Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

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

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990 and its instructions is at *www.IRS.gov/form990*.

OMB No. 1545-0047

2018

Open to Public Inspection

A For the 2018 calendar year, or tax year beginning 07-01-2018 , and ending 06-30-2019

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

C Name of organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK
% JULIA SHANAHAN

Doing business as

Number and street (or P.O. box if mail is not delivered to street address) | Room/suite
615 WEST 131ST STREET MC 8741

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 100277922

D Employer identification number
13-5598093

E Telephone number
(212) 854-4684

G Gross receipts $ 8,410,763,906

F Name and address of principal officer:
Lee C Bollinger
615 West 131st St MC 8741
New York, NY 100277922

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.columbia.edu

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

L Year of formation: 1754

M State of legal domicile: NY

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities:
SEE ATTACHMENT 1

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	23
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	21
5	Total number of individuals employed in calendar year 2018 (Part V, line 2a)	5	37,001
6	Total number of volunteers (estimate if necessary)	6	13,758
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	-58,469,137
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0

		Prior Year	Current Year
Revenue			
8	Contributions and grants (Part VIII, line 1h)	1,909,794,420	1,626,034,525
9	Program service revenue (Part VIII, line 2g)	3,182,331,958	3,346,803,352
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	683,069,747	478,275,860
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	112,899,433	103,438,619
12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	5,888,095,558	5,554,552,356
Expenses			
13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	708,841,506	738,171,207
14	Benefits paid to or for members (Part IX, column (A), line 4)	0	0
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	2,970,923,538	3,132,856,099
16a	Professional fundraising fees (Part IX, column (A), line 11e)	2,066,434	1,588,677
b	Total fundraising expenses (Part IX, column (D), line 25) ▶129,629,139		
17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	1,341,034,173	1,395,876,301
18	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	5,022,865,651	5,268,492,284
19	Revenue less expenses. Subtract line 18 from line 12	865,229,907	286,060,072

		Beginning of Current Year	End of Year
Net Assets or Fund Balances			
20	Total assets (Part X, line 16)	19,649,851,030	19,924,189,461
21	Total liabilities (Part X, line 26)	3,910,530,664	3,939,904,906
22	Net assets or fund balances. Subtract line 21 from line 20	15,739,320,366	15,984,284,555

Part II Signature Block

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

Sign Here

▶ Signature of officer — Date 2020-07-02

▶ MARK HAWKINS VP,FIN & CONTROLLER
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
ERIC M MCNEIL	ERIC M MCNEIL	2020-06-26		P00460263

Firm's name ▶ PricewaterhouseCoopers LLP — Firm's EIN ▶

Firm's address ▶ 300 Madison Avenue
New York, NY 10017 — Phone no. (646) 471-3000

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:

COLUMBIA UNIVERSITY IS ONE OF THE WORLD'S MOST IMPORTANT CENTERS OF RESEARCH AND AT THE SAME TIME A DISTINCTIVE AND DISTINGUISHED LEARNING ENVIRONMENT FOR UNDERGRADUATES AND GRADUATE STUDENTS IN MANY SCHOLARLY AND PROFESSIONAL FIELDS. THE UNIVERSITY RECOGNIZES THE IMPORTANCE OF ITS LOCATION IN NEW YORK CITY AND SEEKS TO LINK ITS RESEARCH AND TEACHING TO THE VAST RESOURCES OF A GREAT METROPOLIS. IT SEEKS TO ATTRACT A DIVERSE AND INTERNATIONAL FACULTY AND STUDENT BODY, TO SUPPORT RESEARCH AND TEACHING ON GLOBAL ISSUES, AND TO CREATE ACADEMIC RELATIONSHIPS WITH MANY COUNTRIES AND REGIONS. IT EXPECTS ALL AREAS OF THE UNIVERSITY TO ADVANCE KNOWLEDGE AND LEARNING AT THE HIGHEST LEVEL AND TO CONVEY THE PRODUCTS OF ITS EFFORTS TO THE WORLD.

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

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

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

If "Yes," describe these changes on Schedule O.

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

4a (Code:) (Expenses $ 1,967,501,733 including grants of $ 591,499,128) (Revenue $ 1,663,557,935)

THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK IS A PRIVATE, NONSECTARIAN, NONPROFIT INSTITUTION OF HIGHER EDUCATION WHOSE ACTIVITIES ARE CONCENTRATED AT TWO LOCATIONS IN NEW YORK CITY AND EXTEND ACROSS THE GLOBE. THE UNIVERSITY PROVIDES INSTRUCTION THROUGH SIXTEEN UNDERGRADUATE, GRADUATE, AND PROFESSIONAL SCHOOLS. IT OPERATES A VARIETY OF RESEARCH INSTITUTES AND A LIBRARY SYSTEM TO SUPPORT ITS TEACHING, LEARNING, AND RESEARCH ACTIVITIES. THE UNIVERSITY ENROLLS APPROXIMATELY 33,032 FULL-TIME AND PART-TIME STUDENTS AND EMPLOYS APPROXIMATELY 17,775 FULL-TIME EMPLOYEES, INCLUDING 6,372 FULL-TIME FACULTY MEMBERS AND RESEARCH STAFF.

4b (Code:) (Expenses $ 1,067,520,061 including grants of $ 7,645,014) (Revenue $ 1,276,137,960)

THE UNIVERSITY, THROUGH THE COLUMBIA UNIVERSITY IRVING MEDICAL CENTER AND ITS MEDICAL FACULTY PRACTICE PLAN, PROVIDES DIRECT PATIENT CARE AND OTHER CLINICAL AND EDUCATIONAL SERVICES TO HOSPITALS AND OTHER HEALTH CARE INSTITUTIONS THROUGH CONTRACTUAL AGREEMENTS FOR SERVICES. THE CLINICAL FACULTY HANDLED APPROXIMATELY 2.3 MILLION OUTPATIENT AND EMERGENCY ROOM VISITS AND PARTICIPATED IN INSTRUCTION AND SUPERVISION OF 647 UNIVERSITY MEDICAL STUDENTS AND 965 RESIDENTS AND FELLOWS AT NEW YORK PRESBYTERIAN HOSPITAL.

4c (Code:) (Expenses $ 639,873,077 including grants of $ 132,209,002) (Revenue $ 213,566,629)

THE UNIVERSITY PERFORMS RESEARCH, TRAINING, AND OTHER SERVICES UNDER GRANTS AND CONTRACTS WITH AGENCIES OF THE FEDERAL GOVERNMENT AND OTHER SPONSORING ORGANIZATIONS.

(Code:) (Expenses $ 284,830,641 including grants of $) (Revenue $)

CAMPUS OPERATIONS

(Code:) (Expenses $ 312,612,852 including grants of $) (Revenue $)

INSTITUTIONAL SUPPORT

(Code:) (Expenses $ 166,216,745 including grants of $) (Revenue $ 191,159,029)

AUXILIARY ENTERPRISES

(Code:) (Expenses $ 299,850,766 including grants of $ 6,818,063) (Revenue $ 2,381,798)

OTHER SOURCES

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

(Expenses $ 1,063,511,002 including grants of $ 6,818,063) (Revenue $ 193,540,828)

4e **Total program service expenses** ▶ 4,738,405,873

Part IV Checklist of Required Schedules

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

Part IV Checklist of Required Schedules *(continued)*

21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21	Yes	
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *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, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? *If "Yes," complete Schedule L, Part II*	26	Yes	
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *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, or key employee? *If "Yes," complete Schedule L, Part IV*	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28b	Yes	
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *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	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30	Yes	
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	Yes	
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	39,737			
b	Enter the number of Forms W-2G included in line 1a. *Enter -0-* if not applicable	1b	0			
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?			1c	Yes	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	37,001			
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: ▶ _____ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).					
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?			5a		No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?			5b		No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?			5c		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?			6a		No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?			6b		
7	**Organizations that may receive deductible contributions under section 170(c).**					
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?			7a	Yes	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?			7b	Yes	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?			7c		No
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d				
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			7e		No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?			7f		No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?			7g		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?			7h		
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?			8		No
9a	Did the sponsoring organization make any taxable distributions under section 4966?			9a		No
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?			9b		No
10	**Section 501(c)(7) organizations.** Enter:					
a	Initiation fees and capital contributions included on Part VIII, line 12	10a				
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b				
11	**Section 501(c)(12) organizations.** Enter:					
a	Gross income from members or shareholders	11a				
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b				
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?			12a		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year.	12b				
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**					
a	Is the organization licensed to issue qualified health plans in more than one state? **Note.** See the instructions for additional information the organization must report on Schedule O.			13a		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b				
c	Enter the amount of reserves on hand	13c				
14a	Did the organization receive any payments for indoor tanning services during the tax year?			14a		No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O*			14b		

Part VI **Governance, Management, and Disclosure**

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response 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	23		
	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	21		
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		Yes	
6	Did the organization have members or stockholders?	6			No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a			No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b			No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a	The governing body?	8a		Yes	
b	Each committee with authority to act on behalf of the governing body?	8b		Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*	9			No

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

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	10a		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	11a	Yes	
b	Describe in Schedule O the process, if any, used by the organization to review 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 ▶ AK,CA,CO,MD,MA,MI,NH,OH,OK,OR,SC,WA

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☐ 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:
▶JULIA SHANAHAN 615 WEST 131ST STREET MC 8741 New York,NY 10027 (212) 851-7348

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

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

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

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

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

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

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(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
(1) LEE C BOLLINGER PRESIDENT	59.9 0.1	X		X				4,067,289	0	493,400
(2) KENNETH A FORDE TRUSTEE (THROUGH 6/2/19)	4.0 0.0	X						0	0	1,872
(3) ROLANDO T ACOSTA TRUSTEE	4.0 0.0	X						0	0	0
(4) ARMEN A AVANESSIANS TRUSTEE	4.0 0.0	X						0	0	0
(5) A'LELIA BUNDLES TRUSTEE	4.0 0.0	X						0	0	0
(6) LISA CARNOY TRUSTEE	4.0 0.0	X						0	0	0
(7) NOAM GOTTESMAN TRUSTEE	4.0 0.0	X						0	0	0
(8) JOSEPH A GREENAWAY JR TRUSTEE	4.0 0.0	X						0	0	0
(9) JAMES HARDEN TRUSTEE	4.0 0.0	X						0	0	0
(10) BENJAMIN HOROWITZ TRUSTEE (THROUGH 9/3/18)	4.0 0.0	X						0	0	0
(11) JONATHAN LAVINE TRUSTEE	4.0 0.0	X						0	0	0
(12) CHARLES LI TRUSTEE (THROUGH 9/3/18)	4.0 0.0	X						0	0	0
(13) PAUL J MADDON TRUSTEE	4.0 0.0	X						0	0	0
(14) JONATHAN D SCHILLER TRUSTEE (THROUGH 9/3/18)	4.0 0.0	X						0	0	0
(15) KYRIAKOS TSAKOPOULOS TRUSTEE (THROUGH 9/3/18)	4.0 0.0	X						0	0	0
(16) CLAIRE SHIPMAN TRUSTEE	4.0 0.0	X						0	0	0
(17) ANDREW BARTH TRUSTEE	4.0 0.0	X						0	0	0

(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): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(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
(18) MARC HOLLIDAY TRUSTEE	4.0 0.0	X						0	0	0
(19) WANDA HOLLAND GREENE TRUSTEE	4.0 0.0	X						0	0	0
(20) ABIGAIL ELBAUM TRUSTEE	4.0 0.0	X						0	0	0
(21) MARK GALLOGLY TRUSTEE	4.0 0.0	X						0	0	0
(22) LU LI TRUSTEE	4.0 0.0	X						0	0	0
(23) ALEXANDER NAVAB TRUSTEE	4.0 0.0	X						0	0	0
(24) JULIE MENIN TRUSTEE (AS OF 9/4/18)	4.0 0.0	X						9,000	0	0
(25) JULISSA REYNOSO TRUSTEE (AS OF 9/4/18)	4.0 0.0	X						0	0	0
(26) DAVID GREENWALD TRUSTEE (AS OF 9/4/18)	4.0 0.0	X						0	0	0
(27) VICTOR MENDELSON TRUSTEE (AS OF 9/4/18)	4.0 0.0	X						0	0	0
(28) KATHY SURACE-SMITH TRUSTEE (AS OF 9/4/18)	4.0 0.0	X						0	0	0
(29) JANE E BOOTH GENERAL COUNSEL	60.0 0.0			X				720,476	0	52,563
(30) JOHN COATSWORTH PROVOST	59.9 0.1			X				814,208	0	51,654
(31) JEROME DAVIS SECRETARY	60.0 0.0			X				438,616	0	57,678
(32) ANNE R SULLIVAN EXECUTIVE VP FOR FINANCE & IT	59.8 0.2			X				792,347	0	42,884
(33) GERALD M ROSBERG SENIOR EXEC VICE PRESIDENT	59.9 0.1			X				805,381	0	48,997
(34) DAVID MADIGAN EXEC VP-A&S (THROUGH 8/31/18)	59.9 0.1				X			598,786	0	93,430
(35) LEE GOLDMAN EXEC VP FOR HEALTH SCIENCES	60.0 0.0				X			1,451,673	0	518,828
(36) PETER HOLLAND CEO & EXEC VP OF INV MGMT	60.0 0.0				X			3,706,558	0	2,469,148
(37) AMELIA ALVERSON EXEC VP - UNIV DVLP&ALUM RLTS	60.0 0.0				X			758,637	0	41,472
(38) DAVID GREENBERG EXEC VP FACILITIES	60.0 0.0				X			531,632	0	35,115
(39) DAVID N SILVERS CLINICAL PROFESSOR	60.0 0.0					X		4,003,292	0	48,059
(40) CRAIG R SMITH PROFESSOR OF SURGERY	60.0 0.0					X		2,752,861	0	56,362
(41) LAWRENCE GERALD LENKE PROFESSOR OF SURGERY	60.0 0.0					X		4,741,060	0	57,161
(42) KIEHYUN DANIEL RIEW PROFESSOR OF SURGERY	60.0 0.0					X		3,737,936	0	61,441
(43) RONALD ARTHUR LEHMAN JR PROFESSOR OF SURGERY	60.0 0.0					X		3,109,858	0	64,439

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

1b Sub-Total . . . . . ▶			
c Total from continuation sheets to Part VII, Section A . . . . ▶			
d Total (add lines 1b and 1c) . . . . . ▶	33,039,610	0	4,194,503

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 ▶ 6,125

		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**		No
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
TURNER CONSTRUCTION CO, 375 HUDSON STREET 6TH FLOOR NEW YORK, NY 10014	CONSTRUCTION SRVCS	37,107,882
CALDWELL WALSH BLDG CNSTRN INC, 60 E 42ND ST STE 1365 NEW YORK, NY 10165	CONSTRUCTION SRVCS	12,767,744
SYSCO FOOD SERVICES OF METRO NEW YO, 20 THEODORE CONRAD DRIVE JERSEY CITY, NJ 07305	FOOD SERVICES	8,992,749
HUDSON HEART MANAGEMENT LLC, 222 ROUTE 59 SUITE 302 SUFFERN, NY 10901	MEDICAL SERVICES	6,736,212
IDEAL INTERIORS GROUP LLC, 450 7th Ave NEW YORK, NY 10123	CONSTRUCTION SRVCS	4,527,155

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 ▶ 350

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	10,586,962				
d Related organizations	1d					
e Government grants (contributions)	1e	957,446,951				
f All other contributions, gifts, grants, and similar amounts not included above	1f	658,000,612				
g Noncash contributions included in lines 1a-1f: $ 28,480,641						
h **Total.** Add lines 1a-1f ▶			1,626,034,525			
Program Service Revenue	Business Code					
2a TUITION & FEES	611600		1,663,557,935	1,663,557,935		
b OTHER EDUCATION & RESEARCH	541700		213,566,629	213,566,629		
c PATIENT CARE REVENUE	621110		1,276,137,960	1,276,137,960		
d AUXILIARY ENTERPRISES	900099		191,159,029	186,507,719	4,651,310	
e OTHER SOURCES	900099		2,219,843	2,219,843		
f All other program service revenue.			161,956	161,956		
g **Total.** Add lines 2a–2f ▶	3,346,803,352					
3 Investment income (including dividends, interest, and other similar amounts)			89,610,975			89,610,975
4 Income from investment of tax-exempt bond proceeds ▶			0			
5 Royalties ▶			24,112,962			24,112,962
	(i) Real	(ii) Personal				
6a Gross rents	181,578,387					
b Less: rental expenses	146,934,936					
c Rental income or (loss)	34,643,451	0				
d Net rental income or (loss) ▶			34,643,451			34,643,451
	(i) Securities	(ii) Other				
7a Gross amount from sales of assets other than inventory	3,096,162,943					
b Less: cost or other basis and sales expenses	2,707,498,058					
c Gain or (loss)	388,664,885					
d Net gain or (loss) ▶			388,664,885			388,664,885
Other Revenue						
8a Gross income from fundraising events (not including $ 10,586,962 of contributions reported on line 1c). See Part IV, line 18	a	1,154,091				
b Less: direct expenses	b	1,778,556				
c Net income or (loss) from fundraising events ▶			-624,465			-624,465
9a Gross income from gaming activities. See Part IV, line 19	a					
b Less: direct expenses	b					
c Net income or (loss) from gaming activities ▶						
10a Gross sales of inventory, less returns and allowances	a					
b Less: cost of goods sold	b					
c Net income or (loss) from sales of inventory ▶						
Miscellaneous Revenue	Business Code					
11a PARTNERSHIP INCOME	900099		45,306,671		-63,120,447	108,427,118
b						
c						
d All other revenue						
e **Total.** Add lines 11a–11d ▶			45,306,671			
12 **Total revenue.** See Instructions. ▶			5,554,552,356	3,342,152,042	-58,469,137	644,834,926

