenue from Part VIII, column (C), line 12 | **7a** | 325,736 |
| **b** | Net unrelated business taxable income from Form 990-T, line 39 | **7b** | 322,165 |

| | | Prior Year | Current Year |
|---|---|---|---|
| **8** | Contributions and grants (Part VIII, line 1h) | 1,681,548 | 9,753,485 |
| **9** | Program service revenue (Part VIII, line 2g) | 395,910,708 | 413,391,767 |
| **10** | Investment income (Part VIII, column (A), lines 3, 4, and 7d ) | 12,466,235 | 34,489,679 |
| **11** | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 185,508 | 255,125 |
| **12** | Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 410,243,999 | 457,890,056 |
| **13** | Grants and similar amounts paid (Part IX, column (A), lines 1–3 ) | 337,953 | 1,641,191 |
| **14** | Benefits paid to or for members (Part IX, column (A), line 4) | | 0 |
| **15** | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) | 179,224,262 | 223,626,197 |
| **16a** | Professional fundraising fees (Part IX, column (A), line 11e) | | 0 |
| **b** | Total fundraising expenses (Part IX, column (D), line 25) ▶2,252,524 | | |
| **17** | Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e) | 218,924,637 | 221,538,674 |
| **18** | Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25) | 398,486,852 | 446,806,062 |
| **19** | Revenue less expenses. Subtract line 18 from line 12 | 11,757,147 | 11,083,994 |

| | | Beginning of Current Year | End of Year |
|---|---|---|---|
| **20** | Total assets (Part X, line 16) | 909,920,912 | 1,470,153,319 |
| **21** | Total liabilities (Part X, line 26) | 654,246,254 | 1,022,716,819 |
| **22** | Net assets or fund balances. Subtract line 21 from line 20 | 255,674,658 | 447,436,500 |

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

**Sign Here**

****** 2022-08-12
Signature of officer Date

Sergio Melgar EVP/CFO/Treasurer
Type or print name and title

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| | | | | P00520729 |

Firm's name ▶ CROWE LLP — Firm's EIN ▶ 35-0921680

Firm's address ▶ 9600 Brownsboro Road Suite 400
Louisville, KY 402413902 — Phone no. (502) 326-3996

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

## 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:

UMASS MEMORIAL HEALTH CARE, INC. IS COMMITTED TO IMPROVING THE HEALTH OF THE PEOPLE OF CENTRAL NEW ENGLAND THROUGH EXCELLENCE IN CLINICAL CARE, SERVICES, TEACHING AND RESEARCH.

**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 $ 428,586,759 including grants of $ 1,641,191 ) (Revenue $ 413,391,767 )

See Additional Data

**4b** (Code: ) (Expenses $ including grants of $ ) (Revenue $ )

**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** ▶ 428,586,759

## Part IV Checklist of Required Schedules

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A* | 1 | Yes | |
| 2 | Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)? | 2 | Yes | |
| 3 | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I* | 3 | | No |
| 4 | **Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II* | 4 | Yes | |
| 5 | Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III* | 5 | | |
| 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 | | No |
| 7 | Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II* | 7 | | No |
| 8 | Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D,* Part III | 8 | | No |
| 9 | Did the organization report an amount in Part X, line 21 for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV* | 9 | Yes | |
| 10 | Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi endowments? *If "Yes," complete Schedule D, Part V* | 10 | Yes | |
| 11 | If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. | | | |
| a | Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D,* Part VI. | 11a | Yes | |
| b | Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII* | 11b | Yes | |
| c | Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII* | 11c | | No |
| d | Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX* | 11d | Yes | |
| e | Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X* | 11e | Yes | |
| f | Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X* | 11f | Yes | |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII* | 12a | | No |
| b | Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional* | 12b | Yes | |
| 13 | Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E* | 13 | | No |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? | 14a | Yes | |
| b | Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV* | 14b | Yes | |
| 15 | Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV* | 15 | | No |
| 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 | | No |
| 17 | Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* (see instructions) | 17 | | No |
| 18 | Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II* | 18 | Yes | |
| 19 | Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III* | 19 | | No |
| 20a | Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H* | 20a | | No |
| b | If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | 20b | | |
| 21 | Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II* | 21 | Yes | |

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

| | | | Yes | No |
|---|---|---|---|---|
| 22 | Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III* | 22 | Yes | |
| 23 | Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J* | 23 | Yes | |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a* | 24a | Yes | |
| b | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | 24b | | No |
| c | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | 24c | Yes | |
| d | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | 24d | | No |
| 25a | **Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L,* Part I | 25a | | No |
| b | Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L,* Part I | 25b | | No |
| 26 | Did the organization report any amount on Part X, line 5 or 22 for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part II* | 26 | | No |
| 27 | Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? *If "Yes," complete Schedule L,* Part III | 27 | | No |
| 28 | Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions): | | | |
| a | A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? *If "Yes," complete Schedule L, Part IV* | 28a | Yes | |
| b | A family member of any individual described in line 28a? *If "Yes," complete Schedule L, Part IV* | 28b | | No |
| c | A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? *If "Yes," complete Schedule L, Part IV* | 28c | | No |
| 29 | Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M* | 29 | | No |
| 30 | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M* | 30 | | No |
| 31 | Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I* | 31 | | No |
| 32 | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II* | 32 | | No |
| 33 | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I* | 33 | | No |
| 34 | Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1* | 34 | Yes | |
| 35a | Did the organization have a controlled entity within the meaning of section 512(b)(13)? | 35a | Yes | |
| b | If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2* | 35b | Yes | |
| 36 | **Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2* | 36 | | No |
| 37 | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI* | 37 | | No |
| 38 | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O. | 38 | Yes | |

**Part V Statements Regarding Other IRS Filings and Tax Compliance**

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

| | | | | Yes | No |
|---|---|---|---|---|---|
| 1a | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable | 1a | 326 | | |
| b | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable | 1b | 0 | | |
| c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? | 1c | | Yes | |

**Part V Statements Regarding Other IRS Filings and Tax Compliance** *(continued)*

| | | | | | |
|---|---|---|---|---|---|
| **2a** | Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . . . . | **2a** | 1,871 | | |
| **b** | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) | | | **2b** | Yes |
| **3a** | Did the organization have unrelated business gross income of $1,000 or more during the year? . . . | | | **3a** | Yes |
| **b** | If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O* . . . | | | **3b** | Yes |
| **4a** | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . | | | **4a** | Yes |
| **b** | If "Yes," enter the name of the foreign country: ▶CJ<br>See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). | | | | |
| **5a** | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . | | | **5a** | No |
| **b** | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | | | **5b** | No |
| **c** | If "Yes," to line 5a or 5b, did the organization file Form 8886-T? . . . . . | | | **5c** | |
| **6a** | Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . . | | | **6a** | No |
| **b** | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . . | | | **6b** | |
| **7** | **Organizations that may receive deductible contributions under section 170(c).** | | | | |
| **a** | Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor? . . . . . | | | **7a** | Yes |
| **b** | If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . . | | | **7b** | Yes |
| **c** | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . . | | | **7c** | No |
| **d** | If "Yes," indicate the number of Forms 8282 filed during the year . . . . | **7d** | | | |
| **e** | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | | | **7e** | No |
| **f** | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . | | | **7f** | No |
| **g** | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . . | | | **7g** | |
| **h** | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . . | | | **7h** | |
| **8** | **Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? . . . . . | | | **8** | |
| **9** | **Sponsoring organizations maintaining donor advised funds.** | | | | |
| **a** | Did the sponsoring organization make any taxable distributions under section 4966? . . . . . | | | **9a** | |
| **b** | Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . . | | | **9b** | |
| **10** | **Section 501(c)(7) organizations.** Enter: | | | | |
| **a** | Initiation fees and capital contributions included on Part VIII, line 12 . . . | **10a** | | | |
| **b** | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | **10b** | | | |
| **11** | **Section 501(c)(12) organizations.** Enter: | | | | |
| **a** | Gross income from members or shareholders . . . . . | **11a** | | | |
| **b** | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) . . . . . | **11b** | | | |
| **12a** | **Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041? | | | **12a** | |
| **b** | If "Yes," enter the amount of tax-exempt interest received or accrued during the year. | **12b** | | | |
| **13** | **Section 501(c)(29) qualified nonprofit health insurance issuers.** | | | | |
| **a** | Is the organization licensed to issue qualified health plans in more than one state? . . . . . **Note.** See the instructions for additional information the organization must report on Schedule O. | | | **13a** | |
| **b** | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . | **13b** | | | |
| **c** | Enter the amount of reserves on hand . . . . . | **13c** | | | |
| **14a** | Did the organization receive any payments for indoor tanning services during the tax year? . . . . . | | | **14a** | No |
| **b** | If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . . | | | **14b** | |
| **15** | Is the organization subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year? . . . . . If "Yes," see instructions and file Form 4720, Schedule N. | | | **15** | Yes |
| **16** | Is the organization an educational institution subject to the section 4968 excise tax on net investment income? . . If "Yes," complete Form 4720, Schedule O. | | | **16** | No |

**Part VI** **Governance, Management, and Disclosure** *For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.*
Check if Schedule O contains a response or note to any line in this Part VI . . . . . ☑

## Section A. Governing Body and Management

| | | | | Yes | No |
|---|---|---|---|---|---|
| **1a** | Enter the number of voting members of the governing body at the end of the tax year | **1a** | 19 | | |
| | 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** | Enter the number of voting members included in line 1a, above, who are independent | **1b** | 17 | | |
| **2** | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | | | **2** | | No |
| **3** | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | | | **3** | | No |
| **4** | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | | | **4** | | No |
| **5** | Did the organization become aware during the year of a significant diversion of the organization's assets? | | | **5** | | No |
| **6** | Did the organization have members or stockholders? | | | **6** | | No |
| **7a** | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? | | | **7a** | Yes | |
| **b** | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | | | **7b** | | No |
| **8** | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: | | | | | |
| **a** | The governing body? | | | **8a** | Yes | |
| **b** | Each committee with authority to act on behalf of the governing body? | | | **8b** | | No |
| **9** | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O* | | | **9** | | No |

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

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

## Section C. Disclosure

**17** List the states with which a copy of this Form 990 is required to be filed▶
CO , DC , FL , GA , AL , IL , KS , KY , AK , MD , MA , MN , MS , NV , NH , NJ , NM , NC , ND , OH , OK , OR , PA , SC , TN , UT , VA , WA , WI

**18** Section 6104 requires an organization to make its Form 1023 (or 1024-A if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
☐ 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:
▶Brian Huggins 306 Belmont Street Worcester, MA 01604 (508) 334-0252

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

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

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

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

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

See instructions for the order in which to list the persons above.

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

| (A) Name and title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| See Additional Data Table | | | | | | | | | | |
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**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** *(continued)*

| (A) Name and title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W-2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| See Additional Data Table | | | | | | | | | | |
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| | | | | | | | | | | |
| **1b Sub-Total** ▶ | | | | | | | | | | |
| **c Total from continuation sheets to Part VII, Section A** ▶ | | | | | | | | | | |
| **d Total (add lines 1b and 1c)** ▶ | | | | | | | | 11,201,323 | 12,195,747 | 4,249,220 |

**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 ▶ 337

| | | | Yes | No |
|---|---|---|---|---|
| **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* | **3** | Yes | |
| **4** | For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual* | **4** | Yes | |
| **5** | Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person* | **5** | | No |

## Section B. Independent Contractors

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

| (A) Name and business address | (B) Description of services | (C) Compensation |
|---|---|---|
| CROTHALL HLTHCARE INC<br>13028 COLLECTION CENTER DRIVE<br>CHICAGO, IL 60693 | Clinical Engineering Services | 17,018,655 |
| EPIC HOSTING LLC<br>MAIN BIN 88065<br>MILWAUKEE, WI 532880065 | Software Maintenance Services | 8,000,817 |
| VIZIENT INC<br>290 E JOHN CARPENTER FREEWAY<br>IRVING, TX 75062 | Supply Chain Services | 5,883,360 |
| ERNST & YOUNG LLP<br>P O BOX 5152<br>BOSTON, MA 022065152 | Consulting Services | 4,405,299 |
| NTT DATA SVCS LLC<br>MAIN LOCKBOX 677956<br>DALLAS, TX 752677956 | Consulting and Outsourcing Services | 2,271,180 |