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) Fundraisingexpenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	121,958,540	121,958,540		
2 Grants and other assistance to individuals in the United States. See Part IV, line 22	588,219,949	588,219,949		
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16	27,992,718	27,992,718		
4 Benefits paid to or for members	0			
5 Compensation of current officers, directors, trustees, and key employees	14,275,636	2,319,468	11,956,168	
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	143,970	119,245	24,725	
7 Other salaries and wages	2,531,256,833	2,316,647,431	150,387,328	64,222,074
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	186,382,018	162,733,417	19,137,307	4,511,294
9 Other employee benefits	265,324,217	193,252,549	52,755,694	19,315,974
10 Payroll taxes	135,473,425	123,987,482	8,048,763	3,437,180
11 Fees for services (non-employees):				
a Management	0			
b Legal	34,492,061		34,492,061	
c Accounting	2,266,420		2,266,420	
d Lobbying	572,000		572,000	
e Professional fundraising services. See Part IV, line 17	1,588,677			1,588,677
f Investment management fees	11,398,350		11,398,350	
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	225,797,018	195,241,736	19,928,091	10,627,191
12 Advertising and promotion	13,241,668	10,856,699	1,029,111	1,355,858
13 Office expenses	252,054,128	234,707,566	11,546,555	5,800,007
14 Information technology	34,154,824	19,535,742	12,745,150	1,873,932
15 Royalties . .	0			
16 Occupancy	216,851,761	202,214,889	12,298,204	2,338,668
17 Travel	81,435,766	74,266,522	5,062,065	2,107,179
18 Payments of travel or entertainment expenses for any federal, state, or local public officials .	0			
19 Conferences, conventions, and meetings	70,804,046	59,146,717	4,500,096	7,157,233
20 Interest	53,506,814	49,163,819	3,715,218	627,777
21 Payments to affiliates	0			
22 Depreciation, depletion, and amortization . .	289,616,327	266,108,998	20,109,360	3,397,969
23 Insurance . . .	32,074,871	27,785,849	4,289,022	
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 LIBRARY	29,808,347	29,808,347		
b DUES & SUBSCRIPTIONS	9,732,294	7,986,869	1,380,906	364,519
c BANK AND CREDIT CARD FEES	6,843,108	5,726,728	1,101,041	15,339
d UNRELATED BUS INCOME TAX EXP	939,553		939,553	
e All other expenses	30,286,945	18,624,593	10,774,084	888,268
25 **Total functional expenses.** Add lines 1 through 24e	5,268,492,284	4,738,405,873	400,457,272	129,629,139
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		0	1	0
	2	Savings and temporary cash investments		1,455,563,128	2	1,439,002,269
	3	Pledges and grants receivable, net		851,758,015	3	759,187,382
	4	Accounts receivable, net		398,884,946	4	434,507,955
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		2,706,171	5	2,731,294
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		0	6	0
	7	Notes and loans receivable, net		118,771,704	7	107,406,924
	8	Inventories for sale or use		3,446,459	8	3,215,148
	9	Prepaid expenses and deferred charges		46,564,733	9	57,097,743
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 9,461,674,295			
	b	Less: accumulated depreciation	10b 3,859,612,447	5,358,050,614	10c	5,602,061,848
	11	Investments—publicly traded securities		1,576,124,662	11	1,260,123,887
	12	Investments—other securities. See Part IV, line 11		9,162,157,520	12	9,669,384,697
	13	Investments—program-related. See Part IV, line 11		0	13	0
	14	Intangible assets		0	14	0
	15	Other assets. See Part IV, line 11		675,823,078	15	589,470,314
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)		19,649,851,030	16	19,924,189,461
Liabilities	17	Accounts payable and accrued expenses		321,363,505	17	366,330,119
	18	Grants payable		0	18	0
	19	Deferred revenue		273,289,229	19	288,297,491
	20	Tax-exempt bond liabilities		1,889,050,242	20	1,812,209,035
	21	Escrow or custodial account liability. Complete Part IV of Schedule D		0	21	0
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		0	22	0
	23	Secured mortgages and notes payable to unrelated third parties		0	23	0
	24	Unsecured notes and loans payable to unrelated third parties		195,234,731	24	187,990,854
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D		1,231,592,957	25	1,285,077,407
	26	**Total liabilities.** Add lines 17 through 25		3,910,530,664	26	3,939,904,906
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.**				
	27	Unrestricted net assets		7,183,872,373	27	7,294,881,634
	28	Temporarily restricted net assets		4,788,221,916	28	4,704,521,013
	29	Permanently restricted net assets		3,767,226,077	29	3,984,881,908
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.				
	30	Capital stock or trust principal, or current funds			30	
	31	Paid-in or capital surplus, or land, building or equipment fund			31	
	32	Retained earnings, endowment, accumulated income, or other funds			32	
	33	Total net assets or fund balances		15,739,320,366	33	15,984,284,555
	34	Total liabilities and net assets/fund balances		19,649,851,030	34	19,924,189,461

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	5,554,552,356
2	Total expenses (must equal Part IX, column (A), line 25)	2	5,268,492,284
3	Revenue less expenses. Subtract line 2 from line 1	3	286,060,072
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	15,739,320,366
5	Net unrealized gains (losses) on investments	5	-96,877,849
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	55,781,966
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	15,984,284,555

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

Return to Form

Software ID:

Software Version:

Form 990, Special Condition Description:

Special Condition Description

SCHEDULE A
(Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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

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

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

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

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

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

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

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

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

8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)

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

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

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

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

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

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

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

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

f Enter the number of supported organizations . . . . . .

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

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	1,239,104,776	1,357,673,833	1,835,150,690	1,909,794,420	1,626,034,525	7,967,758,244
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
3 The value of services or facilities furnished by a governmental unit to the organization without charge..						0
4 **Total.** Add lines 1 through 3	1,239,104,776	1,357,673,833	1,835,150,690	1,909,794,420	1,626,034,525	7,967,758,244
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). .						207,532,211
6 **Public support.** Subtract line 5 from line 4.						7,760,226,033

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
7 Amounts from line 4. .	1,239,104,776	1,357,673,833	1,835,150,690	1,909,794,420	1,626,034,525	7,967,758,244
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . .	293,561,605	274,595,453	257,219,758	262,611,265	295,302,324	1,383,290,405
9 Net income from unrelated business activities, whether or not the business is regularly carried on. .						0
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). .	120,213,561	144,279,932	81,993,242	77,186,230	108,427,118	532,100,083
11 **Total support** Add lines 7 through 10.						9,883,148,732

12 Gross receipts from related activities, etc. (see instructions) **12** 14,989,648,108

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

Section C. Computation of Public Support Percentage

14 Public support percentage for 2018 (line 6, column (f) divided by line 11, column (f)) . . . . . **14** 78.520 %

15 Public support percentage for 2013 Schedule A, Part II, line 14 . . . . . **15** 78.049 %

16a **33 1/3% support test—2018.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶☑

b **33 1/3% support test—2013.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶☐

17a **10%-facts-and-circumstances test—2018.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶☐

b **10%-facts-and-circumstances test—2013.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ▶☐

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513. .						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge. .						
6 **Total.** Add lines 1 through 5.						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons. . .						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b. .						
8 **Public support** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2018	(f) Total
9 Amounts from line 6. . .						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . .						
13 **Total support.** (Add lines 9, 10c, 11, and 12.). .						

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

Section C. Computation of Public Support Percentage

15	Public support percentage for 2018 (line 8, column (f) divided by line 13, column (f))	15	
16	Public support percentage from 2013 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17	Investment income percentage for **2018** (line 10c, column (f) divided by line 13, column (f))	17	
18	Investment income percentage from **2013** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2018.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

b **33 1/3% support tests—2013.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization . . . . . ▶ ☐

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

Part IV Supporting Organizations

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

Section A. All Supporting Organizations

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

Part IV Supporting Organizations (continued)

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

Section B. Type I Supporting Organizations

			Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? *If "No," describe in **Part VI** how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.*	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, (1) a written notice describing the type and amount of support provided during the prior tax year, (2) a copy of the Form 990 that was most recently filed as of the date of notification, and (3) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
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		
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in **Part VI** the role the organization's supported organizations played in this regard.*	3		

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)

			Yes	No
2	Activities Test. **Answer (a) and (b) below.**			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in **Part VI identify those supported organizations and explain** how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.*	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in **Part VI** the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.*	2b		
3	Parent of Supported Organizations. **Answer (a) and (b) below.**			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *Provide details in Part VI.*	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? *If "Yes," describe in Part VI the role played by the organization in this regard.*	3b		

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

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

Section A - Adjusted Net Income

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

Section B - Minimum Asset Amount

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

Section C - Distributable Amount

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

7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions	
7 **Total annual distributions.** Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions	
9 Distributable amount for 2018 from Section C, line 6	
10 Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2018	(iii) Distributable Amount for 2018
1 Distributable amount for 2018 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2018 (reasonable cause required--see instructions)			
3 Excess distributions carryover, if any, to 2018:			
a From 2009. X			
b From 2010. X			
c From 2011. X			
d From 2012. X			
e From 2013.			
f **Total** of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2018 distributable amount			
i Carryover from 2009 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2018 from Section D, line 7: $			
a Applied to underdistributions of prior years			
b Applied to 2018 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2018, if any. Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions)			
6 Remaining underdistributions for 2018. Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions)			
7 **Excess distributions carryover to 2015.** Add lines 3j and 4c.			
8 Breakdown of line 7:			
a From 2010. X			
b From 2011. X			
c From 2012. X			
d From 2013.			
e From 2018.			

Part VI **Supplemental Information.**

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

Facts And Circumstances Test

Return Reference	Explanation

Additional Data

Return to Form

Software ID:

Software Version:

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ **Attach to Form 990, 990-EZ, or 990-PF.**
▶ **Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www.irs.gov/form990*.**

OMB No. 1545-0047

2018

Name of the organization	**Employer identification number**
THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK	13-5598093

Organization type (check one):

Filers of:	**Section:**
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☐ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

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

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year . . . . . ▶ $ _____

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

Name of organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
RESTRICTED	,	$ RESTRICTED	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part II **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No.from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization	**Employer identification number**
THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK	13-5598093

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once. See instructions.) ▶ $ _____**

Use duplicate copies of Part III if additional space is needed.

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No.from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE C
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527
▶Complete if the organization is described below. ▶Attach to Form 990 or Form 990-EZ.
▶Information about Schedule C (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047

2018

Open to Public Inspection

If the organization answered "Yes" to Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then
- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" to Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then
- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" to Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then
- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of the organization	Employer identification number
THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK	13-5598093

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

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

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

1 Enter the amount of any excise tax incurred by the organization under section 4955 $
2 Enter the amount of any excise tax incurred by organization managers under section 4955 $
3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ 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-.

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.		
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-.		

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.

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)** 2011	**(b)** 2012	**(c)** 2013	**(d)** 2018	**(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 to lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

		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)?	Yes		
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?	Yes		14,372
g	Direct contact with legislators, their staffs, government officials, or a legislative body?	Yes		34,529
h	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No	
i	Other activities?	Yes		572,000
j	Total. Add lines 1c through 1i			620,901
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 1A - VOLUNTEERS: N/A LINE 1B - PAID STAFF OR MANAGEMENT: THE UNIVERSITY HAS OFFICES OF GOVERNMENT AND COMMUNITY AFFAIRS AT BOTH ITS MORNINGSIDE AND MEDICAL CENTER CAMPUSES WHOSE FUNCTIONS ARE TO KEEP THE UNIVERSITY COMMUNITY INFORMED ABOUT NATIONAL, STATE AND LOCAL LEGISLATION AND POLICY THAT HAS AN IMPACT ON THE UNIVERSITY AND, WHEN APPROPRIATE, TO ADVOCATE FOR THE UNIVERSITY'S INTERESTS WITH RESPECT TO THIS POLICY. EMPLOYEES REGULARLY INVOLVED IN THESE ACTIVITIES INCLUDE BUT ARE NOT LIMITED TO: EXECUTIVE VICE PRESIDENT FOR PUBLIC AFFAIRS; ASSOCIATE VICE PRESIDENT FOR GOVERNMENT RELATIONS; ASSISTANT VICE PRESIDENT FOR GOVERNMENT RELATIONS; THE EXECUTIVE VICE PRESIDENT FOR HEALTH SCIENCE; VICE PRESIDENT AND ASSOCIATE DEAN FOR GOVERNMENT AND COMMUNITY AFFAIRS, COLUMBIA UNIVERSITY MEDICAL CENTER; ASSISTANT VICE PRESIDENT FOR GOVERNMENT AND COMMUNITY AFFAIRS, COLUMBIA UNIVERSITY MEDICAL CENTER; DIRECTOR OF GOVERNMENT AFFAIRS; AND THE ASSISTANT DIRECTOR FOR GOVERNMENT & COMMUNITY AFFAIRS. LINE 1C - MEDIA ADVERTISEMENTS: N/A LINE 1D - MAILINGS TO MEMBERS, LEGISLATORS OR THE PUBLIC: N/A LINE 1E - PUBLICATIONS, OR PUBLISHED OR BROADCAST STATEMENTS: N/A LINE 1F - GRANTS TO OTHER ORGANIZATIONS FOR LOBBYING PURPOSES: THE UNIVERSITY BELONGS TO CERTAIN HIGHER EDUCATION TRADE ASSOCIATIONS. A SMALL PORTION OF THE MEMBERSHIP FEES PAID TO CERTAIN OF THESE ORGANIZATIONS GOES TO SUPPORT LOBBYING-RELATED ACTIVITIES. THESE FEES ARE REGULARLY REPORTED ON THE UNIVERSITY'S LOBBYING DISCLOSURE FILINGS. LINE 1G - DIRECT CONTACT WITH LEGISLATORS, THEIR STAFFS, GOVERNMENT OFFICIALS, OR A LEGISLATIVE BODY: THE PRESIDENT, THE EXECUTIVE VICE PRESIDENT FOR PUBLIC AFFAIRS, THE ASSOCIATE VICE PRESIDENT FOR GOVERNMENT RELATIONS, THE ASSISTANT VICE PRESIDENT FOR PLANNING AND PROJECT COORDINATION, THE ASSISTANT VICE PRESIDENT FOR GOVERNMENT RELATIONS, THE DIRECTOR OF GOVERNMENT AFFAIRS; THE ASSISTANT DIRECTOR FOR GOVERNMENT & COMMUNITY AFFAIRS, AMONG OTHER COLUMBIA UNIVERSITY EMPLOYEES, CONTACTED FEDERAL, STATE, AND LOCAL LEGISLATORS AND THEIR STAFFS ON HIGHER EDUCATION ISSUES. THE EXECUTIVE VICE PRESIDENT FOR HEALTH SCIENCE; THE VICE PRESIDENT AND ASSOCIATE DEAN FOR GOVERNMENT AND COMMUNITY AFFAIRS, COLUMBIA UNIVERSITY MEDICAL CENTER; THE ASSISTANT VICE PRESIDENT FOR GOVERNMENT AND COMMUNITY AFFAIRS, COLUMBIA UNIVERSITY MEDICAL CENTER; AND OTHER COLUMBIA UNIVERSITY MEDICAL CENTER EMPLOYEES CONTACTED FEDERAL, STATE AND LOCAL LEGISLATORS AND THEIR STAFFS ON HIGHER EDUCATION ISSUES, HEALTH SCIENCES ISSUES AND OTHER ISSUES AFFECTING ACADEMIC MEDICAL CENTERS. THE AMOUNTS SHOWN ON LINE 1G REFLECT PAID STAFF AND MANAGEMENT ACTIVITIES. LINE 1H - RALLIES, DEMONSTRATIONS, SEMINARS, CONVENTIONS, SPEECHES, LECTURES OR ANY OTHER MEANS: N/A LINE 1I - OTHER ACTIVITIES: DURING THE REPORTING PERIOD, THE UNIVERSITY RETAINED OUTSIDE FIRMS FOR CONSULTING AND ADVOCACY AT THE FEDERAL, STATE AND LOCAL LEVELS OF GOVERNMENT. THE AMOUNTS SHOWN ON LINE 1I INCLUDE AMOUNTS PAID TO SUCH OUTSIDE FIRMS FOR ALL ACTIVITIES CONDUCTED BY SUCH FIRMS, INCLUDING CERTAIN OF THE ACTIVITIES DESCRIBED ABOVE AND GENERAL ADVISORY SERVICES TO THE UNIVERSITY IN CONNECTION WITH ITS LOBBYING ACTIVITIES.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.
Information about Schedule D (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047
2018
Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year	14	
2	Aggregate value of contributions to (during year)	1,022,319	
3	Aggregate value of grants from (during year)	20,416,467	
4	Aggregate value at end of year	37,128,573	