**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 ▶ 116

**Part VIII Statement of Revenue**

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

| | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512 - 514 |
|---|---|---|---|---|---|---|
| Contributions, Gifts, Grants and Other Similar Amounts | 1a Federated campaigns | 1a | | | | |
| | b Membership dues | 1b | | | | |
| | c Fundraising events | 1c | 181,580 | | | |
| | d Related organizations | 1d | | | | |
| | e Government grants (contributions) | 1e | 8,192,414 | | | |
| | f All other contributions, gifts, grants, and similar amounts not included above | 1f | 1,379,491 | | | |
| | g Noncash contributions included in lines 1a - 1f: $ | 1g | 2,982 | | | |
| | h **Total.** Add lines 1a-1f | | 9,753,485 | | | |
| Program Service Revenue | | Business Code | | | | |
| | 2a System allocation premium | 622110 | 355,144,214 | 355,144,214 | | |
| | b Professional liability revenue | 622110 | 30,462,336 | 30,462,336 | | |
| | c Workers compensation premium | 622110 | 10,783,643 | 10,783,643 | | |
| | d General insurance premium | 622110 | 2,953,891 | 2,953,891 | | |
| | e Other program service revenue | 622110 | 14,047,683 | 14,047,683 | | |
| | f All other program service revenue. | | 0 | 0 | 0 | 0 |
| | g **Total.** Add lines 2a–2f | 413,391,767 | | | | |
| Other Revenue | 3 Investment income (including dividends, interest, and other similar amounts) | | 34,489,679 | | 325,736 | 34,163,943 |
| | 4 Income from investment of tax-exempt bond proceeds | | | | | |
| | 5 Royalties | | | | | |
| | | | (i) Real | (ii) Personal | | |
| | 6a Gross rents | 6a | | | | |
| | b Less: rental expenses | 6b | | | | |
| | c Rental income or (loss) | 6c | 0 | 0 | | |
| | d Net rental income or (loss) | | | | | |
| | | | (i) Securities | (ii) Other | | |
| | 7a Gross amount from sales of assets other than inventory | 7a | | | | |
| | b Less: cost or other basis and sales expenses | 7b | | | | |
| | c Gain or (loss) | 7c | 0 | 0 | | |
| | d Net gain or (loss) | | | | | |
| | 8a Gross income from fundraising events (not including $ 181,580 of contributions reported on line 1c). See Part IV, line 18 | 8a | 518,660 | | | |
| | b Less: direct expenses | 8b | 263,535 | | | |
| | c Net income or (loss) from fundraising events | | 255,125 | | | 255,125 |
| | 9a Gross income from gaming activities. See Part IV, line 19 | 9a | | | | |
| | b Less: direct expenses | 9b | | | | |
| | c Net income or (loss) from gaming activities | | | | | |
| | 10a Gross sales of inventory, less returns and allowances | 10a | | | | |
| | b Less: cost of goods sold | 10b | | | | |
| | c Net income or (loss) from sales of inventory | | | | | |
| | Miscellaneous Revenue | Business Code | | | | |
| | 11a | | | | | |
| | b | | | | | |
| | c | | | | | |
| | d All other revenue | | 0 | 0 | 0 | 0 |
| | e **Total.** Add lines 11a–11d | | 0 | | | |
| | 12 **Total revenue.** See instructions | | 457,890,056 | 413,391,767 | 325,736 | 34,419,068 |

## Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX . . . . . ☑

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|---|---|---|---|---|
| 1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 | 1,620,818 | 1,620,818 | | |
| 2 Grants and other assistance to domestic individuals. See Part IV, line 22 | 20,373 | 20,373 | | |
| 3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16. | | | | |
| 4 Benefits paid to or for members | | | | |
| 5 Compensation of current officers, directors, trustees, and key employees | 11,258,462 | 11,258,462 | | |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) | 156,933 | 156,933 | | |
| 7 Other salaries and wages | 147,543,692 | 137,460,744 | 8,767,675 | 1,315,273 |
| 8 Pension plan accruals and contributions (include section 401 (k) and 403(b) employer contributions) | 14,120,507 | 14,120,507 | | |
| 9 Other employee benefits | 39,700,819 | 38,097,239 | 1,116,947 | 486,633 |
| 10 Payroll taxes | 10,845,784 | 10,845,784 | | |
| 11 Fees for services (non-employees): | | | | |
| a Management | | | | |
| b Legal | 2,085,840 | 2,063,462 | 22,378 | |
| c Accounting | 1,258,388 | | 1,258,388 | |
| d Lobbying | | | | |
| e Professional fundraising services. See Part IV, line 17 | | | | |
| f Investment management fees | 1,595,194 | | 1,595,194 | |
| g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O) | 61,161,157 | 59,650,119 | 1,402,831 | 108,207 |
| 12 Advertising and promotion | 4,080,126 | 3,842,344 | 237,782 | |
| 13 Office expenses | 8,438,364 | 7,454,249 | 835,273 | 148,842 |
| 14 Information technology | 61,771,682 | 61,603,826 | | 167,856 |
| 15 Royalties | | | | |
| 16 Occupancy | 10,056,183 | 9,717,863 | 327,427 | 10,893 |
| 17 Travel | 315,588 | | 315,135 | 453 |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials | | | | |
| 19 Conferences, conventions, and meetings | 47,180 | | 46,480 | 700 |
| 20 Interest | 4,499,857 | 4,499,857 | | |
| 21 Payments to affiliates | | | | |
| 22 Depreciation, depletion, and amortization | 32,145,106 | 32,120,551 | 18,033 | 6,522 |
| 23 Insurance | 33,727,635 | 33,704,409 | 23,226 | |
| 24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.) | | | | |
| a Other taxes | 320,556 | 320,556 | | |
| b Other expenses | 35,818 | 28,663 | 10 | 7,145 |
| c | | | | |
| d | | | | |
| e All other expenses | 0 | 0 | 0 | 0 |
| 25 **Total functional expenses.** Add lines 1 through 24e | 446,806,062 | 428,586,759 | 15,966,779 | 2,252,524 |
| 26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720). | | | | |

**Part X Balance Sheet**

Check if Schedule O contains a response or note to any line in this Part IX . . . . . ☐

| | | | (A) Beginning of year | | (B) End of year |
|---|---|---|---|---|---|
| Assets | 1 | Cash–non-interest-bearing | 37,314,895 | 1 | 152,787,820 |
| | 2 | Savings and temporary cash investments | 189,611,170 | 2 | 124,900,723 |
| | 3 | Pledges and grants receivable, net | 564,296 | 3 | 336,199 |
| | 4 | Accounts receivable, net | 2,766,700 | 4 | 1,809,055 |
| | 5 | Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons | 0 | 5 | 0 |
| | 6 | Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) | 0 | 6 | 0 |
| | 7 | Notes and loans receivable, net | 251,250 | 7 | 14,022,975 |
| | 8 | Inventories for sale or use | | 8 | |
| | 9 | Prepaid expenses and deferred charges | 38,789,805 | 9 | 41,027,537 |
| | 10a | Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D — 10a: 308,422,196 | | | |
| | b | Less: accumulated depreciation — 10b: 124,069,181 | 203,099,375 | 10c | 184,353,015 |
| | 11 | Investments—publicly traded securities | 67,753,271 | 11 | 64,228,285 |
| | 12 | Investments—other securities. See Part IV, line 11 | 302,984,396 | 12 | 418,822,252 |
| | 13 | Investments—program-related. See Part IV, line 11 | 0 | 13 | |
| | 14 | Intangible assets | | 14 | |
| | 15 | Other assets. See Part IV, line 11 | 66,785,754 | 15 | 467,865,458 |
| | 16 | **Total assets.** Add lines 1 through 15 (must equal line 33) | 909,920,912 | 16 | 1,470,153,319 |
| Liabilities | 17 | Accounts payable and accrued expenses | 59,143,462 | 17 | 77,588,412 |
| | 18 | Grants payable | | 18 | |
| | 19 | Deferred revenue | 92,452 | 19 | 143,669 |
| | 20 | Tax-exempt bond liabilities | 91,757,105 | 20 | 444,691,913 |
| | 21 | Escrow or custodial account liability. Complete Part IV of Schedule D | | 21 | 3,148,512 |
| | 22 | Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons | 0 | 22 | 0 |
| | 23 | Secured mortgages and notes payable to unrelated third parties | 8,721,762 | 23 | 82,973,237 |
| | 24 | Unsecured notes and loans payable to unrelated third parties | | 24 | 0 |
| | 25 | Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D | 494,531,473 | 25 | 414,171,076 |
| | 26 | **Total liabilities.** Add lines 17 through 25 | 654,246,254 | 26 | 1,022,716,819 |
| Net Assets or Fund Balances | | **Organizations that follow FASB ASC 958, check here ▶ ☑ and complete lines 27, 28, 32, and 33.** | | | |
| | 27 | Net assets without donor restrictions | 192,417,450 | 27 | 377,057,688 |
| | 28 | Net assets with donor restrictions | 63,257,208 | 28 | 70,378,812 |
| | | **Organizations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 29 through 33.** | | | |
| | 29 | Capital stock or trust principal, or current funds | | 29 | |
| | 30 | Paid-in or capital surplus, or land, building or equipment fund | | 30 | |
| | 31 | Retained earnings, endowment, accumulated income, or other funds | | 31 | |
| | 32 | Total net assets or fund balances | 255,674,658 | 32 | 447,436,500 |
| | 33 | Total liabilities and net assets/fund balances | 909,920,912 | 33 | 1,470,153,319 |

## Part XI Reconcilliation of Net Assets

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

| | | | |
|---|---|---|---|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 457,890,056 |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 446,806,062 |
| 3 | Revenue less expenses. Subtract line 2 from line 1 | 3 | 11,083,994 |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A)) | 4 | 255,674,658 |
| 5 | Net unrealized gains (losses) on investments | 5 | 37,199,766 |
| 6 | Donated services and use of facilities | 6 | |
| 7 | Investment expenses | 7 | |
| 8 | Prior period adjustments | 8 | |
| 9 | Other changes in net assets or fund balances (explain in Schedule O) | 9 | 143,478,082 |
| 10 | Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B)) | 10 | 447,436,500 |

## Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . . ☐

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Accounting method used to prepare the Form 990: ☐ Cash ☑ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O. | | | |
| 2a | Were the organization's financial statements compiled or reviewed by an independent accountant? | 2a | | No |
| | 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: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis | | | |
| b | Were the organization's financial statements audited by an independent accountant? | 2b | Yes | |
| | 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: ☐ Separate basis ☑ Consolidated basis ☐ Both consolidated and separate basis | | | |
| c | If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? | 2c | Yes | |
| | If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O. | | | |
| 3a | As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? | 3a | Yes | |
| b | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits. | 3b | Yes | |

# Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

Form 990 (2020)

**Form 990, Part III, Line 4a:**

TO SUPPORT THE ADVANCEMENT OF THE KNOWLEDGE, EDUCATION, AND RESEARCH AND THE PRACTICE OF HEALTH CARE RELATED SERVICES THROUGH THE OVERSIGHT OF UMASS MEMORIAL HEALTH CARE OPERATIONS AND THE EFFICIENT DELIVERY OF SUPPORT SERVICES.

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| ERIC W DICKSON MD<br>PRESIDENT, CEO, DIRECTOR, UMM HEALTH CARE, INC. | 40.0<br>.....<br>5.0 | X | | X | | | | 2,339,823 | 0 | 442,959 |
| RICHARD SIEGRIST<br>CHAIRPERSON, DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | X | | | | 0 | 0 | 0 |
| DAVID L BENNETT<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| EDWARD D'ALELIO<br>DIRECTOR UNTIL FY2021, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| ELVIRA GUARDIOLA<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| EVAN BENJAMIN MD<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| JEAN KING PHD<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| JEAN MCMURRAY<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| LESLIE BOVENZI<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |
| LYNDA M YOUNG MD<br>VICE-CHAIRPERSON, DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>.....<br>1.0 | X | | | | | | 0 | 0 | 0 |

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| MARK JOHNSON MD<br>DIRECTOR, UMM HEALTH CARE, INC. | 5.0<br>28.0 | X | | | | | | 0 | 1,022,090 | 126,437 |
| MICHAEL COLLINS MD<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| MICHAEL O'BRIEN<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>0 | X | | | | | | 0 | 0 | 0 |
| NANCY KANE<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| PAULETTE SEYMOUR-ROUTE PHD<br>DIRECTOR UNTIL FY2021, UMM HEALTH CARE, INC. | 5.0<br>40.0 | X | | | | | | 0 | 67,322 | 8,166 |
| PETER KNOX<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| RAYMOND PAWLICKI<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| RICHARD K BENNETT<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| ROBERT W FINBERG MD<br>DIRECTOR UNTIL FY2021, UMM HEALTH CARE, INC. | 5.0<br>20.0 | X | | | | | | 0 | 914,335 | 92,823 |
| ROSEMARY THOMSEN<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| SUSAN MAILMAN<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| TERENCE FLOTTE MD<br>DIRECTOR, UMM HEALTH CARE, INC. | 1.0<br>1.0 | X | | | | | | 0 | 0 | 0 |
| DOUGLAS S BROWN<br>SECRETARY, UMM HEALTH CARE, INC. | 40.0<br>5.0 | | | X | | | | 1,065,825 | 0 | 210,757 |
| KATHARINE BOLLAND ESHGHI<br>ASSISTANT SECRETARY, UMM HEALTH CARE, INC. | 40.0<br>5.0 | | | X | | | | 596,642 | 0 | 139,144 |
| SERGIO MELGAR<br>EVP/CFO/Treasurer, UMM Health Care, Inc. Officer | 40.0<br>5.0 | | | X | | | | 1,272,094 | 0 | 251,090 |
| ALICE A SHAKMAN<br>SVP, CLINICAL SVCS | 5.0<br>40.0 | | | | X | | | 0 | 406,009 | 96,606 |
| ANDREW KARSON MD<br>SVP, CMO-UMMMC | 5.0<br>40.0 | | | | X | | | 0 | 688,663 | 140,934 |
| BART METZGER<br>SVP, CHIEF HR OFFICER | 40.0<br>5.0 | | | | X | | | 666,014 | 0 | 105,545 |
| CHERYL LAPRIORE<br>SVP, CHF OF STAFF &CHF MKTG OFC | 40.0<br>5.0 | | | | X | | | 544,313 | 0 | 147,677 |
| DIANNA J CAFFARENA<br>SVP, AMBULATORY SVCS | 5.0<br>40.0 | | | | X | | | 0 | 306,580 | 34,666 |

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| ERIC J ALPER MD<br>SVP CQO & CHF INFORMATICS OFF | 40.0<br>5.0 | | | | X | | | 593,656 | 0 | 142,159 |
| JACK W BAILEY<br>SVP, CLINICAL SVCS | 5.0<br>40.0 | | | | X | | | 0 | 357,341 | 69,128 |
| JAMES P CYR<br>SVP, SURGICAL & PROCEDURAL SVCS | 5.0<br>40.0 | | | | X | | | 0 | 381,768 | 112,464 |
| JOHN GREENWOOD<br>SVP, POP HLTH & PRESIDENT, ACO | 5.0<br>40.0 | | | | X | | | 0 | 469,258 | 139,989 |
| JOHN R SALZBERG<br>SVP, SYSTEM REV CYCLE OPS & CRO | 40.0<br>5.0 | | | | X | | | 438,141 | 0 | 104,971 |
| JOHN T RANDOLPH<br>VP, CHIEF CORPORATE COMPLIANCE | 40.0<br>5.0 | | | | X | | | 496,315 | 0 | 76,135 |
| JUSTIN PRECOURT<br>SVP, PATIENT CARE SVCS & CNO | 5.0<br>40.0 | | | | X | | | 0 | 527,123 | 83,852 |
| KATHLEEN DRISCOLL<br>SVP, CHIEF PHILANTHROPHY OFC | 40.0<br>5.0 | | | | X | | | 360,301 | 0 | 31,941 |
| LATAMARA LUNDI<br>PRESIDENT, COMMUNITY HEALTHLINK, INC. | 5.0<br>40.0 | | | | X | | | 0 | 221,680 | 17,838 |
| MICHAEL GUSTAFSON MD<br>PRESIDENT, MEDICAL CENTER | 5.0<br>40.0 | | | | X | | | 0 | 1,238,032 | 198,888 |

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| MICHELE STREETER<br>EXEC VP/COO UMMMG | 5.0<br>40.0 | | | | X | | | 0 | 685,871 | 172,430 |
| ROBERT FELDMANN<br>SVP UNTIL FY2021, FINANCE/CORPORATE CONTROLLER | 40.0<br>5.0 | | | | X | | | 522,861 | 0 | 123,818 |
| STEPHEN E TOSI MD<br>CHIEF PHYSICIAN EXECUTIVE | 5.0<br>40.0 | | | | X | | | 0 | 1,077,736 | 142,002 |
| STEVEN ROACH<br>PRESIDENT, CNEHA, Inc. & MARLBOROUGH HOSPITAL | 5.0<br>40.0 | | | | X | | | 0 | 640,804 | 128,516 |
| THERESE DAY<br>VP/CHIEF FINANCIAL OFFICER MED CENTER | 5.0<br>40.0 | | | | X | | | 0 | 487,302 | 123,422 |
| WILLIAM CORBETT MD<br>SVP, COMMUNITY PRACTICES | 5.0<br>40.0 | | | | X | | | 0 | 668,409 | 155,540 |
| ALAN R WESTON<br>VP, HUMAN RESOURCES | 40.0<br>0 | | | | | X | | 416,421 | 0 | 87,261 |
| CATHERINE M ROSSI<br>VP HEALTH SYSTEM CONTRACTING | 40.0<br>0 | | | | | X | | 372,022 | 0 | 95,098 |
| JUDY A LAROCHE<br>VP FINANCE/ASST TREASURER | 40.0<br>0 | | | | | X | | 356,747 | 0 | 107,535 |
| ROBIN L SODANO<br>VP, INFORMATION SYSTEMS | 40.0<br>0 | | | | | X | | 413,960 | 0 | 103,259 |

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| TOD G WIESMAN<br>VP, OPD,CHIEF LEARNING OFFICER | 40.0<br>0 | | | | | X | | 366,705 | 0 | 100,535 |
| BARBARA FISHER<br>FORMER KEY EE, SVP UNTIL 9/25/19, OPERATIONS (UMMMC) | 0.0<br>0.0 | | | | | | X | 0 | 316,250 | 30,000 |
| DANA SWENSON<br>FORMER KEY EMPLOYEE UNTIL FY2020 | 0.0<br>0.0 | | | | | | X | 274,755 | 0 | 62,062 |
| DEBORAH WEYMOUTH<br>FORMER PRESIDENT UNTIL 9/27/19, HEALTHALLIANCE-CLINTON HOSPITAL | 0.0<br>0.0 | | | | | | X | 0 | 297,898 | 43,573 |
| LISA COLOMBO<br>FORMER KEY EMPLOYEE UNTIL 1/2018 | 0.0<br>0.0 | | | | | | X | 104,728 | 0 | 0 |
| PATRICK MULDOON<br>FORMER KEY EMPLOYEE UNTIL 1/2018 | 0.0<br>0.0 | | | | | | X | 0 | 1,421,276 | 0 |

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# SCHEDULE A (Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

## Public Charity Status and Public Support

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

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

**Name of the organization**
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

**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).)

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 **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 331/3% 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 331/3% 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 . . . . . 7

g Provide the following information about the supported organization(s).

| (i) Name of supported organization | (ii) EIN | (iii) Type of organization (described on lines 1- 10 above (see instructions)) | (iv) Is the organization listed in your governing document? Yes | (iv) No | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|---|---|---|---|---|---|---|
| See Additional Data Table | | | | | | |
| **Total** 7 | | | | | 383,854,449 | 0 |

**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 failed to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

| Calendar year (or fiscal year beginning in) ▶ | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
|---|---|---|---|---|---|---|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grant.") . . | | | | | | |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf. . . . | | | | | | |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge.. | | | | | | |
| 4 **Total.** Add lines 1 through 3 | | | | | | |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f). . | | | | | | |
| 6 **Public support.** Subtract line 5 from line 4. | | | | | | |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ▶ | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
|---|---|---|---|---|---|---|
| 7 Amounts from line 4. . | | | | | | |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources. . . | | | | | | |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on. . | | | | | | |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). . | | | | | | |
| 11 **Total support.** Add lines 7 through 10 | | | | | | |

12 Gross receipts from related activities, etc. (see instructions) . . . . . 12

13 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . . ▶ ☐

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

14 Public support percentage for 2020 (line 6, column (f) divided by line 11, column (f)) . . . . . 14

15 Public support percentage for 2019 Schedule A, Part II, line 14 . . . . . 15

16a **33 1/3% support test—2020.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

b **33 1/3% support test—2019.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

17a **10%-facts-and-circumstances test—2020.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

b **10%-facts-and-circumstances test—2019.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ ☐

**Part 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) ▶ | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
|---|---|---|---|---|---|---|
| 1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . | | | | | | |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose | | | | | | |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . . | | | | | | |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf. . . | | | | | | |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | |
| 6 **Total.** Add lines 1 through 5 | | | | | | |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons | | | | | | |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year. | | | | | | |
| c Add lines 7a and 7b. . | | | | | | |
| 8 **Public support.** (Subtract line 7c from line 6.) | | | | | | |

**Section B. Total Support**

| Calendar year (or fiscal year beginning) ▶ | (a) 2016 | (b) 2017 | (c) 2018 | (d) 2019 | (e) 2020 | (f) Total |
|---|---|---|---|---|---|---|
| 9 Amounts from line 6. . . | | | | | | |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources. . | | | | | | |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975. | | | | | | |
| c Add lines 10a and 10b. | | | | | | |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on. | | | | | | |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . | | | | | | |
| 13 **Total support.** (Add lines 9, 10c, 11, and 12.). . | | | | | | |

14 **First 5 years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**. . . . . ▶ ☐

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

| | | | |
|---|---|---|---|
| 15 | Public support percentage for 2020 (line 8, column (f) divided by line 13, column (f)) . . . . . | 15 | |
| 16 | Public support percentage from 2019 Schedule A, Part III, line 15 . . . . . | 16 | |

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

| | | | |
|---|---|---|---|
| 17 | Investment income percentage for **2020** (line 10c, column (f) divided by line 13, column (f)) . . . . . | 17 | |
| 18 | Investment income percentage from **2019** Schedule A, Part III, line 17 . . . . . | 18 | |

19a **33 1/3% support tests—2020.** 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—2019.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . ▶ ☐

## Part IV Supporting Organizations

(Complete only if you checked a box on line 12 of Part I. If you checked box 12a, of Part I, complete Sections A and B. If you checked box 12b, of Part I, complete Sections A and C. If you checked box 12c, of Part I, complete Sections A, D, and E. If you checked box 12d, of Part I, complete Sections A and D, and complete Part V.)

### Section A. All Supporting Organizations

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.* | 1 | Yes | |
| 2 | Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2).* | 2 | | No |
| 3a | Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer lines 3b and 3c below.* | 3a | | No |
| b | Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination.* | 3b | | |
| c | Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use.* | 3c | | |
| 4a | Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes" and if you checked box 12a or 12b in Part I, answer lines 4b and 4c below.* | 4a | | No |
| b | Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in* ***Part VI*** *how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.* | 4b | | |
| c | Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.* | 4c | | |
| 5a | Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer lines 5b and 5c below (if applicable). Also, provide detail in* ***Part VI,*** *including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).* | 5a | | No |
| b | **Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document? | 5b | | |
| c | **Substitutions only.** Was the substitution the result of an event beyond the organization's control? | 5c | | |
| 6 | Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.*** | 6 | | No |
| 7 | Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ) .* | 7 | | No |
| 8 | Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).* | 8 | | No |
| 9a | Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons, as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.*** | 9a | | No |
| 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* ***Part VI.*** | 9b | | No |
| c | Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.*** | 9c | | No |
| 10a | Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer line 10b below.* | 10a | | No |
| b | Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings).* | 10b | | |

**Part IV Supporting Organizations** (continued)

| | | | Yes | No |
|---|---|---|---|---|
| **11** | Has the organization accepted a gift or contribution from any of the following persons? | | | |
| **a** | A person who directly or indirectly controls, either alone or together with persons described in lines 11b and 11c below, the governing body of a supported organization? | **11a** | | **No** |
| **b** | A family member of a person described in 11a above? | **11b** | | **No** |
| **c** | A 35% controlled entity of a person described in line 11a or 11b above? *If "Yes" to 11a, 11b, or 11c, provide detail in* ***Part VI.*** | **11c** | | **No** |

## Section B. Type I Supporting Organizations

| | | | Yes | No |
|---|---|---|---|---|
| **1** | Did the officers, 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.* | **1** | | |
| **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.* | **2** | | |

## Section C. Type II Supporting Organizations

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

## Section D. All Type III Supporting Organizations

| | | | Yes | No |
|---|---|---|---|---|
| **1** | Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided? | **1** | Yes | |
| **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).* | **2** | Yes | |
| **3** | By reason of the relationship described in line 2 above, 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.* | **3** | Yes | |

## 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 lines 2a and 2b below.**

| | | | Yes | No |
|---|---|---|---|---|
| **a** | Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.* | **2a** | | |
| **b** | Did the activities described in line 2a constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.* | **2b** | | |

**3** Parent of Supported Organizations. **Answer lines 3a and 3b 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? *If "Yes" or "No" provide details in* ***Part VI.*** | **3a** | Yes | |
| **b** | Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI.*** *the role played by the organization in this regard.* | **3b** | Yes | |

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

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

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

| | **Section B - Minimum Asset Amount** | | (A) Prior Year | (B) Current Year (optional) |
|---|---|---|---|---|
| 1 | Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year): | 1 | | |
| a | Average monthly value of securities | 1a | | |
| b | Average monthly cash balances | 1b | | |
| c | Fair market value of other non-exempt-use assets | 1c | | |
| d | **Total** (add lines 1a, 1b, and 1c) | 1d | | |
| e | **Discount** claimed for blockage or other factors (*explain in detail in* ***Part VI***): | | | |
| 2 | Acquisition indebtedness applicable to non-exempt use assets | 2 | | |
| 3 | Subtract line 2 from line 1d | 3 | | |
| 4 | Cash deemed held for exempt use. Enter 0.015 of line 3 (for greater amount, see instructions). | 4 | | |
| 5 | Net value of non-exempt-use assets (subtract line 4 from line 3) | 5 | | |
| 6 | Multiply line 5 by 0.035 | 6 | | |
| 7 | Recoveries of prior-year distributions | 7 | | |
| 8 | **Minimum Asset Amount** (add line 7 to line 6) | 8 | | |

| | **Section C - Distributable Amount** | | | Current Year |
|---|---|---|---|---|
| 1 | Adjusted net income for prior year (from Section A, line 8, Column A) | 1 | | |
| 2 | Enter 85% of line 1 | 2 | | |
| 3 | Minimum asset amount for prior year (from Section B, line 8, Column A) | 3 | | |
| 4 | Enter greater of line 2 or line 3 | 4 | | |
| 5 | Income tax imposed in prior year | 5 | | |
| 6 | **Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) | 6 | | |

7 ☐ 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 | **1** | |
| **2** Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity | **2** | |
| **3** Administrative expenses paid to accomplish exempt purposes of supported organizations | **3** | |
| **4** Amounts paid to acquire exempt-use assets | **4** | |
| **5** Qualified set-aside amounts (*prior IRS approval required - provide details in* ***Part VI***) | **5** | |
| **6** Other distributions (*describe in* ***Part VI***). See instructions | **6** | |
| **7** **Total annual distributions.** Add lines 1 through 6. | **7** | |
| **8** Distributions to attentive supported organizations to which the organization is responsive (*provide details in* ***Part VI***). See instructions | **8** | |
| **9** Distributable amount for 2020 from Section C, line 6 | **9** | |
| **10** Line 8 amount divided by Line 9 amount | **10** | |

| **Section E - Distribution Allocations** (see instructions) | **(i) Excess Distributions** | **(ii) Underdistributions Pre-2020** | **(iii) Distributable Amount for 2020** |
|---|---|---|---|
| **1** Distributable amount for 2020 from Section C, line 6 | | | |
| **2** Underdistributions, if any, for years prior to 2020 (reasonable cause required-- *explain in* ***Part VI***). See instructions. | | | |
| **3** Excess distributions carryover, if any, to 2020: | | | |
| **a** From 2015. . . . . | | | |
| **b** From 2016. . . . . | | | |
| **c** From 2017. . . . . | | | |
| **d** From 2018. . . . . | | | |
| **e** From 2019. . . . . | | | |
| **f** **Total** of lines 3a through e | | | |
| **g** Applied to underdistributions of prior years | | | |
| **h** Applied to 2020 distributable amount | | | |
| **i** Carryover from 2015 not applied (see instructions) | | | |
| **j** Remainder. Subtract lines 3g, 3h, and 3i from line 3f. | | | |
| **4** Distributions for 2020 from Section D, line 7: $ | | | |
| **a** Applied to underdistributions of prior years | | | |
| **b** Applied to 2020 distributable amount | | | |
| **c** Remainder. Subtract lines 4a and 4b from line 4. | | | |
| **5** Remaining underdistributions for years prior to 2020, if any. Subtract lines 3g and 4a from line 2. If the amount is greater than zero, *explain in* ***Part VI***. See instructions. | | | |
| **6** Remaining underdistributions for 2020. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, *explain in* ***Part VI***. See instructions. | | | |
| **7** **Excess distributions carryover to 2021.** Add lines 3j and 4c. | | | |
| **8** Breakdown of line 7: | | | |
| **a** Excess from 2016. . . . . | | | |
| **b** Excess from 2017. . . . . | | | |
| **c** Excess from 2018. . . . . | | | |
| **d** Excess from 2019. . . . . | | | |
| **e** Excess from 2020. . . . . | | | |