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" to Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).
☐ Preservation of land for public use (e.g., recreation or education)
☐ Preservation of an historically important land area
☐ Protection of natural habitat
☐ Preservation of a certified historic structure
☐ Preservation of open space

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

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

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? . . . . . ☐ Yes ☐ No

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

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

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

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

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

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

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

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

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included in Form 990, Part VIII, line 1 . . . . . ▶ $ _____

b Assets included in Form 990, Part X . . . . . ▶ $ _____

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

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

- **a** ☑ Public exhibition
- **b** ☑ Scholarly research
- **c** ☑ Preservation for future generations
- **d** ☑ Loan or exchange programs
- **e** ☐ Other

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☑ **Yes** ☐ **No**

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ **Yes** ☐ **No**

b If "Yes," explain the arrangement in Part XIII and complete the following table:

		Amount
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" to Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	10,869,245,000	9,996,596,000	9,041,027,000	9,639,065,000	9,223,047,000
b Contributions	307,537,000	640,042,000	411,858,000	176,354,000	270,192,000
c Net investment earnings, gains, and losses	418,416,000	862,139,000	1,140,424,000	-173,840,000	739,891,000
d Grants or scholarships	137,178,000	120,019,000	114,376,000	106,989,000	99,309,000
e Other expenditures for facilities and programs	468,970,000	469,411,000	441,400,000	449,177,000	449,275,000
f Administrative expenses	38,312,000	40,102,000	40,937,000	44,386,000	45,481,000
g End of year balance	10,950,738,000	10,869,245,000	9,996,596,000	9,041,027,000	9,639,065,000

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

- **a** Board designated or quasi-endowment ▶ 36.000 %
- **b** Permanent endowment ▶ 64.000 %
- **c** Temporarily restricted endowment ▶

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

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

	Yes	No
(i) unrelated organizations	**3a(i)** Yes	
(ii) related organizations	**3a(ii)**	No
b If "Yes" to 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' to Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		478,254,253		478,254,253
b Buildings		7,051,026,536	3,045,452,474	4,005,574,062
c Leasehold improvements				
d Equipment		581,970,462	361,456,252	220,514,210
e Other	1,350,423,044		452,703,721	897,719,323
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶				5,602,061,848

Part VII **Investments—Other Securities.** Complete if the organization answered 'Yes' to 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		
(3) Other		
(A) GLOBAL EQUITIES	1,253,290,823	F
(B) ABSOLUTE RETURN STRATEGIES	3,625,302,802	F
(C) PRIVATE EQUITY	2,167,174,583	F
(D) REAL ESTATE ASSETS	1,962,476,223	F
(E) FIXED INCOME	322,690,248	F
(F) CASH & CASH EQUIVALENTS	338,450,018	F
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 12.)* ▶	9,669,384,697	

Part VIII **Investments—Program Related.** Complete if the organization answered 'Yes' to 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
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 13.)* ▶		

Part IX **Other Assets.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 15.)* . . . . . ▶	

Part X **Other Liabilities.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
Federal income taxes	0
LIABILITY FOR SECURITIES PURCH	4,535,974
CAPITAL LEASE OBLIGATIONS	126,127,458
COND'L ASSET RETIREMENT OBLIGA	118,930,172
ACCRUED EMPLOYEE BENEFIT LIAB.	379,564,921
FEDERAL STUDENT LOAN FUNDS	79,862,423
ACTUARIAL LIAB- SPLIT INT AGRM	60,688,129
OTHER LONG TERM LIABILITIES	515,368,330
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 25.)* ▶	1,285,077,407

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' to Form 990, Part IV, line 12a.

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

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

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

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

Part XIII Supplemental Information

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

Return Reference	Explanation
DETAIL OF UNIVERSITY COLLECTIONS/TEXT OF AUDIT FOOTNOTE	SCHEDULE D, PART III, LINES 1A, 2A & 4 Collections at the University include works of art, literary works, historical treasures, and artifacts that are maintained in the University's galleries, libraries, and buildings. These collections are protected and preserved for public exhibition, education, research, and the furtherance of public service and, therefore, are not recognized as assets on the consolidated statements of financial position.
INTENDED USE OF ENDOWMENT FUNDS	SCHEDULE D, PART V, LINE 4 COLUMBIA UNIVERSITY'S ENDOWMENT FUNDS SUPPORT A RANGE OF PURPOSES IN ACCORDANCE WITH THE UNIVERSITY'S MISSION, INCLUDING: FINANCIAL AID; FACULTY SALARIES AND SUPPORT; RESEARCH; CAPITAL PROJECTS; GENERAL SUPPORT OF THE UNIVERSITY, SCHOOLS, DEPARTMENTS, INSTITUTES AND CENTERS.
FIN 48	SCHEDULE D, PART X, LINE 2 The University does not include a liability for uncertain tax positions under FIN 48 (ASC 740) in its financial statements as it is immaterial and does not have an impact on the statements. The University believes that its tax positions of FIN 48 are highly certain.

Additional Data

Return to Form

Software ID:

Software Version:

SCHEDULE E
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Schools

▶Complete if the organization answered "Yes" to Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.

▶ Attach to Form 990 or Form 990-EZ.

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part I

			YES	NO
1	Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?	1	Yes	
2	Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?	2	Yes	
3	Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space use Part II.	3	Yes	
4	Does the organization maintain the following?			
a	Records indicating the racial composition of the student body, faculty, and administrative staff?	4a	Yes	
b	Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?	4b	Yes	
c	Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?	4c	Yes	
d	Copies of all material used by the organization or on its behalf to solicit contributions?	4d	Yes	
	If you answered "No" to any of the above, please explain. If you need more space, use Part II.			
5	Does the organization discriminate by race in any way with respect to:			
a	Students' rights or privileges?	5a		No
b	Admissions policies?	5b		No
c	Employment of faculty or administrative staff?	5c		No
d	Scholarships or other financial assistance?	5d		No
e	Educational policies?	5e		No
f	Use of facilities?	5f		No
g	Athletic programs?	5g		No
h	Other extracurricular activities?	5h		No
	If you answered "Yes" to any of the above, please explain. If you need more space, use Part II.			
6a	Does the organization receive any financial aid or assistance from a governmental agency?	6a	Yes	
b	Has the organization's right to such aid ever been revoked or suspended?	6b		No
	If you answered "Yes" to either line 6a or line 6b, explain on Part II.			
7	Does the organization certify that it has complied with the applicable requirements of sections 4.01 through 4.05 of Rev. Proc. 75-50, 1975-2 C.B. 587, covering racial nondiscrimination? If "No," explain on Part II.	7	Yes	

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

Return Reference	Explanation
SCHEDULE E, LINE 3	COLUMBIA UNIVERSITY CUSTOMARILY DRAWS A SUBSTANTIAL PERCENTAGE OF ITS STUDENTS FROM ACROSS THE NATION AND THE WORLD. ITS EDUCATIONAL PROGRAMS SEEK A BROAD CROSS-SECTION OF STUDENTS FROM THE METROPOLITAN AREA. IT FOLLOWS A RACIALLY NONDISCRIMINATORY POLICY OF ADMISSION AND INCLUDES A STATEMENT OF ITS RACIALLY NONDISCRIMINATORY POLICY TOWARDS STUDENTS IN ALL SCHOOL AND PROGRAM BULLETINS. IT ALSO REFERS TO THIS POLICY IN ALL WRITTEN ADVERTISING. IT THEREFORE MEETS THE CRITERIA UNDER REV. PROC. 75-50, SECTION 4.03-2(B)FOR EXEMPTION FROM THE PUBLICITY REQUIREMENTS OF SECTION 4.03-1.
SCHEDULE E, LINE 6A	COLUMBIA UNIVERSITY RECEIVES FEDERAL, STATE AND LOCAL GOVERNMENTAL FUNDING THAT SUPPORTS ITS CORE INSTRUCTIONAL AND RESEARCH PROGRAMS.

Additional Data

Return to Form

Software ID:

Software Version:

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. ▶ See separate instructions.

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization

Employer identification number

13-5598093

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

1 **For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . . ☑ Yes ☐ No

2 **For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

3 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 region	(d) Activities conducted in region (by type) (e.g., fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for and investments in region
(1) Central America and the Caribbean	1	280	Program Services	EDUC/RESEARCH/OUTREACH	5,540,390
(2) Central America and the Caribbean			Grantmaking		687,914
(3) Central America and the Caribbean			Investments		5,163,469,567
(4) East Asia and the Pacific	5	1,320	Program Services	EDUC/RESEARCH/OUTREACH	8,388,417
(5) East Asia and the Pacific			Grantmaking		931,364
(6) East Asia and the Pacific			Fundraising		379,252
(7) East Asia and the Pacific			Investments		186,334,044
(8) Europe (Including Iceland and Greenland)	22	3,210	Program Services	EDUC/RESEARCH/OUTREACH	16,284,944
(9) Europe (Including Iceland and Greenland)			Grantmaking		3,929,050
(10) Europe (Including Iceland and Greenland)			Fundraising		1,568,679
(11) Europe (Including Iceland and Greenland)			Investments		638,776,348
(12) Middle East and North Africa	4	440	Program Services	EDUC/RESEARCH/OUTREACH	3,760,239
(13) Middle East and North Africa			Grantmaking		151,277
(14) Middle East and North Africa			Fundraising		126,569
(15) North America	0	654	Program Services	EDUC/RESEARCH/OUTREACH	1,629,354
(16) North America			Grantmaking		1,425,965
(17) North America			Fundraising		14,685
(18) North America			Investments		36,469,846
(19) Russia and the Newly Independent States	4	166	Program Services	EDUC/RESEARCH/OUTREACH	3,977,578
(20) Russia and the Newly Independent States			Grantmaking		134,635
(21) South America	5	599	Program Services	EDUC/RESEARCH/OUTREACH	3,015,803
(22) South America			Grantmaking		85,743
(23) South America			Fundraising		27,580
(24) South Asia	2	268	Program Services	EDUC/RESEARCH/OUTREACH	2,788,862
(25) South Asia			Grantmaking		640,897
(26) South Asia			Fundraising		70,345
(27) South Asia			Investments		5,315
(28) Sub-Saharan Africa	47	2,341	Program Services	EDUC/RESEARCH/OUTREACH	128,969,587
(29) Sub-Saharan Africa			Grantmaking		20,005,873
(30) Sub-Saharan Africa			Fundraising		26,286
(31) Sub-Saharan Africa			Investments		143,108,091
3a Sub-total	32	5,904			6,033,398,058
b Total from continuation sheets to Part I . . .					339,326,441
c **Totals** (add lines 3a and 3b)	90	9,278			6,372,724,499

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

1 (a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)		Europe (Including Iceland and Greenland)	Edu/Research	746,419	Check/Wire		N/A	N/A
(2)		Sub-Saharan Africa	Edu/Research	692,359	Check/Wire		N/A	N/A
(3)		North America	Edu/Research	597,820	Check/Wire		N/A	N/A
(4)		South Asia	Edu/Research	471,329	Check/Wire		N/A	N/A
(5)		Sub-Saharan Africa	Edu/Research	372,794	Check/Wire		N/A	N/A
(6)		East Asia and the Pacific	Edu/Research	326,236	Check/Wire		N/A	N/A
(7)		Sub-Saharan Africa	Edu/Research	316,542	Check/Wire		N/A	N/A
(8)		North America	Edu/Research	295,475	Check/Wire		N/A	N/A
(9)		Europe (Including Iceland and Greenland)	Edu/Research	273,937	Check/Wire		N/A	N/A
(10)		Europe (Including Iceland and Greenland)	Edu/Research	270,258	Check/Wire		N/A	N/A
(11)		Sub-Saharan Africa	Edu/Research	275,579	Check/Wire		N/A	N/A
(12)		Europe (Including Iceland and Greenland)	Edu/Research	257,484	Check/Wire		N/A	N/A
(13)		Europe (Including Iceland and Greenland)	Edu/Research	218,177	Check/Wire		N/A	N/A
(14)		Europe (Including Iceland and Greenland)	Edu/Research	208,521	Check/Wire		N/A	N/A
(15)		Sub-Saharan Africa	Edu/Research	204,609	Check/Wire		N/A	N/A
(16)		Sub-Saharan Africa	Edu/Research	195,758	Check/Wire		N/A	N/A
(17)		Europe (Including Iceland and Greenland)	Edu/Research	195,402	Check/Wire		N/A	N/A
(18)		Sub-Saharan Africa	Edu/Research	174,526	Check/Wire		N/A	N/A
(19)		Europe (Including Iceland and Greenland)	Edu/Research	148,610	Check/Wire		N/A	N/A
(20)		North America	Edu/Research	140,340	Check/Wire		N/A	N/A
(21)		Europe (Including Iceland and Greenland)	Edu/Research	130,330	Check/Wire		N/A	N/A
(22)		Sub-Saharan Africa	Edu/Research	125,418	Check/Wire		N/A	N/A
(23)		North America	Edu/Research	119,256	Check/Wire		N/A	N/A
(24)		Europe (Including Iceland and Greenland)	Edu/Research	118,567	Check/Wire		N/A	N/A
(25)		Europe (Including Iceland and Greenland)	Edu/Research	114,698	Check/Wire		N/A	N/A
(26)		Russia and the Newly Independent States	Edu/Research	112,804	Check/Wire		N/A	N/A
(27)		Sub-Saharan Africa	Edu/Research	108,057	Check/Wire		N/A	N/A
(28)		Europe (Including Iceland and Greenland)	Edu/Research	107,873	Check/Wire		N/A	N/A
(29)		Middle East and North Africa	Edu/Research	97,438	Check/Wire		N/A	N/A
(30)		Europe (Including Iceland and Greenland)	Edu/Research	95,062	Check/Wire		N/A	N/A
(31)		North America	Edu/Research	91,642	Check/Wire		N/A	N/A
(32)		Europe (Including Iceland and Greenland)	Edu/Research	91,500	Check/Wire		N/A	N/A
(33)		East Asia and the Pacific	Edu/Research	91,589	Check/Wire		N/A	N/A
(34)		Europe (Including Iceland and Greenland)	Edu/Research	88,470	Check/Wire		N/A	N/A
(35)		Sub-Saharan Africa	Edu/Research	84,456	Check/Wire		N/A	N/A
(36)		East Asia and the Pacific	Edu/Research	76,567	Check/Wire		N/A	N/A
(37)		Sub-Saharan Africa	Edu/Research	70,000	Check/Wire		N/A	N/A
(38)		East Asia and the Pacific	Edu/Research	62,828	Check/Wire		N/A	N/A
(39)		North America	Edu/Research	62,613	Check/Wire		N/A	N/A
(40)		Europe (Including Iceland and Greenland)	Edu/Research	72,000	Check/Wire		N/A	N/A
(41)		South Asia	Edu/Research	59,324	Check/Wire		N/A	N/A
(42)		South Asia	Edu/Research	58,244	Check/Wire		N/A	N/A
(43)		Middle East and North Africa	Edu/Research	53,839	Check/Wire		N/A	N/A
(44)		Europe (Including Iceland and Greenland)	Edu/Research	53,784	Check/Wire		N/A	N/A
(45)		Europe (Including Iceland and Greenland)	Edu/Research	53,365	Check/Wire		N/A	N/A
(46)		Sub-Saharan Africa	Edu/Research	50,000	Check/Wire		N/A	N/A
(47)		North America	Edu/Research	49,933	Check/Wire		N/A	N/A
(48)		Europe (Including Iceland and Greenland)	Edu/Research	48,135	Check/Wire		N/A	N/A
(49)		Sub-Saharan Africa	Edu/Research	46,416	Check/Wire		N/A	N/A
(50)		Europe (Including Iceland and Greenland)	Edu/Research	42,300	Check/Wire		N/A	N/A
(51)		North America	Edu/Research	42,070	Check/Wire		N/A	N/A
(52)		Europe (Including Iceland and Greenland)	Edu/Research	41,284	Check/Wire		N/A	N/A
(53)		Europe (Including Iceland and Greenland)	Edu/Research	40,554	Check/Wire		N/A	N/A
(54)		Europe (Including Iceland and Greenland)	Edu/Research	39,814	Check/Wire		N/A	N/A
(55)		Europe (Including Iceland and Greenland)	Edu/Research	36,135	Check/Wire		N/A	N/A
(56)		East Asia and the Pacific	Edu/Research	31,419	Check/Wire		N/A	N/A
(57)		Europe (Including Iceland and Greenland)	Edu/Research	30,208	Check/Wire		N/A	N/A
(58)		Sub-Saharan Africa	Edu/Research	27,577	Check/Wire		N/A	N/A
(59)		South America	Edu/Research	27,000	Check/Wire		N/A	N/A
(60)		Europe (Including Iceland and Greenland)	Edu/Research	24,300	Check/Wire		N/A	N/A
(61)		South America	Edu/Research	23,263	Check/Wire		N/A	N/A
(62)		South America	Edu/Research	23,000	Check/Wire		N/A	N/A
(63)		Europe (Including Iceland and Greenland)	Edu/Research	22,510	Check/Wire		N/A	N/A
(64)		South Asia	Edu/Research	20,000	Check/Wire		N/A	N/A
(65)		East Asia and the Pacific	Edu/Research	18,000	Check/Wire		N/A	N/A
(66)		South Asia	Edu/Research	18,000	Check/Wire		N/A	N/A
(67)		East Asia and the Pacific	Edu/Research	17,435	Check/Wire		N/A	N/A
(68)		Europe (Including Iceland and Greenland)	Edu/Research	15,744	Check/Wire		N/A	N/A
(69)		Europe (Including Iceland and Greenland)	Edu/Research	15,555	Check/Wire		N/A	N/A
(70)		South America	Edu/Research	12,480	Check/Wire		N/A	N/A
(71)		North America	Edu/Research	11,966	Check/Wire		N/A	N/A
(72)		North America	Edu/Research	10,000	Check/Wire		N/A	N/A
(73)		East Asia and the Pacific	Edu/Research	10,000	Check/Wire		N/A	N/A
(74)		South Asia	Edu/Research	10,000	Check/Wire		N/A	N/A
(75)		East Asia and the Pacific	Edu/Research	9,810	Check/Wire		N/A	N/A
(76)		Europe (Including Iceland and Greenland)	Edu/Research	9,513	Check/Wire		N/A	N/A
(77)		Sub-Saharan Africa	Edu/Research	9,345	Check/Wire		N/A	N/A
(78)		Europe (Including Iceland and Greenland)	Edu/Research	9,248	Check/Wire		N/A	N/A
(79)		Sub-Saharan Africa	Edu/Research	8,748	Check/Wire		N/A	N/A
(80)		East Asia and the Pacific	Edu/Research	8,713	Check/Wire		N/A	N/A
(81)		Europe (Including Iceland and Greenland)	Edu/Research	5,341	Check/Wire		N/A	N/A
(82)		Europe (Including Iceland and Greenland)	Edu/Research	266,324	Check/Wire		N/A	N/A
(83)		Sub-Saharan Africa	Edu/Research	13,500	Check/Wire		N/A	N/A
(84)		East Asia and the Pacific	Edu/Research	128,571	Check/Wire		N/A	N/A
(85)		Sub-Saharan Africa	Edu/Research	128,589	Check/Wire		N/A	N/A
(86)		Sub-Saharan Africa	Edu/Research	1,076,110	Check/Wire		N/A	N/A
(87)		Sub-Saharan Africa	Edu/Research	1,390,129	Check/Wire		N/A	N/A
(88)		Sub-Saharan Africa	Edu/Research	1,633,159	Check/Wire		N/A	N/A
(89)		Central America and the Caribbean	Edu/Research	687,914	Check/Wire		N/A	N/A
(90)		Sub-Saharan Africa	Edu/Research	1,185,781	Check/Wire		N/A	N/A
(91)		Sub-Saharan Africa	Edu/Research	25,115	Check/Wire		N/A	N/A
(92)		Sub-Saharan Africa	Edu/Research	16,523	Check/Wire		N/A	N/A
(93)		Sub-Saharan Africa	Edu/Research	5,204,163	Check/Wire		N/A	N/A
(94)		Sub-Saharan Africa	Edu/Research	1,270,448	Check/Wire		N/A	N/A
(95)		Sub-Saharan Africa	Edu/Research	121,879	Check/Wire		N/A	N/A
(96)		Sub-Saharan Africa	Edu/Research	627,348	Check/Wire		N/A	N/A
(97)		Sub-Saharan Africa	Edu/Research	681,008	Check/Wire		N/A	N/A
(98)		Sub-Saharan Africa	Edu/Research	52,787	Check/Wire		N/A	N/A
(99)		Sub-Saharan Africa	Edu/Research	25,709	Check/Wire		N/A	N/A
(100)		Sub-Saharan Africa	Edu/Research	8,469			Equipment	Book Value
(101)		Sub-Saharan Africa	Edu/Research	107,915			Equipment	Book Value
(102)		Sub-Saharan Africa	Edu/Research	171,507			Equipment	Book Value
(103)		Sub-Saharan Africa	Edu/Research	130,543			Equipment	Book Value
(104)		Sub-Saharan Africa	Edu/Research	130,543			Equipment	Book Value
(105)		Sub-Saharan Africa	Edu/Research	136,671			Equipment	Book Value
(106)		Sub-Saharan Africa	Edu/Research	188,234			Equipment	Book Value
(107)		Sub-Saharan Africa	Edu/Research	266,569			Equipment	Book Value
(108)		Sub-Saharan Africa	Edu/Research	34,829			Equipment	Book Value
(109)		Russia and the Newly Independent States	Edu/Research	21,831			Equipment	Book Value
(110)		Sub-Saharan Africa	Edu/Research	126,269			Equipment	Book Value
(111)		Sub-Saharan Africa	Edu/Research	240,353			Equipment	Book Value
(112)		Sub-Saharan Africa	Edu/Research	750,258			Equipment	Book Value
(113)		Sub-Saharan Africa	Edu/Research	153,787			Equipment	Book Value
(114)		Sub-Saharan Africa	Edu/Research	23,467			Equipment	Book Value
(115)		Sub-Saharan Africa	Edu/Research	9,280			Equipment	Book Value
(116)		Sub-Saharan Africa	Edu/Research	18,826			Equipment	Book Value
(117)		Sub-Saharan Africa	Edu/Research	22,114			Equipment	Book Value
(118)		Sub-Saharan Africa	Edu/Research	23,467			Equipment	Book Value
(119)		Sub-Saharan Africa	Edu/Research	101,320			Equipment	Book Value
(120)		Sub-Saharan Africa	Edu/Research	22,516			Equipment	Book Value
(121)		Sub-Saharan Africa	Edu/Research	108,747			Equipment	Book Value
(122)		Sub-Saharan Africa	Edu/Research	70,402			Equipment	Book Value
(123)		Sub-Saharan Africa	Edu/Research	21,419			Equipment	Book Value
(124)		Sub-Saharan Africa	Edu/Research	19,387			Equipment	Book Value
(125)		Sub-Saharan Africa	Edu/Research	10,489			Equipment	Book Value
(126)		Sub-Saharan Africa	Edu/Research	18,248			Equipment	Book Value
(127)		Sub-Saharan Africa	Edu/Research	86,231			Equipment	Book Value
(128)		Sub-Saharan Africa	Edu/Research	23,467			Equipment	Book Value
(129)		Sub-Saharan Africa	Edu/Research	8,604			Equipment	Book Value
(130)		Sub-Saharan Africa	Edu/Research	29,876			Equipment	Book Value
(131)		Sub-Saharan Africa	Edu/Research	23,114			Equipment	Book Value
(132)		Sub-Saharan Africa	Edu/Research	19,387			Equipment	Book Value
(133)		Sub-Saharan Africa	Edu/Research	8,604			Equipment	Book Value
(134)		Sub-Saharan Africa	Edu/Research	8,604			Equipment	Book Value
(135)		Sub-Saharan Africa	Edu/Research	11,557			Equipment	Book Value
(136)		Sub-Saharan Africa	Edu/Research	13,938			Equipment	Book Value
(137)		Sub-Saharan Africa	Edu/Research	46,739			Equipment	Book Value
(138)		Sub-Saharan Africa	Edu/Research	60,587			Equipment	Book Value
(139)		Sub-Saharan Africa	Edu/Research	19,387			Equipment	Book Value
(140)		Sub-Saharan Africa	Edu/Research	38,775			Equipment	Book Value
(141)		Sub-Saharan Africa	Edu/Research	8,604			Equipment	Book Value
(142)		Sub-Saharan Africa	Edu/Research	116,721			Equipment	Book Value
(143)		Sub-Saharan Africa	Edu/Research	110,289			Equipment	Book Value
(144)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(145)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(146)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(147)		Sub-Saharan Africa	Edu/Research	19,387			Equipment	Book Value
(148)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(149)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(150)		Sub-Saharan Africa	Edu/Research	9,908			Equipment	Book Value
(151)		Sub-Saharan Africa	Edu/Research	78,350			Equipment	Book Value
(152)		East Asia and the Pacific	Edu/Research	142,857	Check/Wire		N/A	N/A

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 . . . . . ▶ 151

3 Enter total number of other organizations or entities . . . . . ▶ 1

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

(a) Type of grant or assistance	**(b)** Region	**(c)** Number of recipients	**(d)** Amount of cash grant	**(e)** Manner of cash disbursement	**(f)** Amount of non-cash assistance	**(g)** Description of non-cash assistance	**(h)** Method of valuation (book, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

Part IV Foreign Forms

1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes,"the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* . . . . . ☑ Yes ☐ No

2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A)* . . . . . ☑ Yes ☐ No

3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* . . . . . ☑ Yes ☐ No

4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* . ☑ Yes ☐ No

5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships. (see Instructions for Form 8865)* . . . . . ☑ Yes ☐ No

6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to file Form 5713, International Boycott Report (see Instructions for Form 5713).* . ☑ 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
SUPPLEMENTAL INFORMATION	SCHEDULE F, PART I, LINE 2 ORGANIZATION'S PROCEDURES FOR MONITORING GRANT FUNDS THE UNIVERSITY MAINTAINS A WRITTEN POLICY THAT GOVERNS THE MONITORING OF ALL SPONSORED PROJECT GRANT FUNDING. THIS POLICY IS CONTAINED IN THE "SPONSORED PROJECTS HANDBOOK". THE POLICY STATES THAT THE PRIMARY OBLIGATION FOR THE DAY-TO-DAY MANAGEMENT OF SPONSORED PROJECTS AND INSURING COMPLIANCE WITH FEDERAL AND OTHER SPONSOR REGULATIONS IS THE RESPONSIBILITY OF THE PRINCIPAL INVESTIGATOR SUPPORTED, AS NECESSARY, BY HIS OR HER ADMINISTRATIVE STAFF. ADDITIONALLY, THE POLICY SPECIFIES THE FOLLOWING MONITORING PROCEDURES: - MONTHLY ACCOUNT RECONCILIATION - REVIEW OF SALARY AND BENEFIT CHARGES - REVIEW OF VENDOR INVOICES - REVIEW OF CHARGES INITIATED BY SERVICE OR RECHARGE CENTERS - REVIEW OF FACILITIES AND ADMINISTRATIVE CHARGES - MONITORING OF SUB-AWARDS THROUGH REVIEW OF CHARGES AND TECHNICAL PERFORMANCE REPORTS, CONDUCTING PERIODIC ONSITE VISITS, AND INITIATING AUDITS/REVIEWS WHEN NECESSARY EXPENDITURES RELATED TO FOREIGN ACTIVITY ARE GENERATED FROM A NUMBER OF SCHOOLS AND CENTERS AS WELL AS THROUGH CERTAIN CENTRAL ADMINISTRATIVE ACTIVITY. MOST OF THE ACTIVITY RELATES TO U.S. GOVERNMENT FUNDED PROGRAM SERVICES. OTHER ACTIVITY INCLUDES FACULTY AND STAFF TRAVEL FOR EDUCATIONAL, RESEARCH, FUNDRAISING AND OTHER PROGRAM SERVICES. NOT ALL OF THE OVERSEAS EXPENDITURES ARE SEPARATELY TRACKED AS FOREIGN ACTIVITY. THE AMOUNTS REPRESENTED ON SCHEDULE F REPRESENT THE UNIVERSITY'S GOOD FAITH EFFORTS TO CAPTURE AND CATEGORIZE FOREIGN ACTIVITY. ---------- FORM 990, SCHEDULE F, PART I, COLUMN (F) & PART II, LINE 1 COLUMBIA UNIVERSITY ACCOUNTS FOR ALL FOREIGN EXPENDITURES, INCLUDING CASH GRANTS AND NONCASH ASSISTANCE, ON THE ORGANIZATION'S FINANCIAL STATEMENTS IN ACCORDANCE WITH GENERALLY ACCEPTED ACCOUNTING PRINCIPLES IN THE UNITED STATES. ----------

Additional Data

Software ID:

Software Version:

SCHEDULE G (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

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

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

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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

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

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

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

b If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization.

(i) Name and address of individual or entity (fundraiser)	**(ii)** Activity	**(iii)** Did fundraiser have custody or control of contributions? 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
1 RUFFALO NOEL LEVITZ LLC 1025 KIRKWOOD PARKWAY SW CEDAR RAPIDS, IA 52404	CONSULTING		No	1,032,418	731,977	300,441
2 DONORDRIVE 30 WEST THIRD STREET CINCINNATI, OH 45202	CONSULTING		No	36,112	27,102	9,010
3 EVENTAGE 18 SOUTH ORANGE AVENUE SOUTH ORANGE, NJ 07079	CONSULTING		No	1,105,422	829,598	275,824
4						
5						
6						
7						
8						
9						
10						
Total . . . . . ▶				2,173,952	1,588,677	585,275

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.

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

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

		(a) Event #1 (event type)	(b) Event #2 (event type)	(c) Other events 46 (total number)	(d) Total events (add col. (a) through col. (c))
Revenue	1 Gross receipts	3,703,308	1,158,216	6,879,529	11,741,053
	2 Less: Contributions	3,611,822	1,103,816	5,871,324	10,586,962
	3 Gross income (line 1 minus line 2)	91,486	54,400	1,008,205	1,154,091
Direct Expenses	4 Cash prizes				
	5 Noncash prizes	34	6,871		6,905
	6 Rent/facility costs	218,655	107,906		326,561
	7 Food and beverages	215,085	51,233		266,318
	8 Entertainment				
	9 Other direct expenses	96,580	73,987	1,008,205	1,178,772
	10 Direct expense summary. Add lines 4 through 9 in column (d) ▶				1,778,556
	11 Net income summary. Subtract line 10 from line 3, column (d) ▶				-624,465

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

		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col. (a) through col. (c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses	96,580	73,987	1,008,205	1,178,772
	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 complete this part to provide any additional information (see instructions).

Return Reference	Explanation

Schedule G (Form 990 or 990-EZ) 2018

Additional Data

Return to Form

Software ID:

Software Version:

Form 16A [See rule 37(1)(b)]

Certificate under section 203 read with rule 37 of the Income-tax Rules, 1962 for tax deducted at source from income other than salary payable to a resident

Certificate No. 1 for the quarter ending 31-Mar-2026

Name and address of the person deducting tax
[illegible]

Name and address of the person to whom the certificate is issued
[illegible]

Permanent Account Number of the person to whom the certificate is issued
[illegible]

Tax Deduction Account Number of the person deducting tax
[illegible]

Total tax deducted and deposited in the Central Government account
[illegible]

Total number of deductees
[illegible]

Total number of deductees with Permanent Account Number
[illegible]

Total number of deductees without Permanent Account Number
[illegible]

Total number of deductees with Permanent Account Number not available with the deductor
[illegible]

Total number of deductees with Permanent Account Number not available with the deductee
[illegible]

Total number of deductees with Permanent Account Number not available with the deductor and Permanent Account Number not available with the deductee
[illegible]

Total number of deductees with Permanent Account Number not available with the deductee and Permanent Account Number not available with the deductor
[illegible]

**Total number of deductees with Permanent Account Number not available with the deductee and Permanent Account Number not available with the deductee

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

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
(1) CCS NANCY RUPP SCHOLARSHIPS	2	10,500		N/A	N/A
(2) STUDENT TUITION GRANTS AND SCHOLARSHIPS	14530	588,209,449		N/A	N/A
(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
DESCRIPTION OF ORGANIZATION'S PROCEDURES FOR MONITORING THE USE OF GRANTS	FORM 990, SCHEDULE I THE UNIVERSITY MAINTAINS A WRITTEN POLICY THAT GOVERNS THE MONITORING OF THE USE OF SPONSORED PROJECT GRANT FUNDING BY SUBRECIPIENTS. THE POLICY MANDATES MONITORING IN TWO AREAS: (A) SUBRECIPIENT INSTITUTION COMPLIANCE WITH THE AUDITING REQUIREMENTS OF OMB CIRCULAR A-133, AND (B) SUBRECIPIENT INSTITUTION'S APPROPRIATE MANAGEMENT OF SUBAWARD. THE UNIVERSITY'S SPONSORED PROJECTS FINANCE GROUP COLLECTS A-133 REPORTS FROM SUBRECIPIENT INSTITUTIONS, AND THE PRINCIPAL INVESTIGATORS CARRY OUT THE SECOND TYPE OF MONITORING, PRINCIPALLY BY: - ROUTINELY GATHERING AND REVIEWING TECHNICAL PERFORMANCE REPORTS; - ROUTINELY REVIEWING INVOICES AND EXPENSES RELATIVE TO BUDGET; - CONDUCTING PERIODIC ON-SITE VISITS, WHEN NECESSARY; AND - INITIATING AUDITS, WHEN NECESSARY.