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

**Facts And Circumstances Test**

## 990 Schedule A, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Schedule A, Part IV, Section D, Line 3 Supp. Org. Have Significant Voice In Investment Policies | THE ORGANIZATIONS SUPPORTED HAVE A SIGNIFICANT VOICE IN THE ORGANIZATION'S INVESTMENT POLI CIES, AS WELL AS IN DIRECTING THE USE OF THE ORGANIZATION'S INCOME OR ASSETS. THE SUPPORTI NG ORGANIZATIONS PARTICIPATE ON THE INVESTMENT COMMITTEE TO DIRECT THE INVESTMENTS OF THE UMASS MEMORIAL INVESTMENT PARTNERSHIP, IN WHICH THE SUPPORTING ORGANIZATION'S FUNDS ARE IN VESTED. |

**990 Schedule A, Supplemental Information**

| Return Reference | Explanation |
| --- | --- |
| Schedule A, Part IV, Section E, Line 3a Power To Appoint/Elect Majority of Officer/Director/Trustee | THE PARENT ORGANIZATION HAS THE POWER TO REGULARLY APPOINT OR ELECT A MAJORITY OF THE OFFI CERS, DIRECTORS, OR TRUSTEES OF EACH SUPPORTED ORGANIZATION. |

**990 Schedule A, Supplemental Information**

| Return Reference | Explanation |
| --- | --- |
| Schedule A, Part IV, Section E, Line 3b Substantial Direction Over Policies/Programs/Activities | THE ORGANIZATION EXERCISES A SUBSTANTIAL DEGREE OF DIRECTION OVER THE POLICIES, PROGRAMS, AND ACTIVITIES OF EACH OF ITS SUPPORTED ORGANIZATIONS THROUGH THE DIRECTION OF THE OFFICERS AND DIRECTORS OF THE SUPPORTED ORGANIZATIONS. THERE ARE RESERVED POWERS OF THE PARENT OVER ITS SUBSIDIARIES FOR SIGNIFICANT CORPORATE ACTIONS RELATED TO SUCH ITEMS AS AGREEMENTS TO SELL ASSETS, MERGERS, CAPITAL AND OPERATING BUDGETS, LOAN AGREEMENTS, ELECTION OF THE PRESIDENT, CHANGES TO ARTICLES OF ORGANIZATION/BYLAWS, ADOPTION OF STRATEGIC PLAN, ETC. |

# Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

**Form 990, Sch A, Part I, Line 12g - Provide the following information about the supported organization(s).**

| (i)Name of supported organization | (ii)EIN | (iii) Type of organization (described on lines 1- 9 above (see instructions)) | (iv) Is the organization listed in your governing document? | | (v) Amount of monetary support (see instructions) | (vi) Amount of other support (see instructions) |
|---|---|---|---|---|---|---|
| | | | Yes | No | | |
| (A) UMass Memorial Medical Center Inc | 043358564 | 3 | Yes | | 255,303,709 | 0 |
| (A) Marlborough Hospital | 042104693 | 3 | Yes | | 12,811,072 | 0 |
| (B) UMass Memorial HealthAlliance-Clinton Hospital Inc | 042103555 | 3 | Yes | | 30,295,400 | 0 |
| (C) UMass Memorial Medical Group Inc | 042911067 | 9 | Yes | | 85,103,280 | 0 |
| (D) Community HealthLink Inc | 042626179 | 7 | Yes | | 334,438 | 0 |
| (E) Central New England HealthAlliance Inc | 043172496 | 7 | Yes | | 6,550 | 0 |
| (F) HealthAlliance Home Health and Hospice Inc | 042932308 | 9 | Yes | | 0 | 0 |

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

Department of the Treasury
Internal Revenue Service

# Political Campaign and Lobbying Activities

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

▶**Complete if the organization is described below.** ▶**Attach to Form 990 or Form 990-EZ.**
▶**Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

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

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

**If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

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

**If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then**

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

| Name of the organization | Employer identification number |
|---|---|
| UMass Memorial Health Care Inc (Parent) | 04-3358566 |

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

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV (see instructions for definition of "political campaign activities")

2 Political campaign activity expenditures (see instructions) ▶ $

3 Volunteer hours for political campaign activities (see instructions)

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

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

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

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No

4a Was a correction made? ☐ Yes ☐ No

b If "Yes," describe in Part IV.

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

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

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ $

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

4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No

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

| | **(a)** Name | **(b)** Address | **(c)** EIN | **(d)** Amount paid from filing organization's funds. If none, enter -0-. | **(e)** Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-. |
|---|---|---|---|---|---|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |

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

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

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

| **Limits on Lobbying Expenditures** (The term "expenditures" means amounts paid or incurred.) | **(a)** Filing organization's totals | **(b)** Affiliated group totals |
|---|---|---|
| **1a** Total lobbying expenditures to influence public opinion (grass roots lobbying) | | |
| **b** Total lobbying expenditures to influence a legislative body (direct lobbying) | | |
| **c** Total lobbying expenditures (add lines 1a and 1b) | | |
| **d** Other exempt purpose expenditures | | |
| **e** Total exempt purpose expenditures (add lines 1c and 1d) | | |
| **f** Lobbying nontaxable amount. Enter the amount from the following table in both columns. | | |

| If the amount on line 1e, column (a) or (b) is: | The lobbying nontaxable amount is: |
|---|---|
| Not over $500,000 | 20% of the amount on line 1e. |
| Over $500,000 but not over $1,000,000 | $100,000 plus 15% of the excess over $500,000. |
| Over $1,000,000 but not over $1,500,000 | $175,000 plus 10% of the excess over $1,000,000. |
| Over $1,500,000 but not over $17,000,000 | $225,000 plus 5% of the excess over $1,500,000. |
| Over $17,000,000 | $1,000,000. |

| | | |
|---|---|---|
| **g** Grassroots nontaxable amount (enter 25% of line 1f) | | |
| **h** Subtract line 1g from line 1a. If zero or less, enter -0-. | | |
| **i** Subtract line 1f from line 1c. If zero or less, enter -0-. | | |

**j** If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

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

**Lobbying Expenditures During 4-Year Averaging Period**

| Calendar year (or fiscal year beginning in) | **(a)** 2017 | **(b)** 2018 | **(c)** 2019 | **(d)** 2020 | **(e)** Total |
|---|---|---|---|---|---|
| **2a** Lobbying nontaxable amount | | | | | |
| **b** Lobbying ceiling amount (150% of line 2a, column(e)) | | | | | |
| **c** Total lobbying expenditures | | | | | |
| **d** Grassroots nontaxable amount | | | | | |
| **e** Grassroots ceiling amount (150% of line 2d, column (e)) | | | | | |
| **f** Grassroots lobbying expenditures | | | | | |

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

| *For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.* | | (a) Yes | (a) No | (b) Amount |
|---|---|---|---|---|
| 1 | During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of: | | | |
| a | Volunteers? | | No | |
| b | Paid staff or management (include compensation in expenses reported on lines 1c through 1i)? | | No | |
| c | Media advertisements? | | No | |
| d | Mailings to members, legislators, or the public? | | No | |
| e | Publications, or published or broadcast statements? | | No | |
| f | Grants to other organizations for lobbying purposes? | | No | |
| g | Direct contact with legislators, their staffs, government officials, or a legislative body? | | No | |
| h | Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means? | | No | |
| i | Other activities? | Yes | | 99,835 |
| j | Total. Add lines 1c through 1i | | | 99,835 |
| 2a | Did the activities in line 1 cause the organization to be not described in section 501(c)(3)? | | No | |
| b | If "Yes," enter the amount of any tax incurred under section 4912 | | | |
| c | If "Yes," enter the amount of any tax incurred by organization managers under section 4912 | | | |
| d | If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year? | | | |

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

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

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

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

## Part IV Supplemental Information

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

| Return Reference | Explanation |
|---|---|
| Schedule C, Part II-B, Line 1 DETAILED DESCRIPTION OF THE LOBBYING ACTIVITY | Amounts represent percentage of lobbying expenses included in membership dues paid to the following associations: Coalition to Protect America's Health Care $78,750 America's Essential Hospitals $18,203 Professional Liability Foundation, LTD $2,700 Worcester Regional Chamber of Commerce $182 Total $99,835 |

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# 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 for instructions and the latest information.

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

**Name of the organization**
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## 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? ☐ Yes ☐ 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? ☐ Yes ☐ 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).

☐ Preservation of land for public use (e.g., recreation or education)
☐ Preservation of an historically important land area
☐ Protection of natural habitat
☐ Preservation of a certified historic structure
☐ Preservation of open space

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

| | | Held at the End of the Year |
|---|---|---|
| a Total number of conservation easements | 2a | |
| b Total acreage restricted by conservation easements | 2b | |
| c Number of conservation easements on a certified historic structure included in (a) | 2c | |
| d Number of conservation easements included in (c) acquired after 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? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ $ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

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

## Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB 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 FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 ▶ $ _____

(ii) Assets included in Form 990, Part X ▶ $ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB 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 |
|---|---|---|
| c | Beginning balance | 1c |
| d | Additions during the year | 1d |
| e | Distributions during the year | 1e |
| f | Ending balance | 1f |

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? . . . ☑ Yes ☐ No

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

## Part V Endowment Funds.

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

| | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|---|---|---|---|---|
| 1a Beginning of year balance | 50,634,682 | 49,104,824 | 48,384,545 | 47,869,272 | 46,909,090 |
| b Contributions | 95,183 | 95,486 | 66,231 | 656,633 | 10,239 |
| c Net investment earnings, gains, and losses | 9,706,687 | 2,689,545 | 1,664,022 | 2,338,097 | 4,215,185 |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | 2,709,834 | 1,255,173 | 1,009,974 | 2,479,457 | 3,265,242 |
| f Administrative expenses | | | | | |
| g End of year balance | 57,726,718 | 50,634,682 | 49,104,824 | 48,384,545 | 47,869,272 |

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

- a Board designated or quasi-endowment ▶ 0 %
- b Permanent endowment ▶ 48 %
- c Term endowment ▶ 52 %

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:

| | Yes | No |
|---|---|---|
| (i) Unrelated organizations | | No |
| (ii) Related organizations | | No |

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

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

## Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|---|---|---|---|---|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | | | |
| d Equipment | | 28,849,412 | 18,825,399 | 10,024,013 |
| e Other | | 279,572,784 | 105,243,782 | 174,329,002 |
| **Total.** Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶ | | | | 184,353,015 |

**Part VII Investments—Other Securities.**
Complete if the organization answered "Yes" on Form 990, Part IV, line 11b.See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|---|---|
| (1) Financial derivatives | | |
| (2) Closely-held equity interests | 2,743,192 | F |
| (3) Other | | |
| (A) Investment in captive insurance company | 120,000 | C |
| (B) Units in investment partnership | 415,959,060 | F |
| (C) | | |
| (D) | | |
| (E) | | |
| (F) | | |
| (G) | | |
| (H) | | |
| (I) | | |
| **Total.** *(Column (b) must equal Form 990, Part X, col. (B) line 12.)* ▶ | 418,822,252 | |

**Part VIII Investments—Program Related.**
Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

| (a) Description of investment | (b) Book value | (c) Method of valuation: Cost or end-of-year market value |
|---|---|---|
| (1) | | |
| (2) | | |
| (3) | | |
| (4) | | |
| (5) | | |
| (6) | | |
| (7) | | |
| (8) | | |
| (9) | | |
| (10) | | |
| **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)Due from related parties | 467,067,911 |
| (2)Beneficial interest | 759,869 |
| (3)Other assets | 37,678 |
| (4) | |
| (5) | |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| (10) | |
| **Total.** *(Column (b) must equal Form 990, Part X, col.(B) line 15.)* ▶ | 467,865,458 |

**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) Due to related parties | 35,149,094 |
| (3) Outstanding loss and self insured reserves | 40,577,869 |
| (4) Other liabilities | 44,760,246 |
| (5) Accrued pension & postretirement obligations | 293,683,867 |
| (6) | |
| (7) | |
| (8) | |
| (9) | |
| **Total.** *(Column (b) must equal Form 990, Part X, col.(B) line 25.)* ▶ | 414,171,076 |

**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.

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

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**
Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

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

**Part XIII Supplemental Information**

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

| Return Reference | Explanation |
|---|---|
| See Additional Data Table | |
| | |
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**Part XIII** **Supplemental Information *(continued)***

| Return Reference | Explanation |
|---|---|
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# Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