Additional Data

Return to Form

Software ID:

Software Version:

Schedule J
(Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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

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

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

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

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column(B) reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1 LEE C BOLLINGER PRESIDENT	(i)	1,508,299	700,000	1,858,990	41,690	451,710	4,560,689	0
	(ii)	0	0	0	0	0	0	0
2 JANE E BOOTH GENERAL COUNSEL	(i)	720,476	0	0	41,690	10,873	773,039	0
	(ii)	0	0	0	0	0	0	0
3 JOHN COATSWORTH PROVOST	(i)	773,062	0	41,146	27,955	23,699	865,862	0
	(ii)	0	0	0	0	0	0	0
4 JEROME DAVIS SECRETARY	(i)	438,616	0	0	41,705	15,973	496,294	0
	(ii)	0	0	0	0	0	0	0
5 DAVID MADIGAN EXEC VP-A&S (THROUGH 8/31/18)	(i)	553,170	0	45,616	27,955	65,475	692,216	0
	(ii)	0	0	0	0	0	0	0
6 ANNE R SULLIVAN EXECUTIVE VP FOR FINANCE & IT	(i)	792,347	0	0	27,955	14,929	835,231	0
	(ii)	0	0	0	0	0	0	0
7 GERALD M ROSBERG SENIOR EXEC VICE PRESIDENT	(i)	805,381	0	0	27,864	21,133	854,378	0
	(ii)	0	0	0	0	0	0	0
8 LEE GOLDMAN EXEC VP FOR HEALTH SCIENCES	(i)	1,154,508	220,000	77,165	507,955	10,873	1,970,501	0
	(ii)	0	0	0	0	0	0	0
9 PETER HOLLAND CEO & EXEC VP OF INV MGMT	(i)	1,002,776	2,703,782	0	2,431,565	37,583	6,175,706	2,341,359
	(ii)	0	0	0	0	0	0	0
10 AMELIA ALVERSON EXEC VP - UNIV DVLP&ALUM RLTS	(i)	758,637	0	0	27,955	13,517	800,109	0
	(ii)	0	0	0	0	0	0	0
11 DAVID GREENBERG EXEC VP FACILITIES	(i)	531,632	0	0	27,955	7,160	566,747	0
	(ii)	0	0	0	0	0	0	0
12 DAVID N SILVERS CLINICAL PROFESSOR	(i)	2,997,384	1,005,908	0	38,108	9,951	4,051,351	0
	(ii)	0	0	0	0	0	0	0
13 CRAIG R SMITH PROFESSOR OF SURGERY	(i)	2,752,861	0	0	37,941	18,421	2,809,223	0
	(ii)	0	0	0	0	0	0	0
14 LAWRENCE GERALD LENKE PROFESSOR OF SURGERY	(i)	4,741,060	0	0	30,352	26,809	4,798,221	0
	(ii)	0	0	0	0	0	0	0
15 KIEHYUN DANIEL RIEW PROFESSOR OF SURGERY	(i)	3,737,936	0	0	30,488	30,953	3,799,377	0
	(ii)	0	0	0	0	0	0	0
16 RONALD ARTHUR LEHMAN JR PROFESSOR OF SURGERY	(i)	3,109,858	0	0	30,624	33,815	3,174,297	0
	(ii)	0	0	0	0	0	0	0

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
SUPPLEMENTAL COMPENSATION INFORMATION	NOTES TO PART I, LINE 1A FIRST CLASS OR CHARTER TRAVEL IN LIMITED CIRCUMSTANCES, CERTAIN INDIVIDUALS MAY TRAVEL FIRST CLASS WHEN THE TRAVEL IS SUBSTANTIATED AS A REASONABLE EXPENSE TO SUPPORT THE MISSION OF THE UNIVERSITY. ANY FIRST CLASS EXCEPTIONS TO THE UNIVERSITY'S POLICY ARE SUBJECT TO REVIEW AND APPROVAL. TRAVEL FOR COMPANIONS IN CERTAIN CIRCUMSTANCES, THE SPOUSE OF THE PRESIDENT OR OF ANOTHER OFFICER OR KEY EMPLOYEE MAY TRAVEL FOR UNIVERSITY PURPOSES. EXAMPLES OF SUCH TRAVEL INCLUDE ATTENDANCE AT FUNDRAISING OR ALUMNI EVENTS, AS WELL AS REPRESENTING THE UNIVERSITY AT AWARDS PRESENTATIONS OR OTHER CEREMONIES OR EVENTS. IN ACCORDANCE WITH APPLICABLE LEGAL STANDARDS, THE UNIVERSITY WILL PAY FOR SPOUSAL TRAVEL AS A REGULAR BUSINESS EXPENSE IF THE SPOUSAL TRAVEL SERVES A "BONA FIDE BUSINESS PURPOSE" OF THE UNIVERSITY. HOUSING ALLOWANCE OR RESIDENCE FOR PERSONAL USE/PERSONAL SERVICES AS A CONDITION OF EMPLOYMENT, THE PRESIDENT IS REQUIRED TO LIVE IN A HOME ON THE UNIVERSITY'S CAMPUS WHICH IS FURNISHED AND MAINTAINED AT THE UNIVERSITY'S EXPENSE. THE PRESIDENT'S HOUSING HAS BEEN VALUED AT $420,967 AND IS REPORTED AS A NON-TAXABLE BENEFIT. THE UNIVERSITY ALSO PROVIDES A CAR AND DRIVER TO BE USED BY THE PRESIDENT IN CONNECTION WITH HIS DUTIES. THE PRESIDENT IS RESPONSIBLE FOR ANY PERSONAL USE OF THE HOUSEHOLD STAFF OR CAR AND DRIVER AND OTHER PERSONAL EXPENSES. PERSONAL SERVICES OTHER REPORTABLE COMPENSATION INCLUDES $7,565 IMPUTED TO DR. GOLDMAN WITH RESPECT TO PERSONAL USE OF A CAR AND DRIVER PROVIDED BY THE UNIVERSITY (SEE PART I, COLUMN (B)(III)). NOTE TO PART I, LINE 5A DR. DAVID SILVERS' COMPENSATION IS COMPRISED OF BASE COMPENSATION AND INCENTIVE COMPENSATION DETERMINED FROM HIS PERFORMANCE OF, AND REVENUES FROM, CLINICAL DUTIES IN THE UNIVERSITY'S DERMATOPATHOLOGY PRACTICE WHERE HE IS THE DIRECTOR, AND IS SUBJECT TO A CAP FOR EACH ACADEMIC YEAR. NOTE TO PART I, LINE 7 NOTE TO PETER HOLLAND'S COMPENSATION THE ACTUAL AMOUNT EARNED DURING THE REPORTING PERIOD WAS $3,834,347 FOR MR. HOLLAND. THE LARGER COMPENSATION FIGURE SHOWN IN COLUMN (E) INCLUDES DOUBLE REPORTING OF PREVIOUSLY REPORTED DEFERRED COMPENSATION THAT VESTED AND WAS PAID DURING THE REPORTING PERIOD. THE ACTUAL AMOUNT EARNED BY MR. HOLLAND IS CALCULATED BY SUBTRACTING COLUMN (F) FROM COLUMN (E). PAYMENT OF MR. HOLLAND'S PERFORMANCE BASED BONUS IS, IN EACH CASE, DEFERRED SUBJECT TO VESTING UPON CONTINUING SERVICE TO THE UNIVERSITY. COLUMNS (C) AND (E) INCLUDE DEFERRED COMPENSATION AWARDED DURING THE REPORTING PERIOD BUT SUBJECT TO FUTURE VESTING. NOTE TO LEE BOLLINGER'S COMPENSATION AMOUNTS FOR PRESIDENT BOLLINGER IN COLUMN (B)(II) INCLUDE PAYMENTS UNDER A PERFORMANCE-BASED BONUS AWARD. THE AMOUNT SHOWN IN COLUMN (B)(III) AS "OTHER REPORTABLE COMPENSATION" REFLECTS PAYMENT OF ACCRUED BENEFITS AND LEAVE. NOTE TO DR. GOLDMAN'S COMPENSATION THE UNIVERSITY HAS AGREED TO PROVIDE DR. GOLDMAN WITH SUPPLEMENTAL RETIREMENT INCOME BASED ON CUMULATIVE ANNUAL CREDITS INCLUDING AMOUNTS FOR ACHIEVING PERFORMANCE MEASURES, SUBJECT TO SATISFYING VESTING CONDITIONS RELATED TO CONTINUING SERVICES TO THE UNIVERSITY. CREDITS AWARDED FOR THE CALENDAR YEAR REPORTING PERIOD $480,000 ARE INCLUDED AS DEFERRED COMPENSATION. NOTE TO DR. SMITH'S, DR. LENKE'S, DR. RIEW'S, AND DR. LEHMAN'S COMPENSATION THE COMPENSATION OF DR. SMITH, DR. LENKE, DR. RIEW, & DR. LEHMAN IS SUPPORTED BY THEIR CLINICAL ACTIVITIES, GRANTS, AND SUPPORT FROM THE UNIVERSITY'S HOSPITAL AFFILIATES.

Additional Data

Return to Form

Software ID:

Software Version:

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 IV, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.
▶ Information about Schedule K (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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	DORMITORY AUTHORITY OF STATE OF NEW YORK 2003A&B	14-6000293	649901R49	03-05-2003	122,696,491	FUND NEW QUALIFIED PROJECTS		X		X		X
B	DORMITORY AUTHORITY OF STATE OF NEW YORK 2009A	14-6000293	649905DF0	05-14-2009	117,000,000	FUND NEW QUALIFIED PROJECTS		X		X		X
C	DORMITORY AUTHORITY OF STATE OF NEW YORK 2011A	14-6000293	649906AV6	02-16-2011	312,102,192	FUND NEW QUALIFIED PROJECTS		X		X		X
D	DORMITORY AUTHORITY OF STATE OF NEW YORK 2012A	14-6000293	649906F33	06-07-2012	174,118,498	REFUND 2008A & FUND NEW PROJECTS		X		X		X

Part II Proceeds

		A	B	C	D
1	Amount of bonds retired	87,775,000	0	30,000,000	11,645,000
2	Amount of bonds legally defeased	0	0	0	0
3	Total proceeds of issue	123,718,793	117,067,254	312,258,392	174,157,898
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	802,880	823,388	1,678,394	738,570
8	Credit enhancement from proceeds	0	0	0	0
9	Working capital expenditures from proceeds	0	0	0	0
10	Capital expenditures from proceeds	122,097,219	115,269,253	308,005,990	173,344,328
11	Other spent proceeds	818,694	974,613	2,574,008	75,000
12	Other unspent proceeds	0	0	0	0
13	Year of substantial completion	2004	2009		

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
14	Were the bonds issued as part of a current refunding issue?								
15	Were the bonds issued as part of an advance refunding issue?								
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?	X		X		X		X	
c	Are there any research agreements that may result in private business use of bond-financed property?	X		X		X		X	
d	If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?	X		X		X		X	
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶	0 %		0 %		0 %		0 %	
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶								
6	Total of lines 4 and 5								
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?		X		X		X		X
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	0		0		0		0	
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	0		0		0		0	
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	DIFFERENCES IN AMOUNTS ENTERED IN PART I, COLUMN (E) AND PART II, LINE 3 REPRESENT INVESTMENT EARNINGS. ---------- SCHEDULE K, PART II, LINE 11 OTHER SPENT PROCEEDS AMOUNTS REPORTED ON SCHEDULE K, PART II, LINE 11 REPRESENT THE NEW YORK STATE BOND TAX ASSOCIATED WITH EACH ISSUE WITH THE EXCEPTION OF THE 2012A, 2015A, and 2015B BOND ISSUES. ----------
SCHEDULE K, PART III, LINES 4-5	FOR ALL ISSUES, THE UNIVERSITY HAS ALLOCATED EQUITY INVESTED IN THE FINANCED PROPERTIES TO SOURCES OF PRIVATE BUSINESS USE, WITH THE EXCEPTION OF ISSUANCE COSTS, WITHIN THE REQUIRED TIME FRAME AND HAS CAREFULLY MANAGED THE TYPES OF ACTIVITIES CONDUCTED IN BOND-FINANCED FACILITIES. AS SUCH, THE UNIVERSITY HAS REPORTED 0% PRIVATE BUSINESS USE FOR THE SERIES 2003A&B, SERIES 2009A, SERIES 2011A, SERIES 2012A, SERIES 2015A, SERIES 2015B, SERIES 2016A&B, SERIES 2017A&B AND 2018A&B ISSUES ON SCHEDULE K. ----------
SCHEDULE K, PART IV, LINE 2	FOR ALL SERIES EXCEPT THE 2015A AND 2015B, THE BOND PROCEEDS ARE SLIGHTLY EXCEEDED BY THE TOTAL USES DUE TO EARNINGS IN THE CONSTRUCTION FUND HELD AT THE TRUSTEE. THE LATEST ARBITRAGE COMPUTATION FOR DASNY 2003A&B, 2009A, 2011A, 2012A, 2015A, 2015B, 2016A&B, 2017A&B AND 2018A&B WAS DECEMBER 31, 2018.

Additional Data

Return to Form

Software ID:

Software Version:

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 IV, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.
▶ Information about Schedule K (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part I Bond Issues

	(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Defeased Yes	(g) Defeased No	(h) On behalf of issuer Yes	(h) On behalf of issuer No	(i) Pool financing Yes	(i) Pool financing No
A	DORMITORY AUTHORITY OF STATE OF NEW YORK 2015A	14-6000293	6499077D8	04-23-2015	125,006,199	FUND NEW QUALIFIED PROJECTS		X		X		X
B	DORMITORY AUTHORITY OF STATE OF NEW YORK 2015B	14-6000293	64990BGH0	04-23-2015	56,240,112	REFUND DASNY 2004B BONDS		X		X		X
C	DORMITORY AUTHORITY OF STATE OF NEW YORK 2016A&B	14-6000293	64990BZK2	04-27-2016	491,547,535	REFUND 2006AB AND FUND NEW PROJECT		X		X		X
D	DORMITORY AUTHORITY OF NEW YORK 2017A&B	14-6000293	64990CQE4	03-01-2017	240,921,142	REFUND 2004C AND FUND NEW PROJECTS		X		X		X

Part II Proceeds

		A	B	C	D
1	Amount of bonds retired	0	15,045,000	40,895,000	0
2	Amount of bonds legally defeased	0	0	0	0
3	Total proceeds of issue	125,006,199	56,240,112	491,760,973	241,400,663
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	482,921	239,228	1,304,805	879,101
8	Credit enhancement from proceeds	0	0	0	0
9	Working capital expenditures from proceeds	0	0	0	0
10	Capital expenditures from proceeds	124,474,161	0	239,038,664	191,140,597
11	Other spent proceeds	49,116	56,000,884	251,417,504	49,380,966
12	Other unspent proceeds	0	0	0	0
13	Year of substantial completion		2007		

		A Yes	A No	B Yes	B No	C Yes	C No	D Yes	D No
14	Were the bonds issued as part of a current refunding issue?								
15	Were the bonds issued as part of an advance refunding issue?								
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 Yes	A No	B Yes	B No	C Yes	C No	D Yes	D 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?	X		X		X		X	
c	Are there any research agreements that may result in private business use of bond-financed property?	X		X		X		X	
d	If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?	X		X		X		X	
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶	0 %		0 %		0 %		0 %	
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶								
6	Total of lines 4 and 5								
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?		X		X		X		X
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	0		0		0		0	
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	0		0		0		0	
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

Additional Data

Return to Form

Software ID:

Software Version:

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 IV, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.
▶ Information about Schedule K (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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	DORMITORY AUTHORITY OF NEW YORK 2018A&B	14-6000293	64990C6P1	05-16-2018	396,803,509	REFUND 2008A AND FUND NEW PROJECTS		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	398,802,119			
4	Gross proceeds in reserve funds	0			
5	Capitalized interest from proceeds	0			
6	Proceeds in refunding escrows	0			
7	Issuance costs from proceeds	1,296,723			
8	Credit enhancement from proceeds	0			
9	Working capital expenditures from proceeds	0			
10	Capital expenditures from proceeds	156,914,684			
11	Other spent proceeds	204,570,163			
12	Other unspent proceeds	36,020,550			
13	Year of substantial completion				

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
14	Were the bonds issued as part of a current refunding issue?								
15	Were the bonds issued as part of an advance refunding issue?								
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?	X							
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?	X							
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶	0 %							
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 ▶								
6	Total of lines 4 and 5								
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?		X						
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	0							
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	0							
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).

Return Reference	Explanation

Additional Data

Return to Form

Software ID:

Software Version:

Schedule L
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Transactions with Interested Persons

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part I Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and 501(c)(29) organizations only).

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

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

2 Enter the amount of tax incurred by organization managers or disqualified persons during the year under section 4958. . . . . ▶ $
3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . . . ▶ $

Part II Loans to and/or From Interested Persons.

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

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization? To	(d) Loan to or from the organization? From	(e) Original principal amount	(f) Balance due	(g) In default? Yes	(g) In default? No	(h) Approved by board or committee? Yes	(h) Approved by board or committee? No	(i) Written agreement? Yes	(i) Written agreement? No
(1) JOHN COATSWORTH	OFFICER	HOUSING		X	1,475,000	1,970,774		No	Yes		Yes	
(2) JOHN COATSWORTH	OFFICER	HOUSING		X	525,000	560,520		No	Yes		Yes	
(3) DAVID MADIGAN	OFFICER	HOUSING		X	400,000	200,000		No	Yes		Yes	
Total . . . . . ▶ $						2,731,294						

Part III Grants or Assistance Benefiting Interested Persons.

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

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

Part IV Business Transactions Involving Interested Persons.

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

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?	
				Yes	No
(1) JILL S GOLDMAN	SPOUSE OF KEY EMPLOYEE	119,245	EMPLOYMENT		No

Part V Supplemental Information

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

Return Reference	Explanation
NOTES TO SCHEDULE L	ALL AMOUNTS SHOWN ON SCHEDULE L REPRESENT PAYMENTS BY THE UNIVERSITY TO THE INTERESTED PERSON. THE SPOUSE OF THE KEY EMPLOYEE LISTED IN SCHEDULE L WAS AN EMPLOYEE OF THE UNIVERSITY DURING THE REPORTING PERIOD. HER COMPENSATION REPORTED ON SCHEDULE L WAS DETERMINED IN ACCORDANCE WITH THE UNIVERSITY'S REGULAR COMPENSATION PRACTICES APPLICABLE TO SIMILARLY SITUATED EMPLOYEES. NO UNIVERSITY OFFICIAL WHO WAS ALSO AN OFFICER OR DIRECTOR OF AN INTERESTED PERSON PARTICIPATED IN OR INFLUENCED THE UNIVERSITY'S DECISION ABOUT ANY TRANSACTION. SCHEDULE L, PART II THE LOANS REPORTED FOR JOHN COATSWORTH IN PART II ARE INTEREST BEARING AND SECURED BY AN INTEREST IN A PRIMARY RESIDENCE. THE LOAN REPORTED FOR DAVID MADIGAN IN PART II IS INTEREST BEARING AND WAS MADE IN CONNECTION WITH A PRIMARY RESIDENCE.

Additional Data

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SCHEDULE M (Form 990)

Department of the Treasury
Internal Revenue Service

Noncash Contributions

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art	X	10		
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded				
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests	X	518	27,230,641	COST/SALES PRICE
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other	X	1	1,250,000	
18 Collectibles	X	5		
19 Food inventory	X	4		
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ▶ (EQUIPMENT)	X	5	0	0
26 Other ▶ (EVENT TICKETS & FEES)	X	13	0	0
27 Other ▶ (BOOKS)	X	2	0	0
28 Other ▶ ( )				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement | 29 | 17

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

Part II **Supplemental Information.**

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

Return Reference	Explanation
USE OF THIRD PARTIES TO SOLICIT, PROCESS, OR SELL NONCASH CONTRIBUTIONS	SCHEDULE M, PART I, LINE 32B THE UNIVERSITY USES THIRD PARTY INVESTMENT BROKERS TO SELL NON-CASH CONTRIBUTED SECURITIES. THIRD PARTIES ARE NOT USED TO SOLICIT OR PROCESS ANY CONTRIBUTIONS.
DESCRIPTION OF CONTRIBUTED PROPERTY FOR WHICH REVENUES ARE NOT REPORTED	SCHEDULE M, PART I, LINE 33 UNDER GENERALLY ACCEPTED ACCOUNTING PRINCIPLES, CONTRIBUTIONS OF WORKS OF ART, HISTORICAL TREASURES, AND SIMILAR ASSETS NEED NOT BE RECOGNIZED AS REVENUES AND CAPITALIZED IF THE DONATED ITEMS ARE ADDED TO COLLECTIONS HELD FOR PUBLIC EXHIBITION, EDUCATION, OR RESEARCH IN FURTHERANCE OF PUBLIC SERVICE RATHER THAN FINANCIAL GAIN. BECAUSE THE UNIVERSITY UTILIZES CONTRIBUTIONS OF ART AND HISTORICAL TREASURES IN FURTHERANCE OF PUBLIC SERVICE, THESE CONTRIBUTIONS ARE NOT RECOGNIZED AS REVENUE FOR FINANCIAL STATEMENT PURPOSES. IN ADDITION, MINOR GIFTS, SUCH AS FOOD OR SUPPLIES, ARE CONSIDERED DE MINIMIS.
NUMBER OF CONTRIBUTIONS	SCHEDULE M, PART I, COLUMN (B) THE FIGURES IN COLUMN (B) REPRESENT THE NUMBER OF CONTRIBUTIONS RECEIVED.

Additional Data

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Software ID:

Software Version:

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047
2018
Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

Return Reference	Explanation
SUPPLEMENTAL DISCLOSURES	FORM 990, PART I, LINE 4 AND PART VI, LINE 1B DETAIL REGARDING THE NUMBER OF INDEPENDENT VOTING MEMBERS THE UNIVERSITY'S PRESIDENT, A VOTING MEMBER OF THE BOARD, IS NOT COUNTED AS INDEPENDENT BECAUSE HE IS AN EMPLOYEE OF THE UNIVERSITY. IN ACCORDANCE WITH THE FORM 990 REPORTING INSTRUCTIONS, THE UNIVERSITY HAS ALSO NOT COUNTED AS INDEPENDENT FOR THE PURPOSES OF THIS QUESTION THE TRUSTEE LISTED ON PART VII WHO SERVED AS AN ADJUNCT FACULTY MEMBER FOR A PORTION OF THE REPORTING PERIOD AND RECEIVED COMPENSATION FOR THOSE SERVICES. The adjunct faculty members' compensation reported on part vii was determined in accordance with the university's compensation policies and practices applicable to similarly situated employees. ---------- FORM 990, PART I, LINE 6 DETAIL REGARDING THE NUMBER OF VOLUNTEERS THE NUMBER SHOWN IS AN ESTIMATE OF ALUMNI VOLUNTEERS WHO WORK WITH THE UNIVERSITY'S CENTRAL ALUMNI OFFICE. ADDITIONAL VOLUNTEERS WORK IN MANY OF THE UNIVERSITY'S SCHOOLS, CENTERS AND OTHER PROGRAMS. ---------- FORM 990, PART V, LINE 4B FOREIGN COUNTRY LIST ANGOLA BANGLADESH BRAZIL CAMEROON CHILE CHINA CONGO (KINSHASA) ETHIOPIA FRANCE GERMANY HAITI HONG KONG INDIA ITALY COTE D'IVOIRE (IVORY COAST) JAPAN JORDAN KAZAKHSTAN KENYA KYRGYZSTAN LESOTHO MALAWI MOZAMBIQUE MYANMAR RWANDA SIERRA LEONE SOUTH AFRICA SOUTH SUDAN SWAZILAND TAJIKISTAN TANZANIA TUNISIA TURKEY UNITED KINGDOM (ENGLAND, NORTHERN IRELAND, SCOTLAND, AND WALES) UGANDA ZAMBIA ZIMBABWE ---------- FORM 990, PART V, LINES 7G AND 7H CONTRIBUTIONS OF CERTAIN TYPES OF PROPERTY DURING THE YEAR ENDED JUNE 30, 2019, THE UNIVERSITY DID NOT RECEIVE ANY CONTRIBUTIONS OF QUALIFIED INTELLECTUAL PROPERTY, CARS, BOATS, AIRPLANES, OR OTHER VEHICLES. AS A RESULT, THE UNIVERSITY WAS NOT REQUIRED TO FILE FORMS 8899 OR 1098-C TO REPORT SUCH CONTRIBUTIONS. ---------- Form 990, Part V, Lines 15 & 16 Excise Taxes Per IRS Notice 2019-09, excess remuneration is calculated based only on the amounts paid during the portion of calendar year 2018 falling during the current fiscal year reporting period. For the University, this period is July 1 - December 31, 2018. During this period, no employee received compensation over $1 million that would be subject to the tax. Therefore, the University has answered this question "no" but expects to answer "yes" in future filings. The University has reviewed Section 4968 of the IRC and IRS Notice of Proposed Rulemaking, 84 Fed. Reg. 31795 (July 3, 2019), to determine if it is subject to the excise tax on net investment income. Based on this guidance, the University determined it does not have applicable assets in excess of $500,000 per student (on a full-time equivalent basis). Therefore, the University has answered "no" as it is not subject to this tax. ---------- FORM 990, PART VI, LINE 5 Significant Diversion of Assets DURING THE REPORTING PERIOD, THE UNIVERSITY DISCOVERED COLLUSION BY SEVERAL EMPLOYEES WORKING ON A DISCRETE PROGRAM WHO FRADULDENTLY DIVERTED APPROXIMATELY $1 MILLION OVER A NUMBER OF YEARS. THE UNIVERSITY TERMINATED THESE EMPLOYEES, MODIFIED ITS PROCESSES AND NOTIFIED THE APPROPRIATE GOVERNMENTAL AGENCIES. IN ADDITION, THE UNIVERSITY IDENTIFIED UNRELATED INSTANCES OF PERSONAL PURCHASES BY EMPLOYEES (IN TOTAL LESS THAN $5,000) WHICH RESULTED IN DISCIPLINE OR TERMINATION. SUCH AMOUNTS WOULD NOT GENERALLY REQUIRE DISCLOSURE. ---------- FORM 990, PART VI, LINE 11B PROCESS USED BY MANAGEMENT AND/OR GOVERNING BODY TO REVIEW 990 A SUBCOMMITTEE COMPRISED OF MEMBERS OF THE TRUSTEES AUDIT COMMITTEE REVIEWED THE FORM 990. FOLLOWING THAT REVIEW, THE FORM 990 WAS MADE AVAILABLE TO ALL TRUSTEES VIA A SECURE WEBSITE AND THEN PRESENTED TO THE FULL BOARD OF TRUSTEES AT A MEETING ON MAY 6, 2020. THE FINAL FORM WAS POSTED ON THE SECURE WEBSITE PRIOR TO FILING. ---------- FORM 990, PART VI, LINE 12C DESCRIPTION OF PROCESS TO MONITOR TRANSACTIONS FOR CONFLICTS OF INTEREST ALL TRUSTEES ARE SUBJECT TO THE "STATEMENT OF CONFLICT OF INTEREST POLICY FOR THE TRUSTEES OF COLUMBIA UNIVERSITY." WHEN A TRUSTEE BECOMES AWARE OF AN EXISTING OR POTENTIAL CONFLICT OF INTEREST, HE OR SHE HAS A DUTY TO: (A) DISCLOSE THE CIRCUMSTANCES TO THE BOARD CHAIR OR OTHERS, AS APPROPRIATE, (B) REFRAIN FROM ACTING TO INFLUENCE ANY DECISION WHICH MIGHT IMPROPERLY BENEFIT THE TRUSTEE OR A FAMILY MEMBER; AND (C) RECUSE HIMSELF OR HERSELF FROM PARTICIPATION IN ANY DISCUSSIONS OR DECISIONS ABOUT THE POTENTIAL TRANSACTION OR ACTIVITY. IN ADDITION, ALL TRUSTEES ARE REQUIRED TO DISCLOSE ANNUALLY INTERESTS THAT COULD GIVE RISE TO CONFLICTS. THE DISCLOSURES ARE REVIEWED FOR APPROPRIATE ACTION. ALL OFFICERS AND KEY EMPLOYEES ARE SUBJECT TO THE "STATEMENT OF UNIVERSITY POLICY ON CONFLICTS OF INTEREST." WHEN AN OFFICER OR KEY EMPLOYEE BECOMES AWARE OF AN EXISTING OR POTENTIAL CONFLICT OF INTEREST, HE OR SHE HAS A DUTY TO: (A) DISCLOSE THE CIRCUMSTANCE TO HIS OR HER SUPERVISOR, THE TRUSTEES OR OTHERS, AS APPROPRIATE; (B) REFRAIN FROM ACTING TO INFLUENCE ANY DECISION WHICH MIGHT IMPROPERLY BENEFIT THE OFFICER OR EMPLOYEE OR A FAMILY MEMBER; AND (C) RECUSE HIMSELF OR HERSELF FROM PARTICIPATION IN ANY DISCUSSION OR DECISIONS ABOUT THE POTENTIAL TRANSACTION OR ACTIVITY. IN ADDITION, ALL OFFICERS AND KEY EMPLOYEES ARE REQUIRED TO DISCLOSE ANNUALLY INTERESTS THAT COULD GIVE RISE TO CONFLICTS. THESE DISCLOSURES ARE REVIEWED AND ANY DISCLOSURES THAT COULD GIVE RISE TO CONFLICTS AS IDENTIFIED THROUGH SUCH REVIEW ARE REPORTED TO AN APPROPRIATE SENIOR OFFICER. ANY SUBSTANTIVE CONCERNS ARE ALSO REPORTED TO THE CHAIR OF THE BOARD OF TRUSTEES. ---------- FORM 990, PART VI, LINES 15A AND 15B COMPENSATION PROCESS THE UNIVERSITY FOLLOWS THE REVIEW PROCESS DESCRIBED BELOW FOR ALL OFFICERS AND KEY EMPLOYEES. THIS PROCESS HAS BEEN IN PLACE SINCE AT LEAST 2000. THE COMPENSATION FOR THE ORGANIZATION'S PRESIDENT IS REVIEWED BY A COMPENSATION COMMITTEE OF INDEPENDENT TRUSTEES AND APPROVED BY THE INDEPENDENT TRUSTEES ON THE FULL BOARD. THE COMPENSATION OF OTHER OFFICERS AND KEY EMPLOYEES IS REVIEWED AND APPROVED BY THE COMPENSATION COMMITTEE OF INDEPENDENT TRUSTEES. IN CONNECTION WITH THE PRESIDENT'S COMPENSATION, THE COMPENSATION COMMITTEE AND THE BOARD REVIEW COMPARABILITY DATA AND MINUTES OF DELIBERATIONS ARE RECORDED CONTEMPORANEOUSLY WITH ANY ACTION. WITH RESPECT TO OTHER OFFICERS AND KEY EMPLOYEES, THE COMMITTEE FOLLOWS THE SAME PROCESS FOR REVIEW OF COMPARABILITY DATA AND CONTEMPORANEOUS DOCUMENTATION OF ITS ACTIONS. IN THE CASE OF THE ORGANIZATION'S PRESIDENT AND CERTAIN OTHER OFFICERS AND KEY EMPLOYEES, THE COMPENSATION