**Supplemental Information**

| Return Reference | Explanation |
|---|---|
| Schedule D, Part IV, Line 2b Explanation of escrow agreement | UMASS MEMORIAL MEDICAL CENTER, INC. HAS A CUSTODIAL ACCOUNT OF $3,148,512 RELATED TO CAPIT AL ACCUMULATION ACCOUNTS FOR EXECUTIVES. THESE FUNDS ARE PAID OUT ACCORDING TO THE VESTING DATES SELECTED BY THE EXECUTIVES (MINIMUM OF TWO YEARS). |

**Supplemental Information**

| Return Reference | Explanation |
| --- | --- |
| Schedule D, Part V, Line 4 Intended uses of endowment funds | The intended use of the organization's endowment funds are directed in accordance with the donor's intent including the preservation of the original gift and various purposes inclu ding charity care, medical education, research, health care services, buildings and equipm ent. |

**Supplemental Information**

| Return Reference | Explanation |
| --- | --- |
| Schedule D, Part X, Line 2 FIN 48 (ASC 740) footnote | The Company and substantially all of its affiliates are tax-exempt organizations under Section 501(c)(3) of the Internal Revenue Code (IRC) or are disregarded entities for tax purposes. Accordingly, these entities will not incur any liability for federal income taxes except for tax on unrelated business taxable income (UBTI). The measurement of the amounts recorded as a provision for income taxes for all our affiliates was $376,000 and $433,000 for the years ended September 30, 2021 and 2020, respectively, and is recorded as part of supplies and other expense in the accompanying consolidated statements of operations. For the years ended September 30, 2021 and 2020, the System had approximately $11,879,000 and $14,900,000 respectively, of net operating loss (NOL) carryforwards for federal income tax purposes primarily related to its previously discontinued laboratory outreach business. The NOL carryforwards have expiration dates from 2032 through 2035. For the year ended September 30, 2021, the System utilized the deferred tax assets and recognized an income tax expense of $2,726,000 which has been recorded in supplies and other expense in the accompanying consolidated statements of operations. The System accounts for uncertainty in income tax positions by applying a recognition threshold and measurement attribute for financial statement recognition and measurement of a tax position taken or expected to be taken in a tax return. We have determined that no material unrecognized tax benefits or liabilities exist as of September 30, 2021. |

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SCHEDULE F (Form 990)

Department of the Treasury
Internal Revenue Service

# Statement of Activities Outside the United States

► Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.
► Attach to Form 990.
► Go to *www.irs.gov/Form990* for instructions and the latest information.

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

**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 Activites 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 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 |
|---|---|---|---|---|---|
| See Add'l Data | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| **3a** Sub-total . . . . | 1 | 1 | | | 47,147,123 |
| **b** Total from continuation sheets to Part I . . . | 0 | 0 | | | 0 |
| **c Totals** (add lines 3a and 3b) | 1 | 1 | | | 47,147,123 |

**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) |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

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) |
|---|---|---|---|---|---|---|---|
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## 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.

| ReturnReference | Explanation |
|---|---|
| | |
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# Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

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

| (a) Region | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---|---|---|---|---|---|
| Central America and the Caribbean | 1 | 1 | Conducting board meetings,Accounting | | 153,882 |
| Central America and the Caribbean | 0 | 0 | Investments | | 120,000 |

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

| (a) Region | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---|---|---|---|---|---|
| Central America and the Caribbean | 0 | 0 | Program Services | Insurance claims | 18,179,584 |
| Central America and the Caribbean | 0 | 0 | Program Services | Insurance premiums | 28,693,657 |

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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, lines 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a.**

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

**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.

**a** ☐ Mail solicitations
**b** ☐ Internet and email solicitations
**c** ☐ Phone solicitations
**d** ☐ In-person solicitations
**e** ☐ Solicitation of non-government grants
**f** ☐ Solicitation of government grants
**g** ☐ Special fundraising events

**2a** Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☐ **Yes** ☐ **No**

**b** If "Yes," list the 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? **Yes** | **No** | **(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 |
|---|---|---|---|---|---|---|
| | | | | | | |
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| | | | | | | |
| **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 Winter Ball (event type) | (b) Event #2 Tee Up for Tots (event type) | (c) Other events 1 (total number) | (d) Total events (add col. (a) through col. (c)) |
|---|---|---|---|---|---|
| Revenue | 1 Gross receipts | 645,180 | 21,385 | 33,675 | 700,240 |
| | 2 Less: Contributions | 181,580 | | | 181,580 |
| | 3 Gross income (line 1 minus line 2) | 463,600 | 21,385 | 33,675 | 518,660 |
| Direct Expenses | 4 Cash prizes | | | | |
| | 5 Noncash prizes | | | | |
| | 6 Rent/facility costs | 205,063 | 7,335 | 2,640 | 215,038 |
| | 7 Food and beverages | 15,231 | 10,880 | 2,940 | 29,051 |
| | 8 Entertainment | | | | |
| | 9 Other direct expenses | 18,466 | 300 | 680 | 19,446 |
| | 10 Direct expense summary. Add lines 4 through 9 in column (d) ▶ | | | | 263,535 |
| | 11 Net income summary. Subtract line 10 from line 3, column (d) ▶ | | | | 255,125 |

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

| | | (a) Bingo | (b) Pull tabs/Instant bingo/progressive bingo | (c) Other gaming | (d) Total gaming (add col. (a) through col. (c)) |
|---|---|---|---|---|---|
| Revenue | 1 Gross revenue | | | | |
| Direct Expenses | 2 Cash prizes | | | | |
| | 3 Noncash prizes | | | | |
| | 4 Rent/facility costs | | | | |
| | 5 Other direct expenses | | | | |
| | 6 Volunteer labor | ☐ Yes ____% ☐ No | ☐ Yes ____% ☐ No | ☐ Yes ____% ☐ No | |
| | 7 Direct expense summary. Add lines 2 through 5 in column (d) ▶ | | | | |
| | 8 Net gaming income summary. Subtract line 7 from line 1, column (d) ▶ | | | | |

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

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain: _____

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

b If "Yes," explain: _____

**11** Does the organization conduct gaming activities with nonmembers? . . . . . ☐ Yes ☐ No

**12** Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? . . . . . ☐ Yes ☐ No

**13** Indicate the percentage of gaming activity conducted in:

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

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

Name ▶ ----------

Address ▶ ----------

**15a** Does the organization have a contract with a third party from whom the organization receives gaming revenue? . . . . . ☐ Yes ☐ No

**b** If "Yes," enter the amount of gaming revenue received by the organization ▶ $ _____ and the amount of gaming revenue retained by the third party ▶ $ _____.

**c** If "Yes," enter name and address of the third party:

Name ▶ ----------

Address ▶ ----------

**16** Gaming manager information:

Name ▶ ----------

Gaming manager compensation ▶ $----------

Description of services provided ▶ ----------

☐ Director/officer ☐ Employee ☐ Independent contractor

**17** Mandatory distributions:

**a** Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? . . . . . ☐ Yes ☐ No

**b** Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

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

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

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**Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.**

**Schedule I (Form 990)**

Department of the Treasury
Internal Revenue Service

# 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.**

▶ **Attach to Form 990.**

▶ **Go to *www.irs.gov/Form990* for the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## 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.

| (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) See Additional Data | | | | | | | |
| (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 . . . . . ▶ 13

3 Enter total number of other organizations listed in the line 1 table . . . . . ▶ 0

**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) EMERGENCY ASSISTANCE SUPPORT FOR EMPLOYEES (EASE). Eligible employees can receive an EASE grant for up to $1,500 to lessen the financial burden caused by an unplanned emergency. | 15 | 20,373 | | Book | |
| (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.

| Return Reference | Explanation |
|---|---|
| Schedule I, Part I, Line 2 Procedures for monitoring use of grant funds. | AT REASONABLE INTERVALS, RE-EVALUATION OF THE GRANTS WILL OCCUR TO ENSURE THAT THE ARRANGEMENTS ARE EXPECTED TO CONTINUE TO SATISFY THE STANDARD SET FORTH. |

## Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| City of Worcester<br>455 Main Street<br>Worcester, MA 01608 | 04-6001418 | City of Worcester | 1,123,000 | 0 | N/A | N/A | 1. Donation to establish Worcester Health Equity Fund |
| UMass Chan Medical School<br>55 Lake Ave N<br>Worcester, MA 01655 | 04-3167352 | 501 (C)(1) | 137,444 | 0 | N/A | N/A | 2. Promote the career development of junior faculty |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| Community Legal Aid Inc<br>405 Main Street<br>Worcester, MA 01608 | 04-2446242 | 501 (c)(3) | 60,000 | 0 | N/A | N/A | 3. Support Medical Legal Partnership between Umass Memorial & Community Legal Aid |
| UMass Memorial Foundation Inc The<br>333 South Street<br>Shrewsbury, MA 01545 | 04-3108190 | 501 (c)(3) | 25,000 | 0 | N/A | N/A | 4. Support Cancer |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| Regional Environmental Council Inc<br>PO Box 255<br>Worcester, MA 01613 | 04-6364350 | 501 (c)(3) | 25,000 | 0 | N/A | N/A | 5. Support to address food insecurity |
| Worcester Common Ground Inc<br>5 Piedmont Street<br>Worcester, MA 01610 | 22-2976657 | 501 (c)(3) | 15,000 | 0 | N/A | N/A | 6. Support to address food insecurity |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| Marlborough Hospital<br>57 Union Street<br>Marlborough, MA 01752 | 04-2104693 | 501 (c)(3) | 15,000 | 0 | N/A | N/A | 7. Transfer to related organization for golf tournament |
| HealthAlliance-Clinton Hospital<br>60 Hospital Road<br>Leominster, MA 01453 | 04-2103555 | 501 (c)(3) | 12,000 | 0 | N/A | N/A | 8. Transfer to related organization for golf tournament |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| The Francis Ouimet Scholarship Fund Inc<br>300 Arnold Palmer Boulevard<br>Norton, MA 02766 | 04-2234126 | 501 (c)(3) | 10,000 | 0 | N/A | N/A | 9. Support Youth Employment & Education Tuition Awards |
| VNA Care Network Inc<br>120 Thomas Street<br>Worcester, MA 016081280 | 04-2103825 | 501 (c)(3) | 10,000 | 0 | N/A | N/A | 10. Support for Home Health and Hospice - Worcester Benefit Salute to Nurses |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| The Health Foundation Fund Inc<br>446 Main Street<br>20th Floor<br>Worcester, MA 01608 | 04-3521743 | 501 (c)(3) | 10,000 | 0 | N/A | N/A | 11. Support Worcester's Redevelopment |
| Worcester Art Museum<br>55 Salisbury Street<br>Worcester, MA 01609 | 04-1988530 | 501 (c)(3) | 10,000 | 0 | N/A | N/A | 12. Support Business Partner Membership at Sponsor Level |

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

| **(a)** Name and address of organization or government | **(b)** EIN | **(c)** IRC section if applicable | **(d)** Amount of cash grant | **(e)** Amount of non-cash assistance | **(f)** Method of valuation (book, FMV, appraisal, other) | **(g)** Description of non-cash assistance | **(h)** Purpose of grant or assistance |
|---|---|---|---|---|---|---|---|
| Worcester State Foundation Inc<br>486 Chandler Street<br>Worcester, MA 01602 | 22-3248067 | 501 (c)(3) | 10,000 | 0 | N/A | N/A | 13. Support our COVID19 testing, education and outreach program at Worcester State University |

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# Schedule J (Form 990)

## 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 for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Department of the Treasury
Internal Revenue Service

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## Part I Questions Regarding Compensation

| | | | Yes | No |
|---|---|---|---|---|
| **1a** | Check the appropiate 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. | | | |
| | ☐ First-class or charter travel | ☐ Housing allowance or residence for personal use | | |
| | ☐ Travel for companions | ☐ Payments for business use of personal residence | | |
| | ☐ Tax idemnification and gross-up payments | ☐ Health or social club dues or initiation fees | | |
| | ☐ Discretionary spending account | ☐ Personal services (e.g., 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 | **1b** | | |
| **2** | Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked 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. | | | |
| | ☑ Compensation committee | ☐ Written employment contract | | |
| | ☑ Independent compensation consultant | ☑ Compensation survey or study | | |
| | ☑ Form 990 of other organizations | ☑ Approval by the board or compensation committee | | |
| **4** | During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization: | | | |
| **a** | Receive a severance payment or change-of-control payment? | **4a** | Yes | |
| **b** | Participate in, or receive payment from, a supplemental nonqualified retirement plan? | **4b** | Yes | |
| **c** | Participate in, or receive payment from, an equity-based compensation arrangement? | **4c** | | No |
| | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III. | | | |
| | **Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.** | | | |
| **5** | For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of: | | | |
| **a** | The organization? | **5a** | | No |
| **b** | Any related organization? | **5b** | | No |
| | If "Yes," on line 5a or 5b, describe in Part III. | | | |
| **6** | For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of: | | | |
| **a** | The organization? | **6a** | | No |
| **b** | Any related organization? | **6b** | | No |
| | 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 in lines 5 and 6? If "Yes," describe in Part III | **7** | | No |
| **8** | Were any amounts reported on Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III | **8** | | No |
| **9** | If "Yes" 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 are not listed on Form 990, Part VII.

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

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

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

| Return Reference | Explanation |
|---|---|
| Schedule J, Part I, Line 4a Severance or change-of-control payment | The following individuals received severance in the reporting period: Included in Sch J Col Biii: Fisher, Barbara $286,476 Weymouth, Deborah $258,924 |
| Schedule J, Part I, Line 4b Supplemental nonqualified retirement plan | THE FOLLOWING INDIVIDUALS RECEIVED PAYMENT FROM A SUPPLEMENTAL NONQUALIFIED RETIREMENT PLAN IN THE REPORTING PERIOD: OFFICERS, DIRECTORS, TRUSTEES: BOLLAND ESHGHI, KATHARINE $39,379 BROWN, DOUGLAS S. $70,832 DICKSON, ERIC W., MD $143,644 FINBERG, ROBERT W., MD $467,040 MELGAR, SERGIO $87,152 SUBTOTAL OFF, DIR, TRUSTEES $808,047 KEY EMPLOYEES: ALPER, MD, ERIC J $32,452 FELDMANN, ROBERT $97,956 LAPRIORE, CHERYL M. $42,715 METZGER, BART $85,514 RANDOLPH, JOHN T. $159,625 CORBETT, WILLIAM, MD $47,260 CYR, JAMES P. $26,733 KARSON, ANDREW $25,691 SHAKMAN, ALICE $33,593 DAY, THERESE $40,111 GREENWOOD, JOHN $32,443 GUSTAFSON, MD, MICHAEL $36,707 ROACH, STEVEN $40,647 STREETER, MICHELE $27,708 TOSI, STEPHEN E., MD $63,893 SALZBERG, JOHN R. $18,580 SUBTOTAL KEY EMPLOYEES $811,628 FORMER: COLOMBO, LISA $104,728 SWENSON, DANA E. $98,340 FISHER, BARBARA $29,774 MULDOON, PATRICK $1,421,276 WEYMOUTH, DEBORAH $38,974 SUBTOTAL FORMER $1,693,092 PARENT TOP 5 HIGHEST PAID: WESTON, ALAN R. $49,008 SODANO, ROBIN L. $25,792 ROSSI, CATHERINE M. $17,503 WIESMAN, TOD G. $13,601 LAROCHE, JUDY A. $15,821 SUBTOTAL TOP 5 HIGHEST PAID $121,725 TOTAL $3,434,492 THE FOLLOWING INDIVIDUALS PARTICIPATED IN A SUPPLEMENTAL NONQUALIFIED RETIREMENT PLAN IN THE REPORTING PERIOD (no distribution received): KEY EMPLOYEES: DRISCOLL, KATHLEEN BAILEY, JACK W. CAFFARENA, DIANNA J. PRECOURT, JUSTIN |
| Schedule J, Part II COMPENSATION TO DIRECTORS | THE DIRECTORS RECEIVE NO COMPENSATION FOR THEIR ROLE AS DIRECTORS. ALL COMPENSATION RECEIVED RELATES TO THEIR POSITION AS A PHYSICIAN/ADMINISTRATOR. |
| Schedule J, Part II Compensation to employees | Compensation to employees reported in Part VII and Schedule J is paid by UMass Memorial Health Care, Inc. and Affiliates only. Some of our physicians are also employed by the UMass Chan Medical School - University of Massachusetts, an unrelated entity for tax purposes. |

## Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

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

| (A) Name and Title | | (B) Breakdown of W-2 and/or 1099-MISC compensation | | | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) reported as deferred on prior Form 990 |
|---|---|---|---|---|---|---|---|---|
| | | (i) Base Compensation | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | | | | |
| **1**ERIC W DICKSON MD | (i) | 1,350,402 | 845,021 | 144,400 | 388,466 | 54,493 | 2,782,782 | 143,644 |
| PRESIDENT, CEO, DIRECTOR, UMM HEALTH CARE, INC. | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **1**ROBERT W FINBERG MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| DIRECTOR UNTIL FY2021, UMM HEALTH CARE, INC. | (ii) | 310,574 | 119,878 | 483,883 | 45,902 | 46,921 | 1,007,158 | 467,040 |
| **2**MARK JOHNSON MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| DIRECTOR, UMM HEALTH CARE, INC. | (ii) | 984,930 | 37,160 | 0 | 14,250 | 112,187 | 1,148,527 | 0 |
| **3**DOUGLAS S BROWN | (i) | 654,347 | 322,340 | 89,138 | 179,037 | 31,720 | 1,276,582 | 70,832 |
| SECRETARY, UMM HEALTH CARE, INC. | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **4** KATHARINE BOLLAND ESHGHI | (i) | 424,370 | 132,893 | 39,379 | 110,797 | 28,347 | 735,786 | 39,379 |
| ASSISTANT SECRETARY, UMM HEALTH CARE, INC. | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **5**SERGIO MELGAR | (i) | 779,466 | 385,976 | 106,652 | 208,494 | 42,596 | 1,523,184 | 87,152 |
| EVP/CFO/Treasurer, UMM Health Care, Inc. Officer | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **6**LISA COLOMBO | (i) | 0 | 0 | 104,728 | 0 | 0 | 104,728 | 104,728 |
| FORMER KEY EMPLOYEE UNTIL 1/2018 | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **7**BARBARA FISHER | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| FORMER KEY EE, SVP UNTIL 9/25/19, OPERATIONS (UMMMC) | (ii) | 0 | 0 | 316,250 | 29,731 | 269 | 346,250 | 29,774 |
| **8**DANA SWENSON | (i) | 114,911 | 55,883 | 103,961 | 50,308 | 11,754 | 336,817 | 98,340 |
| FORMER KEY EMPLOYEE UNTIL FY2020 | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **9**DEBORAH WEYMOUTH | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| FORMER PRESIDENT UNTIL 9/27/19, HEALTHALLIANCE-CLINTON HOSPITAL | (ii) | 0 | 0 | 297,898 | 37,164 | 6,409 | 341,471 | 38,974 |
| **10**PATRICK MULDOON | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| FORMER KEY EMPLOYEE UNTIL 1/2018 | (ii) | 0 | 0 | 1,421,276 | 0 | 0 | 1,421,276 | 1,421,276 |
| **11**JACK W BAILEY | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, CLINICAL SVCS | (ii) | 271,403 | 85,938 | 0 | 39,822 | 29,306 | 426,469 | 0 |
| **12**WILLIAM CORBETT MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, COMMUNITY PRACTICES | (ii) | 444,829 | 151,143 | 72,437 | 118,455 | 37,085 | 823,949 | 47,260 |
| **13**JAMES P CYR | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, SURGICAL & PROCEDURAL SVCS | (ii) | 268,585 | 86,450 | 26,733 | 80,040 | 32,424 | 494,232 | 26,733 |
| **14**THERESE DAY | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VP/CHIEF FINANCIAL OFFICER MED CENTER | (ii) | 339,973 | 107,218 | 40,111 | 91,196 | 32,226 | 610,724 | 40,111 |
| **15**ROBERT FELDMANN | (i) | 303,082 | 102,323 | 117,456 | 93,686 | 30,132 | 646,679 | 97,956 |
| SVP UNTIL FY2021, FINANCE/CORPORATE CONTROLLER | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **16**JOHN GREENWOOD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, POP HLTH & PRESIDENT, ACO | (ii) | 332,048 | 104,767 | 32,443 | 111,341 | 28,648 | 609,247 | 32,443 |
| **17**MICHAEL GUSTAFSON MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PRESIDENT, MEDICAL CENTER | (ii) | 823,260 | 378,065 | 36,707 | 164,546 | 34,342 | 1,436,920 | 36,707 |
| **18**ANDREW KARSON MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, CMO-UMMMC | (ii) | 461,787 | 181,685 | 45,191 | 91,856 | 49,078 | 829,597 | 25,691 |
| **19**CHERYL LAPRIORE | (i) | 380,396 | 121,202 | 42,715 | 118,993 | 28,684 | 691,990 | 42,715 |
| SVP, CHF OF STAFF &CHF MKTG OFC | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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

| (A) Name and Title | | (B) Breakdown of W-2 and/or 1099-MISC compensation | | | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation in column (B) reported as deferred on prior Form 990 |
|---|---|---|---|---|---|---|---|---|
| | | (i) Base Compensation | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | | | | |
| **21**LATAMARA LUNDI | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PRESIDENT, COMMUNITY HEALTHLINK, INC. | (ii) | 215,430 | 6,250 | 0 | 2,056 | 15,782 | 239,518 | 0 |
| **1**BART METZGER | (i) | 436,201 | 138,899 | 90,914 | 74,843 | 30,702 | 771,559 | 85,514 |
| SVP, CHIEF HR OFFICER | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **2**JUSTIN PRECOURT | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, PATIENT CARE SVCS & CNO | (ii) | 370,923 | 152,500 | 3,700 | 41,744 | 42,108 | 610,975 | 0 |
| **3**JOHN T RANDOLPH | (i) | 255,446 | 81,244 | 159,625 | 41,305 | 34,830 | 572,450 | 159,625 |
| VP, CHIEF CORPORATE COMPLIANCE | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **4**STEVEN ROACH | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PRESIDENT, CNEHA, Inc. & MARLBOROUGH HOSPITAL | (ii) | 457,696 | 142,461 | 40,647 | 98,902 | 29,614 | 769,320 | 40,647 |
| **5**JOHN R SALZBERG | (i) | 319,149 | 100,412 | 18,580 | 74,619 | 30,352 | 543,112 | 18,580 |
| SVP, SYSTEM REV CYCLE OPS & CRO | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **6**ALICE A SHAKMAN | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, CLINICAL SVCS | (ii) | 283,977 | 88,439 | 33,593 | 81,613 | 14,993 | 502,615 | 33,593 |
| **7**MICHELE STREETER | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| EXEC VP/COO UMMMG | (ii) | 442,980 | 215,183 | 27,708 | 140,069 | 32,361 | 858,301 | 27,708 |
| **8**STEPHEN E TOSI MD | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CHIEF PHYSICIAN EXECUTIVE | (ii) | 660,594 | 334,703 | 82,439 | 103,087 | 38,915 | 1,219,738 | 63,893 |
| **9**DIANNA J CAFFARENA | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SVP, AMBULATORY SVCS | (ii) | 246,893 | 59,687 | 0 | 30,731 | 3,935 | 341,246 | 0 |
| **10**ERIC J ALPER MD | (i) | 427,708 | 113,996 | 51,952 | 95,416 | 46,743 | 735,815 | 32,452 |
| SVP CQO & CHF INFORMATICS OFF | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **11**KATHLEEN DRISCOLL | (i) | 296,707 | 63,594 | 0 | 31,033 | 908 | 392,242 | 0 |
| SVP, CHIEF PHILANTHROPHY OFC | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **12**CATHERINE M ROSSI | (i) | 282,988 | 71,531 | 17,503 | 65,661 | 29,437 | 467,120 | 17,503 |
| VP HEALTH SYSTEM CONTRACTING | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **13**ROBIN L SODANO | (i) | 310,137 | 78,031 | 25,792 | 76,165 | 27,094 | 517,219 | 25,792 |
| VP, INFORMATION SYSTEMS | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **14**ALAN R WESTON | (i) | 292,996 | 74,417 | 49,008 | 51,544 | 35,717 | 503,682 | 49,008 |
| VP, HUMAN RESOURCES | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **15**TOD G WIESMAN | (i) | 280,808 | 72,296 | 13,601 | 58,817 | 41,718 | 467,240 | 13,601 |
| VP, OPD,CHIEF LEARNING OFFICER | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **16**JUDY A LAROCHE | (i) | 270,674 | 70,252 | 15,821 | 68,105 | 39,430 | 464,282 | 15,821 |
| VP FINANCE/ASST TREASURER | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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# Schedule K (Form 990)

Department of the Treasury
Internal Revenue Service

## Supplemental Information on Tax-Exempt Bonds

▶ Complete if the organization answered "Yes" to Form 990, Part VI, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## Part I Bond Issues

| | (a) Issuer name | (b) Issuer EIN | (c) CUSIP # | (d) Date issued | (e) Issue price | (f) Description of purpose | (g) Defeased | | (h) On behalf of issuer | | (i) Pool financing | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Yes | No | Yes | No | Yes | No |
| A | Massachusetts Development Finance Agency | 04-3431814 | 000000000 | 12-07-2016 | 125,000,000 | Series J/Master Lease: purchase and implement new electronic medical record and billing system | | X | | X | | X |
| B | Massachusetts Development Finance Agency | 04-3431814 | 000000000 | 03-28-2017 | 25,725,000 | Series F: to refund (reissue) bonds originally issued 5/22/2009 and reissued 5/21/2015 | | X | | X | | X |
| C | Massachusetts Development Finance Agency | 04-3431814 | 57584XKB6 | 02-02-2016 | 194,086,349 | Series I: to current refund of bonds issued 12/9/1998 and 8/18/2005; supporting various acquisitions | | X | | X | | X |
| D | Massachusetts Development Finance Agency | 04-3431814 | 57584XF63 | 02-01-2017 | 56,751,941 | Series K: to refund (reissue) bonds orig. issued 5/22/2009 & reissued 5/21/2015; reimburse equip | | X | | X | | X |

## Part II Proceeds

| | | A | B | C | D |
|---|---|---|---|---|---|
| 1 | Amount of bonds retired | 45,209,223 | 4,660,000 | 14,210,000 | 0 |
| 2 | Amount of bonds legally defeased | 0 | 0 | 0 | 0 |
| 3 | Total proceeds of issue | 125,085,627 | 25,725,000 | 194,856,159 | 56,926,833 |
| 4 | Gross proceeds in reserve funds | 0 | 0 | 0 | 0 |
| 5 | Capitalized interest from proceeds | 0 | 0 | 0 | 0 |
| 6 | Proceeds in refunding escrows | 0 | 0 | 0 | 0 |
| 7 | Issuance costs from proceeds | 341,000 | 0 | 2,529,172 | 1,026,941 |
| 8 | Credit enhancement from proceeds | 0 | 0 | 0 | 0 |
| 9 | Working capital expenditures from proceeds | 0 | 0 | 0 | 0 |
| 10 | Capital expenditures from proceeds | 124,744,627 | 0 | 61,969,810 | 30,174,892 |
| 11 | Other spent proceeds | 0 | 25,725,000 | 130,357,177 | 25,725,000 |
| 12 | Other unspent proceeds | 0 | 0 | 0 | 0 |
| 13 | Year of substantial completion | 2017 | | 2019 | 2018 |

| | | A | | B | | C | | D | |
|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No |
| 14 | Were the bonds issued as part of a current refunding issue of tax-exempt bonds (or, if issued prior to 2019, a current refunding issue)? | | X | X | | X | | X | |
| 15 | Were the bonds issued as part of an advance refunding issue of taxable bonds (or, if issued prior to 2019, an advance refunding issue)? | | X | | X | | X | | X |
| 16 | Has the final allocation of proceeds been made? | X | | X | | X | | X | |
| 17 | Does the organization maintain adequate books and records to support the final allocation of proceeds? | X | | X | | X | | X | |

## Part III Private Business Use

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

## Part III Private Business Use (Continued)

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

## Part IV Arbitrage

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

**Part IV Arbitrage** (Continued)

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

**Part V Procedures To Undertake Corrective Action**

| | A | | B | | C | | D | |
|---|---|---|---|---|---|---|---|---|
| | Yes | No | Yes | No | Yes | No | Yes | No |
| Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations? | X | | X | | X | | X | |

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

| Return Reference | Explanation |
|---|---|
| Schedule K, Part II, Line 3 ALL | DIFFERENCES BETWEEN THE ISSUE PRICE (PART I COLUMN (E)) AND TOTAL PROCEEDS (PART II LINE 3) ARE DUE TO INVESTMENT EARNINGS. |

| Return Reference | Explanation |
| --- | --- |
| Schedule K, Part II, Line 6<br>BONDS ISSUED 12/27/2017 | UNTIL THE REPORTING FOR 9/30/22 (AND THEREAFTER), THE ISSUE PRICE (PART I COLUMN (E) WILL NOT AGREE TO TOTAL EXPENDITURES (PART II, LINES 6-12) DUE TO THE SPECIFIC ACCOUNTING USED FOR THE REFUNDING ESCROW. |

| Return Reference | Explanation |
| --- | --- |
| Schedule K, Part IV, Line 6<br>BONDS ISSUED 12/27/2017 | SUCH AMOUNTS WERE APPROPRIATELY YIELD RESTRICTED. |

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# Schedule K (Form 990)

Department of the Treasury
Internal Revenue Service

## Supplemental Information on Tax-Exempt Bonds

▶ Complete if the organization answered "Yes" to Form 990, Part VI, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## Part I Bond Issues

| | (a) Issuer name | (b) Issuer EIN | (c) CUSIP # | (d) Date issued | (e) Issue price | (f) Description of purpose | (g) Defeased | | (h) On behalf of issuer | | (i) Pool financing | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Yes | No | Yes | No | Yes | No |
| A | Massachusetts Development Finance Agency | 04-3431814 | 57584YAH2 | 12-27-2017 | 118,297,225 | Series L: to advance refund bonds issued 8/10/2011; reimburse capital costs of equip & other costs | | X | | X | | X |

## Part II Proceeds

| | | A | B | C | D |
|---|---|---|---|---|---|
| 1 | Amount of bonds retired | 0 | | | |
| 2 | Amount of bonds legally defeased | 0 | | | |
| 3 | Total proceeds of issue | 121,004,570 | | | |
| 4 | Gross proceeds in reserve funds | 0 | | | |
| 5 | Capitalized interest from proceeds | 0 | | | |
| 6 | Proceeds in refunding escrows | 0 | | | |
| 7 | Issuance costs from proceeds | 1,549,482 | | | |
| 8 | Credit enhancement from proceeds | 0 | | | |
| 9 | Working capital expenditures from proceeds | 0 | | | |
| 10 | Capital expenditures from proceeds | 92,707,345 | | | |
| 11 | Other spent proceeds | 26,747,743 | | | |
| 12 | Other unspent proceeds | 0 | | | |
| 13 | Year of substantial completion | 2021 | | | |

| | | A | | B | | C | | D | |
|---|---|---|---|---|---|---|---|---|---|
| | | Yes | No | Yes | No | Yes | No | Yes | No |
| 14 | Were the bonds issued as part of a current refunding issue of tax-exempt bonds (or, if issued prior to 2019, a current refunding issue)? | | X | | | | | | |
| 15 | Were the bonds issued as part of an advance refunding issue of taxable bonds (or, if issued prior to 2019, an advance refunding issue)? | X | | | | | | | |
| 16 | Has the final allocation of proceeds been made? | X | | | | | | | |
| 17 | Does the organization maintain adequate books and records to support the final allocation of proceeds? | X | | | | | | | |

## Part III Private Business Use

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

## Part III Private Business Use (Continued)

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

## Part IV Arbitrage

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

**Part IV Arbitrage** (Continued)

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

**Part V Procedures To Undertake Corrective Action**

| | A | | B | | C | | D | |
|---|---|---|---|---|---|---|---|---|
| | Yes | No | Yes | No | Yes | No | Yes | No |
| Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations? | X | | | | | | | |

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

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**Schedule L** (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

# Transactions with Interested Persons

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.**
▶ **Attach to Form 990 or Form 990-EZ.**
▶**Go to *www.irs.gov/Form990* for instructions and the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

## Part I Excess Benefit Transactions

(section 501(c)(3), section 501(c)(4), and section 501(c)(29) organizations only).
Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

| 1 | (a) Name of disqualified person | (b) Relationship between disqualified person and organization | (c) Description of transaction | (d) Corrected? Yes | No |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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

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

## Part II Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

| (a) Name of interested person | (b) Relationship with organization | (c) Purpose of loan | (d) Loan to or from the organization? To | From | (e) Original principal amount | (f) Balance due | (g) In default? Yes | No | (h) Approved by board or committee? Yes | No | (i) Written agreement? Yes | No |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| **Total** . . . . . ▶ $ | | | | | | | | | | | | |

## Part III Grants or Assistance Benefiting Interested Persons.

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

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of assistance | (d) Type of assistance | (e) Purpose of assistance |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

## Part IV Business Transactions Involving Interested Persons.

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

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

## Part V Supplemental Information

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

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

# Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

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

| **(a)** Name of interested person | **(b)** Relationship between interested person and the organization | **(c)** Amount of transaction | **(d)** Description of transaction | **(e)** Sharing of organization's revenues? | |
|---|---|---|---|---|---|
| | | | | **Yes** | **No** |
| (1) Substantial Contributor | Substantial Contributor | 17,018,655 | Independent Contractor Arrangement, donation of $50,000 | | No |
| (1) Substantial Contributor | Substantial Contributor | 10,896,018 | Independent Contractor Arrangement, donation of $9,500 | | No |

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

| **(a)** Name of interested person | **(b)** Relationship between interested person and the organization | **(c)** Amount of transaction | **(d)** Description of transaction | **(e)** Sharing of organization's revenues? | |
|---|---|---|---|---|---|
| | | | | **Yes** | **No** |
| (3) Substantial Contributor | Substantial Contributor | 5,883,360 | Independent Contractor Arrangement, donation of $5,000 | | No |
| (1) Substantial Contributor | Substantial Contributor | 4,405,299 | Independent Contractor Arrangement, donation of $5,000 | | No |

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

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of transaction | (d) Description of transaction | (e) Sharing of organization's revenues? | |
|---|---|---|---|---|---|
| | | | | Yes | No |
| (5) Substantial Contributor | Substantial Contributor | 3,091,736 | Independent Contractor Arrangement, donation of $50,000 | | No |
| (1) Substantial Contributor | Substantial Contributor | 581,595 | Independent Contractor Arrangement, donation of $10,000 | | No |

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

| **(a)** Name of interested person | **(b)** Relationship between interested person and the organization | **(c)** Amount of transaction | **(d)** Description of transaction | **(e)** Sharing of organization's revenues? | |
|---|---|---|---|---|---|
| | | | | **Yes** | **No** |
| (7) Substantial Contributor | Substantial Contributor | 263,196 | Independent Contractor Arrangement, donation of $5,000 | | No |
| (1) Substantial Contributor | Substantial Contributor | 149,561 | Independent Contractor Arrangement, donation of $7,500 | | No |

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

Department of the Treasury
Internal Revenue Service

# Supplemental Information to Form 990 or 990-EZ

**Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.**
**▶ Attach to Form 990 or 990-EZ.**
**▶ Go to *www.irs.gov/Form990* for the latest information.**

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

**990 Schedule O, Supplemental Information**

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 7a Members or stockholders electing members of governing body | THE CHANCELLOR OF THE UMASS CHAN MEDICAL SCHOOL HAS CONTROL OVER 4 TRUSTEE SEATS OF THE ORGANIZATION. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 8b Documentation of meetings held by committees of governing body | There are no committees with authority to act on behalf of the governing body, thus the "n o" response for Part VI, Line 8b. THE ORGANIZATION DOCUMENTS THE BOARD AND COMMITTEE MEETI NGS BY TAKING MINUTES, WHICH INCLUDE ALL MEETING DISCUSSIONS AND ACTIONS. THESE WRITTEN MI NUTES ARE THEN APPROVED AT THE FOLLOWING BOARD AND COMMITTEE MEETINGS. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 11b Review of form 990 by governing body | SECTIONS OF THE CORE FORM 990 RELATED TO EXECUTIVE COMPENSATION AND SCHEDULE J RELATED TO EXECUTIVE COMPENSATION IS REVIEWED IN DETAIL WITH THE ORGANIZATION'S BOARD COMPENSATION COMMITTEE WHICH OVERSEES ALL UMASS MEMORIAL HEALTH CARE EXECUTIVE COMPENSATION. THE ORGANIZATION'S AUDIT & COMPLIANCE COMMITTEE REVIEWS ALL CONTENT ASSOCIATED WITH SCHEDULE L. THE ORGANIZATION'S COMMUNITY BENEFITS COMMITTEE (THAT OVERSEES ALL BOARDS) REVIEWS ALL CONTENT ASSOCIATED WITH SCHEDULE H. THE AUDIT & COMPLIANCE COMMITTEE OF THE BOARD REVIEWS THE FORM 990 AND RECOMMENDS THE FORM 990 TO THE FULL BOARD FOR APPROVAL. THE FULL BOARD IS GIVEN ACCESS TO THE FORM 990. CROWE (TAX PREPARERS) PRESENTS THE FORM 990 TO THE AUDIT & COMPLIANCE COMMITTEE. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 12c Conflict of interest policy | THE CONFLICT OF INTEREST POLICY REQUIRES BOARD MEMBERS AND MANAGEMENT TO COMPLETE ANNUAL D ISCLOSURE STATEMENTS AND, TO UPDATE THESE DISCLOSURE STATEMENTS FOR SIGNIFICANT CHANGES IN THEIR OUTSIDE GOVERNANCE AND PROFESSIONAL ACTIVITIES OR, FINANCIAL RELATIONSHIPS AS APPRO PRIATE. ADDITIONALLY, ALL TRANSACTIONS INVOLVING BOARD MEMBERS OR MANAGEMENT AND THE ORGAN IZATION ARE REQUIRED TO BE APPROVED BY THE COMPLIANCE COMMITTEE OF THE BOARD. The followin g groups of individuals are covered by this policy: a. All Trustees/Directors: all UMM ent ities b. UMMHC/UMMMC/UMMMG: Dept Heads and above; selected others c. Physicians: all emplo yed physicians, members of any board committee, members of Medical Staff Executive Committ ees; others as determined appropriate THERE IS ACTIVE MONITORING by the UMMHC Compliance o ffice AND COMMUNICATION TO ENSURE INDIVIDUALS WITH OUTSIDE RELATIONSHIPS DO NOT INAPPROPRI ATELY PARTICIPATE IN BUSINESS DECISIONS OF THE ORGANIZATION, PURCHASING OR RESEARCH ACTIVI TIES/DECISIONS. Any conflicts identified are MANAGED AND reported to the appropriate offic er and/or governing body. We have an appropriate management plan with any individuals with outside relationships that require mitigation. Where it is necessary, individuals may pro vide subject matter expertise however they have no influence or authorization of decisions for the organization. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 15a Process to establish compensation of top management official | Compensation matters involving the CEO and Senior Executives are overseen by the Compensat ion Committee of the Board, which was designated this authority by the Organization's Boar d of Trustees. The Compensation Committee approved a Compensation Philosophy and Policy wh ich govern compensation matters. THE PHILOSOPHY INCLUDES THE OBJECTIVES OF THE PROGRAM COM PONENTS OF EXECUTIVE COMPENSATION, THE RELEVANT MARKET POSITIONING IN THE MARKET, FACTORS CONSIDERED IN SETTING EXECUTIVE COMPENSATION AND THE IMPORTANCE OF TYING SUCH COMPENSATION TO PERFORMANCE. Independent outside compensation consultants are hired by and report to t he Compensation Committee of the Board and provide advice to the Committee on compensation matters. THE COMMITTEE WORKS WITH THESE CONSULTANTS AND WITH LEGAL COUNSEL TO ENSURE THAT ALL COMPENSATION PAID, AS WELL AS THE PROCESS FOLLOWED TO DETERMINE SUCH COMPENSATION IS REASONABLE, MEETS ALL REGULATORY REQUIREMENTS AND IS COMPETITIVE WITH THE RELEVANT MARKET. During the fiscal year, the Compensation Committee met to review and vote on the compensa tion for the CEO and key personnel. The Compensation Committee voted and approved the CEO' s compensation at their annual meeting in March 2021. All other key personnel were voted o n and approved at the annual meeting in December 2020. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 15b Process to establish compensation of other employees | Please refer to the above narrative for Part VI, Line 15a for a description of the compens ation review process. Dates of the reviews for other officers and key employees are noted below, along with the title for reference and tier (internal management hierarchy). Tier - Title - Review date: Tier A - PRESIDENT, CEO - March 2021 Tier B - PRESIDENT MEDICAL CENT ER - December 2020 Tier B - EXEC VP, CFO - December 2020 Tier B - CHIEF PHYSICIAN EXECUTIV E - December 2019 Tier B - PRESIDENT,UMMH & CAO/CLO,UMMHC - December 2020 Tier B - EXEC VP /COO UMMMG - December 2020 Tier C - SVP CMO-UMMMC - December 2020 Tier C - PRESIDENT HEALT HALLIANCE & MARLBORO HOSPITAL - December 2020 Tier C - SVP CHIEF HR OFFICER - December 202 0 Tier C - SVP COMMUNITY PRACTICES - December 2020 Tier C - SVP GENERAL COUNSEL-PGL - Dece mber 2020 Tier C - SVP & CHIEF PHILANTHROPY OFC - December 2020 Tier C - SVP CHF OF STAFF& CHF MKTG OFC - December 2020 Tier C - SVP PATIENT CARE SVCS & CNO - December 2020 Tier C - SVP/CHIEF FINANCIAL OFFICER - December 2020 Tier C - SVP POP HLTH & PRESIDENT, ACO - Dece mber 2020 Tier C - SVP FINANCE/CORP CONTROLLER - December 2020 Tier C - SVP SYSTEM REV CYC LE OPS & CRO - December 2020 Tier C - SVP AMBULATORY SVCS - December 2020 Tier C - SVP CLI NICAL SVCS - December 2020 Tier C - SVP SURGICAL&PROCEDURAL SVCS - December 2020 Tier C - SVP CLINICAL SVCS - December 2020 Tier C - VP CHIEF CORPORATE COMPLIANCE - December 2020 T ier C - PRESIDENT COMMUNTY HLTH LINK - December 2020 |

**990 Schedule O, Supplemental Information**

| Return Reference | Explanation |
|---|---|
| Form 990, Part VI, Line 19 Required documents available to the public | UMASS MEMORIAL MAKES ITS GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY AND FINANCIAL ST ATEMENTS AVAILABLE TO THE PUBLIC AS REQUIRED BY APPLICABLE STATE AND FEDERAL LAWS AND BY R EQUEST ON A CASE BY-CASE BASIS. |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
|---|---|
| Form 990, Part IX, Line 11g Other Fees | Clinical Engineering Services - Total Expense: 15443874, Program Service Expense: 15443874 , Management and General Expenses: , Fundraising Expenses: ; Billing, collection and trans cription services - Total Expense: 9971807, Program Service Expense: 9971807, Management a nd General Expenses: , Fundraising Expenses: ; Purchasing management services - Total Expe nse: 4258351, Program Service Expense: 4258351, Management and General Expenses: , Fundrai sing Expenses: ; Other fees for services - Total Expense: 31487125, Program Service Expens e: 29976087, Management and General Expenses: 1402831, Fundraising Expenses: 108207; - Tot al Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Ex penses: ; - Total Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Management and Gene ral Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Mana gement and General Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Total Expense: , P rogram Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Tot al Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Ex penses: ; - Total Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Management and Gene ral Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Mana gement and General Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Total Expense: , P rogram Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Tot al Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Ex penses: ; - Total Expense: , Program Service Expense: , Management and General Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Management and Gene ral Expenses: , Fundraising Expenses: ; - Total Expense: , Program Service Expense: , Mana gement and General Expenses: , Fundraising Expenses: ; |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
| --- | --- |
| Form 990, Part XI, Line 9 Other changes in net assets or fund balances | Transfers (to) from related parties - -1048417; Transfers to unrestricted - revenue - 3523 1; Transfers to unrestricted - expenditures - -3130600; Nonoperating net pension periodic cost and other pension-related changes - 148033449; Change in Wachusett liability - -41158 1; |

## 990 Schedule O, Supplemental Information

| Return Reference | Explanation |
| --- | --- |
| Form 990, Part VII, Section A ex officio members without vote | MICHAEL D. MURPHY ROBERT J. PAULHUS, JR. JOHN SHEA, ESQ. |

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493224003072

# SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

## Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
▶ Attach to Form 990.
▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

**2020**

**Open to Public Inspection**

Name of the organization
UMass Memorial Health Care Inc (Parent)

**Employer identification number**
04-3358566

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

| (a) Name, address, and EIN (if applicable) of disregarded entity | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Total income | (e) End-of-year assets | (f) Direct controlling entity |
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**Part II** **Identification of Related Tax-Exempt Organizations.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

See Additional Data Table

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Exempt Code section | (e) Public charity status (if section 501(c)(3)) | (f) Direct controlling entity | (g) Section 512(b)(13) controlled entity? Yes | (g) Section 512(b)(13) controlled entity? No |
|---|---|---|---|---|---|---|---|
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**Part III Identification of Related Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Predominant income(related, unrelated, excluded from tax under sections 512-514) | (f) Share of total income | (g) Share of end-of-year assets | (h) Disproprtionate allocations? Yes | (h) No | (i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065) | (j) General or managing partner? Yes | (j) No | (k) Percentage ownership |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **(1)** UMass Memorial Investment Partnership LLP<br>306 Belmont Street<br>Worcester, MA 01604<br>04-3530755 | Investment management | MA | UMass Memorial Health Care Inc | Excluded | 32,170,545 | 375,715,528 | | No | 323,165 | Yes | | 65.58 % |
| **(2)** Umass Memorial MRI of Marlborough LLC<br>157 Union Street<br>Marlborough, MA 01752<br>20-2293995 | Magnetic resonance imaging | MA | NA | N/A | | | | | | | | |
| **(3)** Umass Memorial HealthAlliance MRI Center LLC<br>60 Hospital Road<br>Leominster, MA 01453<br>04-3561571 | Magnetic resonance imaging | MA | NA | N/A | | | | | | | | |
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**Part IV Identification of Related Organizations Taxable as a Corporation or Trust.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Direct controlling entity | (e) Type of entity (C corp, S corp, or trust) | (f) Share of total income | (g) Share of end-of-year assets | (h) Percentage ownership | (i) Section 512 (b)(13) controlled entity? Yes | (i) No |
|---|---|---|---|---|---|---|---|---|---|
| **(1)**Commonwealth Professional Assurance Co LTD<br>98-0226143 | Captive insurance company | CJ | UMass Memorial Health Care Inc | C Corporation | 0 | 174,186,772 | 100 % | Yes | |
| **(2)**Memorial Office Condomium Trust<br>306 Belmont Street<br>Worcester<br>Worcester, MA 01604<br>04-6616900 | Condominium association | MA | NA | Trust | | | | | |
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**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.

| | | Yes | No |
|---|---|---|---|
| **1** During the tax year, did the orgranization engage in any of the following transactions with one or more related organizations listed in Parts II-IV? | | | |
| **a** Receipt of **(i)** interest, **(ii)**annuities, **(iii)** royalties, or **(iv)** rent from a controlled entity | 1a | Yes | |
| **b** Gift, grant, or capital contribution to related organization(s) | 1b | Yes | |
| **c** Gift, grant, or capital contribution from related organization(s) | 1c | | No |
| **d** Loans or loan guarantees to or for related organization(s) | 1d | Yes | |
| **e** Loans or loan guarantees by related organization(s) | 1e | | No |
| **f** Dividends from related organization(s) | 1f | | No |
| **g** Sale of assets to related organization(s) | 1g | | No |
| **h** Purchase of assets from related organization(s) | 1h | | No |
| **i** Exchange of assets with related organization(s) | 1i | | No |
| **j** Lease of facilities, equipment, or other assets to related organization(s) | 1j | | No |
| **k** Lease of facilities, equipment, or other assets from related organization(s) | 1k | Yes | |
| **l** Performance of services or membership or fundraising solicitations for related organization(s) | 1l | Yes | |
| **m** Performance of services or membership or fundraising solicitations by related organization(s) | 1m | Yes | |
| **n** Sharing of facilities, equipment, mailing lists, or other assets with related organization(s) | 1n | | No |
| **o** Sharing of paid employees with related organization(s) | 1o | | No |
| **p** Reimbursement paid to related organization(s) for expenses | 1p | | No |
| **q** Reimbursement paid by related organization(s) for expenses | 1q | | No |
| **r** Other transfer of cash or property to related organization(s) | 1r | Yes | |
| **s** Other transfer of cash or property from related organization(s) | 1s | Yes | |

**2** If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

See Additional Data Table

| (a) Name of related organization | (b) Transaction type (a-s) | (c) Amount involved | (d) Method of determining amount involved |
|---|---|---|---|
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**Part VI** **Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

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

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

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

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

## Additional Data

**Software ID:** 20011424
**Software Version:** 2020v4.0
**EIN:** 04-3358566
**Name:** UMass Memorial Health Care Inc (Parent)

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

| (a) Name, address, and EIN of related organization | (b) Primary activity | (c) Legal domicile (state or foreign country) | (d) Exempt Code section | (e) Public charity status (if section 501(c)(3)) | (f) Direct controlling entity | (g) Section 512 (b)(13) controlled entity? | |
|---|---|---|---|---|---|---|---|
| | | | | | | Yes | No |
| 60 Hospital Road<br>Leominster, MA 01453<br>04-3172496 | Health Services | MA | 501(c)(3) | 7 | UMass Memorial Community Hospitals Inc | | No |
| 72 Jaques Avenue<br>Worcester, MA 01610<br>04-2626179 | Health Services | MA | 501(c)(3) | 7 | UMass Memorial Behavioral Health System Inc | | No |
| 60 Hospital Road<br>Leominster, MA 01453<br>04-3210002 | Health Services | MA | 501(c)(3) | 10 | na | | No |
| 100 South Street<br>Southbridge, MA 01550<br>13-4366504 | Health Services | MA | 501(c)(3) | Type II | UMass Memorial Health - Harrington Inc (fka Harrington Healthcare System) | | No |
| 25 Tucker Road<br>Leominster, MA 01453<br>04-2932308 | Health Services | MA | 501(c)(3) | 10 | Central New England HealthAlliance Inc | | No |
| 157 Union Street<br>Marlborough, MA 01752<br>04-2104693 | Hospital | MA | 501(c)(3) | 3 | UMass Memorial Community Hospitals Inc | | No |
| 306 Belmont Street<br>Worcester, MA 01604<br>46-2871359 | Health Services | MA | 501(c)(3) | 10 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 306 Belmont Street<br>Worcester, MA 01604<br>04-3374724 | Health Services | MA | 501(c)(3) | 10 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 306 Belmont Street<br>Worcester, MA 01604<br>04-3296271 | Health Services | MA | 501(c)(3) | Type III-FI | UMass Memorial Health Care Inc (Parent) | Yes | |
| 100 South Street<br>Southbridge, MA 01550<br>04-2103577 | Hospital | MA | 501(c)(3) | 3 | UMass Memorial Health - Harrington Inc (fka Harrington Healthcare System) | | No |
| 100 South Street<br>Southbridge, MA 01550<br>80-0518491 | Health Services | MA | 501(c)(3) | 10 | UMass Memorial Community Hospitals Inc | | No |
| 306 Belmont Street<br>Worcester, MA 01604<br>91-2155626 | Health Services | MA | 501(c)(3) | 3 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 306 Belmont Street<br>Worcester, MA 01604<br>22-2605679 | Health Services | MA | 501(c)(3) | 7 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 60 Hospital Road<br>Leominster, MA 01453<br>04-2103555 | Hospital | MA | 501(c)(3) | 3 | Central New England HealthAlliance Inc | | No |
| 306 Belmont Street<br>Worcester, MA 01604<br>04-3358564 | Hospital | MA | 501(c)(3) | 3 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 306 Belmont Street<br>Worcester, MA 01604<br>04-2911067 | Health Services | MA | 501(c)(3) | 10 | UMass Memorial Health Care Inc (Parent) | Yes | |
| 306 Belmont Street<br>Worcester, MA 01604<br>04-2805630 | Real Estate | MA | 501(c)(3) | Type III-FI | UMass Memorial Health Care Inc (Parent) | Yes | |

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

| (a) Name of related organization | (b) Transaction type(a-s) | (c) Amount Involved | (d) Method of determining amount involved |
|---|---|---|---|
| Commonwealth Professional Assurance Co LTD | M | 28,693,657 | Fair value |
| Commonwealth Professional Assurance Co LTD | L | 18,179,584 | Fair value |
| Commonwealth Professional Assurance Co LTD | S | 6,147,410 | Fair value |
| UMass Memorial Accountable Care Organization Inc | M | 387,054 | Fair value |
| UMass Memorial Accountable Care Organization Inc | L | 1,582,085 | Fair value |
| UMass Memorial Accountable Care Organization Inc | R | 135,029 | Fair value |
| UMass Memorial Health Ventures Inc | L | 182,963 | Fair value |
| UMass Memorial Health Ventures Inc | S | 12,000,000 | Fair value |
| UMass Memorial Medical Center Inc | A | 2,398,622 | Fair value |
| UMass Memorial Medical Center Inc | D | 343,953,772 | Fair value |
| UMass Memorial Medical Center Inc | M | 210,095 | Fair value |
| UMass Memorial Medical Center Inc | L | 267,051,082 | Fair value |
| UMass Memorial Medical Center Inc | S | 25,981,285 | Fair value |
| UMass Memorial Medical Center Inc | R | 6,101,725 | Fair value |
| UMass Memorial Medical Group Inc | M | 3,039,302 | Fair value |
| UMass Memorial Medical Group Inc | L | 88,085,137 | Fair value |
| UMass Memorial Medical Group Inc | S | 23,109,321 | Fair value |
| UMass Memorial Medical Group Inc | R | 4,383,914 | Fair value |
| UMass Memorial Realty Inc | K | 10,047,651 | Fair value |
| UMass Memorial Realty Inc | L | 329,878 | Fair value |