Return Reference	Explanation
	COMMITTEE HAS ALSO CONSULTED WITH INDEPENDENT COMPENSATION CONSULTANTS IN DETERMINING COMPENSATION. THE COMPENSATION OF THE PRESIDENT OF THE INVESTMENT MANAGEMENT COMPANY IS REVIEWED AND APPROVED BY A COMPENSATION COMMITTEE OF THE INVESTMENT MANAGEMENT COMPANY'S BOARD OF MANAGERS. SUCH COMPENSATION COMMITTEE IS COMPRISED OF INDEPENDENT MEMBERS OF THE BOARD MANAGERS. "INDEPENDENT TRUSTEE"INDEPENDENT MEMBER" AS USED IN THIS FOOTNOTE MEANS WITHOUT A CONFLICT OF INTEREST WITHIN THE MEANING OF PARAGRAPH (c)(1)(iii) OF REGULATION 53.4958-6 OF THE INTERNAL REVENUE CODE. IN ACCORDANCE WITH THE FORM 990 INSTRUCTIONS, PART VI, LINE 1B ABOVE USES A DIFFERENT DEFINITION. ---------- FORM 990, PART VI, LINE 19 DOCUMENTS AVAILABILITY TO PUBLIC THE ORGANIZATION'S CHARTER AND STATUTES, FINANCIAL STATEMENTS AND THE "STATEMENT OF UNIVERSITY POLICY ON CONFLICTS OF INTEREST" ARE AVAILABLE ON THE ORGANIZATION'S WEBSITE AT WWW.COLUMBIA.EDU. ---------- FORM 990, PART VII, SECTION A NOTE ON TRUSTEES TRUSTEES' TIME DEVOTED TO POSITION (4 HOURS PER WEEK) REPRESENTS AN AVERAGE FOR ALL TRUSTEES BASED ON ATTENDANCE AT QUARTERLY MEETINGS AND REGULARLY SCHEDULED TELEPHONIC CONFERENCES THROUGHOUT THE YEAR. BOARD OFFICERS, COMMITTEE CHAIRS AND OTHER TRUSTEES OFTEN DEVOTE SIGNIFICANTLY MORE TIME TO THE POSITION. ---------- FORM 990, PART VII, SECTION A NOTE ON RELATED HOURS INDIVIDUALS WITH LISTED HOURS FOR A RELATED ORGANIZATION SIT ON THE BOARD OF COLUMBIA CONTROLLED AFFILIATES AS PART OF THEIR OVERALL COLUMBIA DUTIES, WHEN AND AS NEEDED BY THE AFFILIATES AND THAT MAY NOT BE ON A REGULAR OR WEEKLY BASIS. ----------
FORM 990, PART VII, SECTION A	NOTE ON KENNETH FORDE'S COMPENSATION KENNETH FORDE'S REPORTED NON-TAXABLE BENEFITS REFLECT BENEFITS FROM PARTICIPATION IN A RETIREE BENEFITS PLAN WHEN DR. FORDE WAS A PROFESSOR OF SURGERY AT THE UNIVERSITY. DR. FORDE IS RETIRED FROM HIS UNIVERSITY POSITION AND RECEIVES NO COMPENSATION OR OTHER BENEFITS FOR HIS DUTIES AS A TRUSTEE. ---------- FORM 990, PART VIII DETAIL REGARDING ROYALTY INCOME/EXPENSE THE UNIVERSITY PERIODICALLY FUNDS AND DEVELOPS PATENTS FOR CERTAIN TECHNOLOGIES, THEN LICENSES THE USAGE OF THESE PATENTS TO COMPANIES. THE REVENUE, NET OF PAYMENTS DUE TO THIRD PARTIES, IS RECORDED IN "REVENUE FROM OTHER EDUCATIONAL AND RESEARCH ACTIVITIES" IN THE CONSOLIDATED STATEMENT OF ACTIVITIES. COSTS INCURRED WITH DEVELOPING AND MAINTAINING THESE PATENTS ARE EXPENSED AS INCURRED SO THAT WHILE ROYALTIES ARE PAID TO FACULTY AND OTHERS IN CERTAIN CIRCUMSTANCES THESE AMOUNTS ARE NOT REFLECTED IN THE STATEMENT OF FUNCTIONAL EXPENSES. ---------- FORM 990, PART VIII, LINE 8 AND SCHEDULE G, PART II DESCRIPTION OF ACCOUNTING FOR FUNDRAISING EVENTS AMOUNTS REPORTED FOR FUNDRAISING EVENTS REPRESENT REVENUE AND EXPENSES THAT ARE SEPARATELY TRACKED. THE REVENUE AND EXPENSES FROM ADDITIONAL FUNDRAISING ACTIVITIES ARE NOT SEPARATELY TRACKED AND ARE INCLUDED WITHIN CONTRIBUTION REVENUE AND FUNDRAISING EXPENSES. ---------- FORM 990, PART IX, LINE 5 COMPENSATION PAID TO CURRENT OFFICERS, DIRECTORS, TRUSTEES AND KEY EMPLOYEES COMPENSATION AMOUNTS PRESENTED AS MANAGEMENT AND GENERAL EXPENSES ARE FOR CURRENT OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES WHO ARE PART OF CENTRAL ADMINISTRATION. WHILE THESE OFFICERS AND KEY EMPLOYEES SPEND A PORTION OF THEIR TIME ON PROGRAM SERVICES AND/OR FUNDRAISING ACTIVITIES IN ADDITION TO THEIR MANAGEMENT RESPONSIBILITIES, THE UNIVERSITY HAS CHOSEN NOT TO ALLOCATE THE EXPENSES BETWEEN CATEGORIES. ---------- FORM 990, PART IX, LINE 11F INVESTMENT MANAGEMENT FEES THE INVESTMENT MANAGEMENT FEES REPORTED ON THE STATEMENT OF FUNCTIONAL EXPENSES REPRESENT FEES TO THIRD PARTY INVESTMENT MANAGERS AND INCLUDE MANAGEMENT FEE AND PERFORMANCE FEE EXPENSES ASSOCIATED WITH SEPARATELY MANAGED ACCOUNTS. INVESTMENT MANAGEMENT FEES ASSOCIATED WITH FUND INVESTMENTS ARE REPORTED NET AGAINST INVESTMENT INCOME AND THEREFORE ARE NOT INCLUDED IN THE STATEMENT OF FUNCTIONAL EXPENSES. ---------- FORM 990, PART X, BEGINNING OF YEAR ASSETS PRESENTATION OF AMOUNTS THE PRESENTATION OF CERTAIN AMOUNTS IN THE BEGINNING OF YEAR ASSETS COLUMN HAS BEEN RECLASSIFIED TO MORE ACCURATELY CONFORM TO FORM 990 INSTRUCTIONAL GUIDANCE. ----------
FORM 990, PART X, LINE 7	LOAN INFORMATION LOANS RECEIVABLE FROM STUDENTS TOTAL $85,564,000. LOANS RECEIVABLE FROM NON-KEY EMPLOYEES TOTAL $24,019,937. THE LOANS FROM NON-KEY EMPLOYEES HAVE VARIOUS INTEREST RATES RANGING FROM 1.82% TO 15.00%, WITH MATURITY DATES RANGING FROM 2020 THROUGH 2047. THE OUTSTANDING BALANCES RANGE FROM $25,000 TO $2,917,822 AND A PORTION OF WHICH ARE SECURED BY A PRINCIPAL RESIDENCE. ---------- FORM 990, PART XI, LINE 9 OTHER CHANGES IN NET ASSETS OR FUND BALANCE CHANGE IN FUNDS HELD BY OTHER IN PERPETUITY 2,040,254 PRESENT VALUE ADJUSTMENT TO SPLIT INTEREST AGREEMENTS 9,236,074 CHANGES IN PENSION AND POST-RETIREMENT OBLIGATIONS 15,466,501 NPBC OTHER THAN SERVICE COST 8,531,771 OTHER NON-OPERATING ADJUSTMENTS 20,507,366 ---------- TOTAL OTHER CHANGES IN NET ASSETS 55,781,966 ---------- FORM 990, PART XII, LINE 2 AUDIT OF THE UNIVERSITY'S FINANCIAL STATEMENTS THE CONSOLIDATED FINANCIAL STATEMENTS OF THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK ARE AUDITED BY PRICEWATERHOUSECOOPERS, AN INDEPENDENT AUDITOR. THE UNCONSOLIDATED FINANCIAL STATEMENTS REFLECTED IN THIS RETURN REPRESENT APPROXIMATELY 99% OF THE NET ASSETS OF THE CONSOLIDATED GROUP. THE UNIVERSITY'S BOARD OF TRUSTEES HAS AN AUDIT COMMITTEE, COMPRISED OF INDEPENDENT TRUSTEES, WHICH IS RESPONSIBLE FOR OVERSIGHT OF THE AUDIT, REVIEW, AND COMPILATION OF THE FINANCIAL STATEMENTS AND SELECTION OF THE INDEPENDENT AUDITOR.

Additional Data

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SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.

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

OMB No. 1545-0047

2018

Open to Public Inspection

Name of the organization
THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Employer identification number
13-5598093

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
(1) COLUMBIA INVESTMENT MGT COMPANY LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	INVEST MGMT	NY	0	0	COLUMBIA
(2) CIM I LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901851	INVEST HOLDNG	DE	0	367,886,717	COLUMBIA
(3) CIM II LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901854	INVEST HOLDNG	DE	0	0	COLUMBIA
(4) CIM III LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901855	INVEST HOLDNG	DE	0	0	COLUMBIA
(5) CIM IV LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901856	INVEST HOLDNG	DE	134,944	21,892,422	COLUMBIA
(6) CIM V LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901861	INVEST HOLDNG	DE	0	0	COLUMBIA
(7) CONQUEST MANAGED FUTURES SELECT FUND II 540 MADISON AVENUE 20TH FLOOR NEW YORK, NY 10022 13-5598093	INVESTMENTS	DE	0	0	CIM V
(8) CIM VI LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901857	INVEST HOLDNG	DE	34,593	7,052,848	COLUMBIA
(9) CIM VII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901858	INVEST HOLDNG	DE	0	0	COLUMBIA
(10) CIM VIII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901859	INVEST HOLDNG	DE	0	0	COLUMBIA
(11) CIM XII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901864	INVEST HOLDNG	DE	20,031,332	8,266,692	COLUMBIA
(12) CIM XIII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901865	INVEST HOLDNG	DE	0	0	COLUMBIA
(13) CIM XIV LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3901866	INVEST HOLDNG	DE	0	0	COLUMBIA
(14) CIM XVII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 14-1977498	INVEST HOLDNG	DE	-2,410	1,227,828	COLUMBIA
(15) CIM XVIII LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 14-1977500	INVEST HOLDNG	DE	0	0	COLUMBIA
(16) DYNAMO BRASIL VI LLC 1209 ORANGE STREET WILMINGTON, DE 19801 13-5598093	INVESTMENTS	DE	0	192,458,597	COLUMBIA
(17) COLUMBIA AFFILIATED PHYSICIANS IPA LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 26-2162648	PHYSICNS PRAC	NY	1,000,634	2,752,131	COLUMBIA
(18) COLUMBIA DIGITAL KNOWLEDGE VENTURES LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 06-1576880	NEW MEDIA	NY	0	0	COLUMBIA
(19) HITHER PROPERTY LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 27-0201222	REAL ESTATE	DE	0	2,196,179	COLUMBIA
(20) CU GSAPP LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	EDUCATION	NY	0	0	COLUMBIA
(21) ACCESS PROJECT LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTH RESCH	NY	0	0	COLUMBIA
(22) MSPH LESOTHO LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	147,591	COLUMBIA
(23) MSPH MOZAMBIQUE LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	1,289,064	COLUMBIA
(24) MSPH NIGERIA LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	0	COLUMBIA
(25) MSPH RWANDA LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	0	COLUMBIA
(26) MSPH SOUTH AFRICA LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	189,969	COLUMBIA
(27) MSPH TANZANIA LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	1,161,699	COLUMBIA
(28) MSPH TAJIKISTAN LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	0	COLUMBIA
(29) MSPH KG LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	HEALTHCARE	NY	0	0	COLUMBIA
(30) COLUMBIA INT'L PROJECTS LLC (KENYA) 412 LOW MEMORIAL LIBRARY 535 W 116 NEW YORK, NY 10027 13-5598093	EDUCATION	NY	0	0	COLUMBIA
(31) COLUMBIA GLOBAL CENTERS LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	EDUCATION	NY	0	0	COLUMBIA
(32) COLUMBIA GLOBAL RESEARCH INITIATIVES LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	EDUCATION	NY	0	0	COLUMBIA
(33) CU STUDIO LLC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-5598093	EDUCATION	NY	0	0	COLUMBIA
(34) AFFILIATED PHYSICIANS ORGANIZATION LLC 51 AUDUBON AVENUE NEW YORK, NY 10032 82-1575764	PHY PRCTC GRP	NY	0	0	COLUMBIA

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity? Yes	No
(1)COLUMBIA UNIVERSITY HEALTH CARE INC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3948652	HEALTHCARE	NY	501(C)(3)	10	COLUMBIA	Yes	
(2)COL PRESBYTERIAN MEDICAL CENTER FUND INC 630 WEST 168TH STREET NEW YORK, NY 10032 13-6162924	FUNDRAISING	NY	501(C)(3)	12A	NA		No
(3)COL UNIV RETIREE MED LIFE INS BNFITS TR 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-3800106	BENEFITS SUPP	NY	501(C)(3)	12A	COLUMBIA	Yes	
(4)COLUMBIA UNIVERSITY PRESS 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-1623968	ACADEMIC PUB	NY	501(C)(3)	12A	COLUMBIA	Yes	
(5)FRIENDS OF COLUMBIA PSYCHOANALYTIC CTR 1051 RIVERSIDE DRIVE NEW YORK, NY 10032 13-3118570	EDUC SUPPORT	NY	501(C)(3)	12A	NA		No
(6)MORNINGSIDE HEIGHTS LEGAL SERVICES INC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 51-0192355	CLINICAL EDUC	NY	501(C)(3)	12A	COLUMBIA	Yes	
(7)REID HALL INC 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 13-1611126	EDU/CUL EXCH	NY	501(C)(3)	12A	COLUMBIA	Yes	
(8)CENTRE UNIVERSITAIRE AMERICAN REID HALL 535 WEST 116TH STREET NEW YORK, NY 10027	EDUCATION	FR	N/A	N/A	REID HALL	Yes	
(9)COLUMBIA GLOBAL CENTERS I EUROPE (PARIS) 4 RUE DE CHEVREUSE PARIS 75006 FR	EDUCATION	FR	N/A	N/A	REID HALL	Yes	
(10)RESEARCH COLLECTIONS AND PRES CONSORTIUM 400 FORRESTAL ROAD PRINCETON, NJ 08540 22-3751732	LIBRARY COLL	NJ	501(C)(3)	12A	NA		No
(11)FOUNDATION FOR CTR FOR ENERGY MARINE 3225 GALLOWS RD FAIRFAX, VA 22037 54-1962639	EDUC SUPPORT	DE	501(C)(3)	12D	NA		No
(12)THE CLYDE & HELEN WU FAMILY FOUNDATION 1275 AUDOBON AVENUE GROSSE POINTE PK, MI 48230 38-3441481	EDUC SUPPORT	MI	501(C)(3)	12D	NA		No
(13)CENTER FOR ENVIRONMENT ECONOMY & SOCIETY 2852 BROADWAY NEW YORK, NY 10025	RESEARCH	DR	N/A	N/A	CIP	Yes	
(14)CENTER FOR NATL HLTH DEVELP IN ETHIOPIA KEBELE 06 H447 PO BX 664 ADDIS ABABA 1250 ET	HEALTHCARE	ET	N/A	N/A	COLUMBIA	Yes	
(15)COLUMBIA GLOBAL CENTER IN INDIA 630 W 168TH STREET NEW YORK, NY 10032	RESEARCH	IN	N/A	N/A	CGC LLC	Yes	
(16)COLUMBIA UK FUND LTD 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027	FUNDRAISING	UK	N/A	N/A	COLUMBIA	Yes	
(17)COLUMBIA UNIVERSITY HONG KONG FUND GPO BOX 5314 CONNAUGHT PLACE HK	FUNDRAISING	HK	N/A	N/A	COLUMBIA	Yes	
(18)MSPH SWAZILAND 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027	HEALTHCARE	WZ	N/A	N/A	CIP	Yes	
(19)FUNDACION COLUMBIA U GLOBAL CTR - CHILE AVDAG HAMMASKJOLD 32691ST FL SANTIAGO CI	RESEARCH	CI	N/A	N/A	COLUMBIA	Yes	
(20)INSTITUTE ON MEDICINE AS A PROFESSION C/O 630 WEST 168TH STREET PS BOX NEW YORK, NY 10032 33-1033330	HEALTHCARE	DE	501(C)(3)	12C	NA		No
(21)COLUMBIA GLOBAL CENTERS INITIATIVE 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027	RESEARCH	FR	N/A	N/A	COLUMBIA	Yes	
(22)COL GLOBAL CENTER EASTERN & SOUTH AFRICA PO BOX 51412 NAIROBI 00100 KE	RESEARCH	KE	N/A	N/A	COLUMBIA	Yes	
(23)CU MIDDLE EAST RESEARCH CENTER 5 MOHD AL SAD AL-BATAYNEH STREET AMMAN 11814 JO	EDUC SUPPORT	JO	N/A	N/A	COLUMBIA	Yes	
(24)CENTER FOR INTL PROGRAMS ZIMBABWE TRUST 39 Lawson Av 42 Bates St Harare ZI	HLTH/RESEARCH	ZI	N/A	N/A	COLUMBIA	Yes	
(25)ASSOC OF CLLBTV STUDIO X PRJCTS BRAZIL RUA MARIA EUGENIA 90301 RIO DE JANEIRO 22261 BR	EDUCATION	BR	N/A	N/A	STUDIOGSAPP	Yes	
(26)KNIGHT FIRST AMDMT INST AT COLUMBIA 615 WEST 131ST STREET MC8741 NEW YORK, NY 10027 81-4759386	EDU/PMT EXPR	NY	501(C)(3)	12A	COLUMBIA	Yes	
(27)CIP TUNISIA 15 Avenue de Carthage Tunis TS	RESEARCH	DE	N/A	N/A	CIP	Yes	

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) Disproportionate 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) MERIT ENGY PTR V LP 13727 NOEL RD1200 DALLAS, TX 75240 75-2411038	INVESTMENTS	TX	COLUMBIA	EXCLUDED	-965,809	5,652,830		No	0		No	99.140 %
(2) SANJEEVINI INVMT HD IFS CRT EBENE CY, MAURITIUS MP 98-1113898	INVESTMENTS	MP	COLUMBIA	EXCLUDED	5,398,448	16,619		No	0		No	91.749 %
(3) GCM GRSVNR BLUE LP 767 FIFTH AVENUE NEW YORK, NY 10010 30-0773582	INVESTMENTS	DE	COLUMBIA	EXCLUDED	3,178,735	26,101,357		No	-125		No	99.296 %
(4) Q INDIA EQTY FD LTD 118 ST JEAN RD QUATRE BORNE MA MP 98-0494924	INVESTMENTS	MP	COLUMBIA	EXCLUDED	3,497,595	129,044,174		No	0		No	70.227 %
(5) CANAAN RSC PTRS DRL 1101 N BROADWAY STE 300 OKC OK, OK 73103 36-4777388	INVESTMENTS	OK	COLUMBIA	EXCLUDED	9,009,425	219,604,440		No	0		No	99.000 %
(6) STAR ASIA OP FD III 125 GAITHER DR Mnt Laurel, NJ 08054 98-1291896	INVESTMENTS	HK	COLUMBIA	EXCLUDED	38,669	10,148,958		No	0		No	98.765 %
(7) OFS SSMH CI LP 6363 WOODWAY DRIVE HOUSTON TX, TX 77057 83-0826131	INVESTMENTS	DE	COLUMBIA	UNRELATED	-274,540	6,312,262		No	-353,899		No	100.000 %

Part IV **Identification of Related Organizations Taxable as a Corporation or Trust**

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity? Yes	No
(1)16 EAST 60TH STREET CORPORATION 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 13-3675222	REAL ESTATE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(2)2301 12TH AVENUE OWNERS CORP 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 99-1786950	REAL ESTATE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(3)COLUMBIA PRESBYTERIAN IPA 161 FORT WASHINGTON AVE SUITE 132 NEW YORK, NY 10032 13-3396165	PHYS PRACTICE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(4)FATHOM KNOWLEDGE NETWORK INC 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 13-4054997	NEW MEDIA	DE	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(5)FREEZER BOX INC 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 99-1596696	REAL ESTATE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(6)MORNINGSIDE INC 311 LOW MEMORIAL LIBRARY NEW YORK, NY 10027 06-1430120	REAL ESTATE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(7)COLUMBIA DOCTORS OF NEW JERSEY 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 26-4364931	HEALTHCARE	NJ	COLUMBIA	C-CORP	3,550,398	770,594	100.000 %	Yes	
(8)BEIJING DE GA INTRNTL CONSULTING CTR LTD TOWERA TSINGHUA SCIENCEPARK CHENGFURD, HAIDIAN 100084 CH	EDUCATION	CH	COLUMBIA	FOREIGN CORP	0	197,148	100.000 %	Yes	
(9)ASM HUDSON RIVER FUND WALKER HSE87 MARY ST GEORGE TOWN, GRD CAYMAN KY1-9002 CJ	INVESTMENTS	CJ	COLUMBIA	REG MUTUAL FUND	-1,443,400	29,849,662	100.000 %	Yes	
(10)CALUNIUS LITIGATION RISK FUND LP 1ST FL DOREY CRT ADMIRAL PK ST PETER PORT GY1 6HJ GK 98-0684876	INVESTMENTS	GK	COLUMBIA	FOREIGN CORP	13,036,613	24,685,192	75.000 %	Yes	
(11)COLUMBIAPATRON SCOTLAND LP 50 LOTHIAN RD FESTIVAL SQ EDINBURGH, SCOTLAND EH3 9BY UK	INVESTMENTS	UK	COLUMBIA	FOREIGN CORP	-767	861,679	100.000 %	Yes	
(12)FPCM INFLATION LINKED OPPORTUNITIES LTD WALKER HSE87 MARY ST GEORGE TOWN, GRD CAYMAN KY1-9002 CJ	INVESTMENTS	CJ	COLUMBIA	FOREIGN CORP	0	367,886,717	100.000 %	Yes	
(13)HARBOUR LITIGATION INVEST OFFSHORE FUND PO BOX 309 UGLAND HOUSE GRAND CAYMAN KY1-1104 CJ 98-0660716	INVESTMENTS	CJ	COLUMBIA	FOREIGN CORP	1,171,352	7,545,131	100.000 %	Yes	
(14)NCH INVESTORS FUND (CU) CORP UGLANDS CHURCHPO309 GEORGE TOWN, GD CAYMAN KY1-1104 CJ	INVESTMENTS	CJ	COLUMBIA	FOREIGN CORP	0	179,872	100.000 %	Yes	
(15)CALUNIUS LITIGATION RISK FUND 2 LP PO656 TRAFALGAR CT LES BANQUES ST PETER PT GY13PP GK 98-1162651	INVESTMENTS	GK	COLUMBIA	FOREIGN CORP	24,908,482	6,323,987	58.000 %	Yes	
(16)CHARITABLE REMAINDER TRUSTS (59)	N/A	NY	COLUMBIA	TRUST	0	0			
(17)POOLED INCOME FUNDS (2)	N/A	NY	COLUMBIA	TRUST	0	0			
(18)CENTERS FOR INTERNATIONAL PROGRAMS 535 WEST 116TH STREET NEW YORK, NY 10027 13-5598093	PROGRAM SRVCS	DE	COLUMBIA	C-CORP	0	745,250	100.000 %	Yes	
(19)GLOBAL HEALTH RESEARCH CNTR-CE 1255 AMSTERDAM AVENUE NEW YORK, NY 10027	PROGRAM SRVCS	DE	COLUMBIA	C-CORP	0	91,384	100.000 %	Yes	
(20)ASSOCIACAO COLUMBIA GLOBAL CENTERBRASIL RUA DA CANDELARIA 9 3O ANDAR CNT RIO DE JANEIRO BR	PROGRAM SRVCS	BR	CGC LLC	N/A	0	172,732	100.000 %	Yes	
(21)UNIVERSITY WOMEN'S REALTY CORPORATION 408 LOW MEMORIAL LIBRARY MC 4336 NEW YORK, NY 10025 13-2524803	REAL ESTATE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(22)COLUMBIA DOCTORS OF BERGEN COUNTY 615 WEST 131ST STREET MC 8741 NEW YORK, NY 10027 47-3568473	HEALTHCARE	NJ	COLUMBIA	C-CORP	2,585,285	687,113	100.000 %	Yes	
(23)CALUNIUS LITIGATION RISK FUND 3 LP PO656 TRAFALGAR CT LES BANQUES, ST PETER PORT GY1 3PP GK 98-1336667	INVESTMENTS	GK	COLUMBIA	FOREIGN CORP	25,600	20,207,245	60.100 %	Yes	
(24)COLUMBIA GLOBAL DANISMANLIK VE ARASTIRMA MECIDITE MAH MAVI SARAY 37/7 SARIYER TU	PROGRAM SRVCS	TU	COLUMBIA	FOREIGN CORP	2,034	0	100.000 %	Yes	
(25)COLUMBIA RESEARCH AND CONSULTANCY SRVCS EXPRESS TOWERS 11TH FL NARIMAN PT MUMBAI 400021 IN	PROGRAM SRVCS	IN	CU INT'L PRJCTS	FOREIGN CORP	0	0	99.990 %	Yes	
(26)COLUMBIA RADIOLOGY INC 630 W 168TH ST NEW YORK, NY 10032 47-5288953	HEALTHCARE	NY	COLUMBIA	C-CORP	0	0	100.000 %	Yes	
(27)COLUMBIA DOCTORS OF CONNECTICUT PC 630 W 168TH ST NUM 2-460 NEW YORK, NY 10032 82-4894259	HEALTHCARE	CT	COLUMBIA	C-CORP	66,784	63,347	100.000 %	Yes	
(28)CIM (CAYMAN) LLC PO BOX 309 UGLAND HOUSE GRAND CAYMAN KY1-1104 CJ	INVESTMENTS	CJ	COLUMBIA	FOREIGN CORP	-6,459	7,671,576	100.000 %	Yes	

Part V **Transactions With Related Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

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

		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		No
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		No
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	Yes	
k Lease of facilities, equipment, or other assets from related organization(s)	1k		No
l Performance of services or membership or fundraising solicitations for related organization(s)	1l		No
m Performance of services or membership or fundraising solicitations by related organization(s)	1m		No
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		No
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.

(a) Name of related organization	**(b)** Transaction type (a-s)	**(c)** Amount involved	**(d)** Method of determining amount involved
(1) ASM HUDSON RIVER FUND	S	9,047,894	FMV
(2) CALUNIUS LITIGATION RISK FUND LP	S	18,297,736	FMV
(3) CALUNIUS LITIGATION RISK FUND 2 LP	S	47,620,857	FMV
(4) CALUNIUS LITIGATION RISK FUND 3 LP	B	9,152,906	FMV
(5) CANAAN RESOURCE PARTNERS DRILLING FUND LP	S	84,549,495	FMV
(6) CANAAN RESOURCE PARTNERS DRILLING FUND LP	B	128,857,519	FMV
(7) COLUMBIAPATRON SCOTLAND LP	S	813,311	FMV
(8) GCM GROSVENOR BLUE LP	S	6,026,309	FMV
(9) GCM GROSVENOR BLUE LP	B	78,075	FMV
(10) HARBOUR LITIGATION INVEST OFFSHORE FUND LP	S	1,998,085	FMV
(11) HARBOUR LITIGATION INVEST OFFSHORE FUND LP	B	369,696	FMV
(12) MERIT ENERGY PARTNERS V LP	S	7,573,500	FMV
(13) OFS SSMH CI LP	B	5,133,644	FMV
(14) STAR ASIA OPPORTUNITY FUND III	S	5,524,912	FMV
(15) STAR ASIA OPPORTUNITY FUND III	B	23,314,880	FMV
(16) KNIGHT FIRST AMDMT INST AT COLUMBIA	B	1,006,804	FMV
(17) REID HALL INC	B	3,279,181	FMV
(18) COLUMBIA UNIVERSITY HEALTH CARE INC	B	7,645,014	FMV

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	

Part VII Supplemental Information

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

Return Reference	Explanation
SUPPLEMENTAL INFORMATION	SCHEDULE R COLUMBIA UNIVERSITY OWNS AN 81.57% INTEREST IN 2700 BROADWAY CONDOMINIUM, WHICH IS TREATED AS A CONDOMINIUM ASSOCIATION UNDER NEW YORK STATE LAW. ---------- SCHEDULE R, PART I END-OF-YEAR ASSET REPORTING CERTAIN DISREGARDED ENTITIES LISTED IN SCHEDULE R, PART I MAY HOLD VEHICLES, OFFICE EQUIPMENT AND RELATED ITEMS, THE VALUE OF WHICH IS INCLUDED IN THE UNIVERSITY'S BALANCE SHEET IN PART X OF THIS FORM 990 BUT IS NOT REFLECTED IN COLUMN (E) END-OF-YEAR ASSETS. ---------- SCHEDULE R, PART I INCOME/ASSETS ATTRIBUTABLE TO CERTAIN DISREGARDED ENTITIES COLUMBIA UNIVERSITY IS THE SOLE MEMBER OF CIM I, LLC WHICH OWNS 100% OF THE SHARES ENTITLED TO THE INCOME AND ASSETS OF FPCM INFLATION-LINKED OPPORTUNITIES FUND, LIMITED. TOTAL INCOME AND END-OF-YEAR ASSETS ATTRIBUTABLE TO CIM I, LLC REPRESENT A 100% SHARE OF TOTAL INCOME AND END-OF-YEAR ASSETS ATTRIBUTABLE TO FPCM INFLATION-LINKED OPPORTUNITIES FUND, LIMITED AS REPORTED IN SCHEDULE R, PART IV. THE SHARES OWNED BY CIM I ARE NON-VOTING SHARES. ---------- SCHEDULE R, PART I, COLUMNS (D) AND (E) INCOME AND ASSETS ATTRIBUTABLE TO CERTAIN DISREGARDED ENTITIES COLUMBIA UNIVERSITY IS THE SOLE MEMBER OF CIM V, LLC, WHICH IS THE SOLE MEMBER OF CONQUEST MANAGED FUTURES SELECT FUND II, LLC. TOTAL INCOME AND END-OF-YEAR ASSETS ATTRIBUTABLE TO CIM V, LLC REPRESENT A 100% SHARE OF TOTAL INCOME AND END-OF-YEAR ASSETS ATTRIBUTABLE TO CONQUEST MANAGED FUTURES SELECT FUND II, LLC, AS REPORTED IN SCHEDULE R, PART I. ---------- SCHEDULE R, PART IV CONSISTENT WITH GAAP, THE UNIVERSITY DOES NOT CONSOLIDATE THE ENTITIES LISTED IN PART IV SCHEDULE R WHICH HAVE INVESTMENTS AS THEIR PRIMARY PURPOSE. THIS IS BECAUSE THE UNIVERSITY DOES NOT HAVE SUFFICIENT VOTING POWER WITH RESPECT TO THESE ENTITIES TO SATISFY THE CONTROL TEST FOR CONSOLIDATION UNDER GAAP. THE AMOUNTS SHOWN IN SCHEDULE R, PART IV, COLUMN (G) REFLECT THE UNIVERSITY'S SHARE OF THE NET ASSETS OF THESE ENTITIES FOR THE FISCAL YEAR REPORTING PERIOD WHICH, CONSISTENT WITH GAAP, IS REFLECTED ON LINE 16 OF THE BALANCE SHEET IN PART X OF THIS FORM 990. SIMILARLY, THE UNIVERSITY'S SHARE OF ANY CURRENT INCOME AND REALIZED GAINS FROM THESE ENTITIES IS REFLECTED IN COLUMN (F) OF SCHEDULE R, PART IV AND ON THE STATEMENT OF REVENUE IN PART VIII. THESE ENTITIES EACH OPERATE ON A CALENDAR-YEAR BASIS, AND THE UNIVERSITY'S SHARE OF THE GROSS INCOME AND TOTAL ASSETS FOR EACH OF THESE ENTITIES FOR THE CALENDAR YEAR ENDED DECEMBER 31, 2018 IS SET FORTH BELOW: ASM HUDSON RIVER FUND SHARE OF TOTAL (GROSS) INCOME: $5,988,316 SHARE OF END-OF-YEAR (GROSS) ASSETS: $32,799,118 CALUNIUS LITIGATION RISK FUND LP SHARE OF TOTAL (GROSS) INCOME: $12,761,103 SHARE OF END-OF-YEAR (GROSS) ASSETS: $15,193,129 CALUNIUS LITIGATION RISK FUND 2 LP SHARE OF TOTAL (GROSS) INCOME: $30,355,122 SHARE OF END-OF-YEAR (GROSS) ASSETS: $53,476,846 COLUMBIA/PATRON SCOTLAND LP SHARE OF TOTAL (GROSS) LOSS: $(465,802) SHARE OF END-OF-YEAR (GROSS) ASSETS: $1,508,028 FPCM INFLATION-LINKED OPPORTUNITIES FUND, LTD SHARE OF TOTAL (GROSS) INCOME: $19,395,359 SHARE OF END-OF-YEAR (GROSS) ASSETS: $484,285,877 HARBOUR LITIGATION INVESTMENT OFFSHORE SHARE OF TOTAL (GROSS) INCOME: $0 SHARE OF END-OF-YEAR (GROSS) ASSETS: $4,681,389 NCH INVESTORS FUND (CU) CORP SHARE OF TOTAL (GROSS) LOSS: $(123,736) SHARE OF END-OF-YEAR (GROSS) ASSETS: $328,121 CALUNIUS LITIGATION RISK FUND 3 LP SHARE OF TOTAL (GROSS) INCOME: $0 SHARE OF END-OF-YEAR (GROSS) ASSETS: $2,953,554 ---------- SCHEDULE R, PART IV AS OF JUNE 30, 2019, THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK HELD MORE THAN A 50% BENEFICIAL INTEREST IN 59 CHARITABLE REMAINDER TRUSTS DOMICILED IN NEW YORK AND 2 POOLED INCOME FUNDS DOMICILED IN NEW YORK.

Additional Data

Return to Form

Software ID:

Software Version: