

New York University

**Report on Federal Awards in Accordance With
the OMB Uniform Guidance**

August 31, 2019

Entity Identification Number: 13-5562308

New York University
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August 31, 2019 and 2018

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Part I
Financial Statement



Report of Independent Auditors

To the Board of Trustees of
New York University

We have audited the accompanying consolidated financial statements of New York University and its subsidiaries ("New York University"), which comprise the consolidated balance sheets as of August 31, 2019 and 2018, and the related consolidated statements of activities and of cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Consolidated Financial Statements

Management is responsible for the preparation and fair presentation of the consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on the consolidated financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to New York University's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of New York University's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.



Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the consolidated financial position of New York University and its subsidiaries as of August 31, 2019 and 2018, and the changes in their net assets and their cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in Note 2 to the consolidated financial statements, New York University changed the manner in which it presents net assets and reports certain aspects of its financial statements as a not-for-profit entity in 2019. Our opinion is not modified with respect to this matter.

Other Matters

Other Matter

Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements taken as a whole. The consolidating information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the consolidated financial statements. The consolidating information has been subjected to the auditing procedures applied in the audit of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the consolidated financial statements themselves and other additional procedures, in accordance with auditing standards generally accepted in the United States of America. In our opinion, the consolidating information is fairly stated, in all material respects, in relation to the consolidated financial statements taken as a whole. The consolidating information is presented for purposes of additional analysis of the consolidated financial statements rather than to present the financial position, changes in net assets and cash flows of the individual companies and is not a required part of the consolidated financial statements. Accordingly, we do not express an opinion on the financial position, changes in net assets and cash flows of the individual companies.

Other Information

Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements taken as a whole. The accompanying schedule of expenditures of federal awards, for the year ended August 31, 2019, is presented for purposes of additional analysis as required by Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) and is not a required part of the consolidated financial statements. The information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the consolidated financial statements. The information has been subjected to the auditing procedures applied in the audit of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated, in all material respects, in relation to the consolidated financial statements as a whole.



Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated December 13, 2019 on our consideration of New York University's internal control over financial reporting and on our tests of their compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters for the year ended August 31, 2019. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing and not to provide an opinion on the effectiveness of internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering New York University and its subsidiaries' internal control over financial reporting and compliance.

A handwritten signature in black ink, appearing to read "PricewaterhouseCoopers" followed by a stylized flourish.

New York, New York
December 13, 2019

New York University
Consolidated Balance Sheets
August 31, 2019 and 2018

(in thousands of dollars)

	2019	2018
Assets		
Cash and cash equivalents	\$ 1,953,180	\$ 1,487,070
Short-term investments (Note 5)	4,303	1,870
Accounts and loans receivable, net (Note 6)	714,360	722,997
Patient accounts receivable, net (Note 4)	973,185	895,513
Contributions receivable, net (Note 7)	476,691	458,350
Other assets (Note 8)	963,913	949,778
Deposits with trustees (Note 10)	883,427	474,168
Long-term investments (Note 5)	4,988,615	4,881,342
Assets held for professional liabilities (Note 12)	667,606	525,834
Land, buildings, and equipment, net (Note 9)	11,523,879	10,931,180
Total assets	\$ 23,149,159	\$ 21,328,102
Liabilities and Net Assets		
Liabilities		
Accounts payable and accrued expenses	\$ 2,117,907	\$ 1,950,116
Deferred revenue	1,068,436	973,655
Professional liabilities (Note 12)	717,281	640,722
Debt and other obligations (Note 11)	7,962,461	7,123,908
Funds held for others (Notes 6 and 8)	375,709	344,625
Accrued benefit obligation (Note 13)	884,741	452,487
Accrued postretirement obligation (Note 13)	683,797	541,949
Asset retirement obligation	278,860	256,318
Total liabilities	14,089,192	12,283,780
Net assets		
Without donor restrictions	5,330,821	5,414,712
With donor restrictions	3,729,146	3,629,610
Total net assets	9,059,967	9,044,322
Total liabilities and net assets	\$ 23,149,159	\$ 21,328,102

The accompanying notes are an integral part of these consolidated financial statements.

New York University
Consolidated Statements of Activities
Years Ended August 31, 2019 and 2018

(in thousands of dollars)

	2019	2018
Changes in net assets without donor restrictions		
Operating revenues		
Tuition and fees (net of financial aid awards of \$673,610 and \$627,525)	\$ 2,022,105	\$ 1,910,475
Grants and contracts (Note 2)	1,059,018	1,011,575
Patient care (Note 4)	7,790,359	6,981,943
Hospital affiliations (Note 14)	346,659	342,735
Insurance premiums earned	97,117	115,544
Contributions	124,804	168,192
Endowment distribution (Note 5)	172,632	169,149
Return on short-term investments (Note 5)	36,583	16,130
Auxiliary enterprises (net of financial aid awards of \$59,928 and \$58,521)	455,581	446,796
Program fees and other	489,973	272,163
Net assets released from restrictions	199,616	121,469
Total operating revenues	<u>12,794,447</u>	<u>11,556,171</u>
Expenses (Note 15)		
Salaries and fringe	7,302,458	6,861,802
Medical and pharmaceutical costs	1,075,764	921,221
Professional services	688,862	682,020
Facilities costs	864,152	734,805
Fees, insurance and taxes	359,661	327,901
Depreciation and amortization	800,746	718,309
Interest	313,749	248,197
Other	959,554	1,050,703
Total expenses	<u>12,364,946</u>	<u>11,544,958</u>
Excess of operating revenues over expenses	429,501	11,213
Nonoperating activities		
Investment return (Note 5)	103,650	157,692
Appropriation of endowment distribution (Note 5)	(59,149)	(61,823)
Pension and postretirement nonservice costs (Note 13)	1,422	(5,279)
Changes in pension and postretirement obligations (Note 13)	(578,883)	119,491
Net assets released from restrictions for capital purposes	60,931	347,319
Other	(41,363)	45,289
(Decrease) increase in net assets without donor restrictions	<u>(83,891)</u>	<u>613,902</u>
Changes in net assets with donor restrictions		
Contributions	379,688	312,724
Investment return (Note 5)	76,502	204,089
Appropriation of endowment distribution (Note 5)	(113,483)	(107,326)
Other	17,376	(20,344)
Net assets released from restrictions	<u>(260,547)</u>	<u>(468,788)</u>
Increase (decrease) in net assets with donor restrictions	<u>99,536</u>	<u>(79,645)</u>
Increase in net assets	<u>\$ 15,645</u>	<u>\$ 534,257</u>

The accompanying notes are an integral part of these consolidated financial statements.

New York University

Consolidated Statements of Cash Flows

Years Ended August 31, 2019 and 2018

(in thousands of dollars)

	2019	2018
Cash flows from operating activities		
Change in net assets	\$ 15,645	\$ 534,257
Adjustments to reconcile change in net assets to net cash provided by operating activities		
Depreciation and amortization	800,746	718,309
Loss on sale or disposal of land, buildings and equipment	17,666	1,444
Gain on settlement	(62,414)	-
Net gain on investments and deposits with trustees	(116,129)	(294,202)
Bad debt expense	12,102	15,807
Pension and postretirement obligation change	578,883	(119,491)
Contributions received for permanent investment and capital	(131,018)	(143,364)
Proceeds from insurance recovery for capital or FEMA award	(42,843)	(6,742)
Changes in operating assets and liabilities		
Decrease in accounts and loans receivable, net	51,690	23,264
Increase in patient accounts receivable	(77,672)	(33,628)
Increase in nonendowment and noncapital contributions receivable	(22,366)	(9,526)
Decrease (increase) in other assets	4,326	(9,286)
Decrease in asset retirement obligation	(5,570)	(5,200)
Increase in accounts payable and accrued expenses	159,966	253,660
Increase in professional liabilities	89,545	10,912
Increase in deferred revenue	94,781	27,935
Decrease in accrued benefit obligation	(17,605)	(37,639)
Increase in accrued postretirement obligation	13,129	14,560
Net cash provided by operating activities	<u>1,362,862</u>	<u>941,070</u>
Cash flows from investing activities		
Purchases of investments	(1,498,627)	(2,200,132)
Sales and maturities of investments	1,459,606	2,441,540
Increase in assets held for professional liabilities	(103,919)	(17,672)
Drawdowns of unexpended bond proceeds	385,256	105,650
Additions to land, buildings, and equipment	(1,249,586)	(1,638,933)
Proceeds from sale of building	41,527	-
Proceeds from insurance recovery or FEMA award for capital	3,761	5,558
Net cash used in investing activities	<u>(961,982)</u>	<u>(1,303,989)</u>
Cash flows from financing activities		
Contributions received for permanent investment and capital	131,018	143,364
Proceeds from FEMA award for future mitigation	39,082	1,184
Proceeds from short-term borrowings	57,100	632,413
Proceeds from long-term borrowings	6,593	5,262
Principal payments on short-term borrowings	-	(25,000)
Principal payments on long-term borrowings	(165,937)	(174,983)
Payments of deferred financing costs	(2,675)	(1,650)
Increase (decrease) in funds held for others	49	(12,047)
Decrease in deposits with bond trustees	-	11,847
Net cash provided by financing activities	<u>65,230</u>	<u>580,390</u>
Net increase in cash	<u>466,110</u>	<u>217,471</u>
Cash		
Beginning of year	<u>1,487,070</u>	<u>1,269,599</u>
End of year	<u>\$ 1,953,180</u>	<u>\$ 1,487,070</u>
Supplemental disclosure of cash flow information		
Bond proceeds	\$ 957,444	\$ 646,302
Line of credit principal payments	171,400	341,685
Interest paid	328,589	268,977
Change in noncash acquisitions of land, buildings, and equipment	(25,243)	24,829
Assets acquired under capital leases	198,699	113,153

The accompanying notes are an integral part of these consolidated financial statements.

New York University

Notes to Consolidated Financial Statements

August 31, 2019 and 2018

(in thousands of dollars)

1. Description of New York University

Founded in 1831, New York University (NYU) is a private institution of higher education, research, and patient care located primarily in New York City. NYU is recognized both nationally and internationally as a leader in scholarship and is a member of the distinguished Association of American Universities.

The consolidated reporting entities for NYU consist of the University and NYU Langone Health, which represents the operations of NYU Langone Health System (Health System) and its two medical schools: the Robert I. Grossman NYU School of Medicine (NYUGSoM) and NYU Long Island School of Medicine.

The University

The University includes twenty colleges and divisions each with its own traditions, programs and faculty. The schools, in order of founding date, are the College of Arts and Science, School of Law, NYUGSoM (reported as a part of NYU Langone Health), College of Dentistry, Graduate School of Arts and Science, Steinhardt School of Culture, Education and Human Development, Leonard N. Stern School of Business, Courant Institute of Mathematical Sciences, School of Professional Studies, Institute of Fine Arts, Robert F. Wagner Graduate School of Public Service, Post-Graduate Medical School, Silver School of Social Work, Tisch School of the Arts, Gallatin School of Individualized Study, Rory Meyers College of Nursing, Institute for the Study of the Ancient World, NYU Abu Dhabi, Tandon School of Engineering (formerly Polytechnic University founded in 1854), and NYU Long Island School of Medicine (reported as part of NYU Langone Health). The University also operates academic program sites and research programs in other parts of the United States and abroad.

In addition to the colleges and divisions, NYU operates NYU Shanghai, which grants NYU degrees, as a joint venture with East China Normal University. The New York based activities of NYU Shanghai are reported in the University's consolidated balance sheets and consolidated statements of activities.

NYU Langone Health

The Health System is the sole corporate member of NYU Langone Hospitals, which operates the Kimmel Pavilion and Tisch Hospital, two acute care facilities which together consist of 844 beds, and are major centers for specialized procedures in cardiovascular services, neurosurgery, cancer treatment, reconstructive surgery, transplantation, psychiatric services and rehabilitation. NYU Langone Hospitals also operates NYU Langone Orthopedic Hospital, a 225-bed acute care facility specializing in orthopedic, neurologic, and rheumatologic services; NYU Langone Hospital-Brooklyn, a 450-bed acute care hospital; NYU Winthrop Hospital (Winthrop), a 591-bed acute care facility located in Mineola, New York; and several ambulatory facilities, including the Laura and Isaac Perlmutter Cancer Center, the Ambulatory Care Center, the Center for Musculoskeletal Care and Hassenfeld Children's Center for Cancer and Blood Disorders. NYU Langone Hospitals is also the sole corporate member of Winthrop Clinical Partners, Inc., a not-for-profit entity which invests in joint ventures with medical facilities; Winthrop-University Hospital Services Corp., a real estate holding company, and various faculty, community, and hospital-based physician service organizations.

New York University

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NYU Langone Hospitals is the sole corporate member of CCC550 Insurance, SCC. (CCC550), which provides the hospitals' professional and general liability insurance, as well as insurance to physicians employed by the NYUGSoM. CCC550 is subject to taxation in accordance with Section 29 of the Exempt Insurance Act in Barbados.

In addition to NYU Langone Hospitals, the Health System's wholly owned subsidiaries consist of: Community Care Organization, Inc., a licensed home care agency; Sunset Gardens Housing and Harbor Hill Housing, which provide senior housing and rent subsidies for people meeting requirements defined by the US Department of Housing and Urban Development; and Sunset Bay Community Services, Inc., which provides senior services and day care services.

NYU Langone Hospitals Merger with NYU Winthrop Hospital

On April 1, 2017, the Health System completed an affiliation agreement (Affiliation) in which it became the sole corporate member of Winthrop (formerly Winthrop-University Hospital Association) and its subsidiary entities.

On April 8, 2019, NYU Langone Hospitals and Winthrop received a Certificate of Need approval from the New York State Department of Health for a full asset merger (the Merger) with NYU Langone Hospitals as the successor entity. The Merger became effective on August 1, 2019 upon receipt of regulatory approvals. As a result of the Merger, Winthrop became part of the Langone Hospitals' Obligated Group for its outstanding debt.

2. Summary of Significant Accounting Policies

Basis of Presentation

The consolidated financial statements of NYU have, in all material respects, been prepared on an accrual basis in accordance with accounting principles generally accepted in the United States of America.

The accompanying consolidated financial statements include the accounts of NYU, as well as its separately incorporated affiliates. NYU and, generally, all of its affiliates are exempt from federal income taxes under the provisions of Section 501(c)(3) of the Internal Revenue Code.

NYU prepares its consolidated financial statements in accordance with the provisions of ASC Topic 958, *Not for Profit Entities*. This standard focuses on the entity as a whole and requires classification of net assets as determined by the existence or absence of restrictions placed on the assets' uses by donors or by provision of law. A description of the net asset classifications follows:

Without Donor Restrictions: net assets of NYU that are used to carry out its missions of education, research and patient care which are not subject to donor restrictions.

With Donor Restrictions: Net assets subject to donor-imposed restrictions that will be met either by the actions of NYU or the passage of time. Items that are included in donor restricted net assets are gifts for which donor-imposed restrictions have not been met in the year of receipt; endowments, annuity, and life income gifts; pledges; investment returns on donor restricted endowment funds; and endowments where the principal may be expended upon the passage of a stated period of time. Expirations of restrictions on net assets with donor restrictions are reported as net assets released from restrictions. In addition, NYU has elected the simultaneous release option for conditional contributions that are also subject to purpose restrictions.

New York University

Notes to Consolidated Financial Statements

August 31, 2019 and 2018

(in thousands of dollars)

Operations

Revenues and expenses related to conducting programmatic activities and provision of services by NYU are classified as operating in the consolidated statement of activities. Investment return relating to board-designated endowment funds and the related endowment appropriation, as well as changes in pension and postretirement obligations, net assets released from restriction for capital purposes, and unusual or nonrecurring activity, are classified as nonoperating in the consolidated statement of activities.

Tuition and Fees

Tuition and fees are derived from degree programs as well as executive and continuing education programs. Tuition and fee revenue is recognized within the fiscal year in which educational services are provided as the performance obligation is satisfied. Tuition and fee receipts received in advance of a semester are recorded as deferred revenue. Financial aid, in the form of scholarships and grants, including amounts funded by the endowment, research funds, and gifts reduces the published price of tuition for students receiving such aid. As such, financial aid is referred to as a tuition discount and represents the difference between the stated charge for tuition and fees and the amount that is billed to the student and/or third parties making payments on behalf of the student. Tuition and fees are reported net of financial aid on the consolidated statement of activities.

Auxiliary Enterprises

Auxiliary enterprises are self-supporting activities that furnish goods or services to students, faculty, staff, or incidentally to the general public, and charge a fee directly related to, although not necessarily equal to, the cost of the goods or services. Auxiliary enterprises include student housing and dining, real estate rental income, and other similar activities. Housing and dining services are delivered over the academic terms and revenues are recognized ratably as the performance obligation is satisfied. Housing and dining services are presented net of financial aid on the consolidated statement of activities.

Grants and Contracts

NYU receives funding for sponsored programs from various government agencies, foundations, and corporations. The funding may represent a reciprocal transaction in exchange for an equivalent benefit in return, or it may be a nonreciprocal non-exchange transaction in which the funding provided is for the benefit of NYU, the funding organization's mission, or the public at large.

Revenues from non-exchange transactions may be subject to conditions, in the form of both a barrier to entitlement and a refund of amounts paid (or a release from obligation to make future payments). NYU's grants and contracts are primarily conditional non-exchange transactions and revenues are recognized when expenses are incurred. Unspent conditional contributions from grants and contracts total \$602,753 at August 31, 2019. Revenues from unconditional non-exchange transactions are recognized in the period awarded.

In 2019 and 2018, grants and contracts revenue recognized from U.S. governmental sources totaled \$511,822 and \$488,952 respectively. Such sponsored grants and contracts generally provide for the recovery of indirect costs supporting these activities. Indirect costs, included in grant and contract revenues, are recovered at rates established in advance by NYU through negotiations with the U.S. federal government and other private sponsors and totaled \$163,778 and \$163,509, respectively.

In 2014, NYU Langone Health was awarded a \$982,400 multi-year fixed capped public assistance grant from the Federal Emergency Management Agency (FEMA) for both repair and replacement of

New York University
Notes to Consolidated Financial Statements
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(in thousands of dollars)

damages and hazard mitigation projects as a result of Superstorm Sandy. As allowable repairs and replacement costs are incurred, revenues are recognized within the consolidated statements of activities based on the nature of the expenditure, as either operating or capital. Cash received in advance of spending is recorded as deferred revenue with a corresponding assets limited as to use within other assets on the consolidated balance sheet (Note 8). The hazard mitigation project portion of the award was recognized as a contribution with donor restriction (Note 16), with a corresponding FEMA receivable (Note 6). The net assets are released from restriction as the costs are incurred, and totaled \$43,683 and \$84,007 for the years ending August 31, 2019 and 2018, respectively.

Contributions

Contributions, including unconditional promises to give, are recognized as revenue in the period received at their fair value. Contributions receivable are reported at their discounted present value, using an estimated interest rate for the year in which the promise was received and considering market and credit risk as applicable (2.25% in 2019 and 3.6% in 2018). Amortization of the discount is recorded as additional contribution revenue. Allowances are recorded for estimated uncollectible contributions based upon management's judgment and analysis of the creditworthiness of the donors, past collection experience and other relevant factors.

Fair Value Measurements

Authoritative guidance of fair value measurements, ASC Topic 820, *Fair Value Measurements and Disclosures*, *Fair Value Measurements*, establishes a hierarchy of valuation methodologies based on the extent to which asset valuations are observable in the marketplace.

The following describes the hierarchy of methodologies used to measure fair value of investments:

Fair value for Level 1 is based on unadjusted quoted prices in actively traded markets that NYU has the ability to access for identical assets and liabilities. Market price data is generally obtained from exchange or dealer markets.

Fair value for Level 2 is based on quoted prices for instruments similar to those held by NYU in actively traded markets, quoted prices for identical instruments held by NYU in markets that are not actively traded and model-based valuation techniques for which all significant assumptions are observable in the market or can be corroborated by observable market data. Inputs are obtained from various sources including market participants, dealers and brokers.

Fair value for Level 3 is based on valuation techniques used to assess prices that are unobservable as the assets trade infrequently or not at all.

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(in thousands of dollars)

Investments for which fair value is measured at net asset value (NAV) per share as a practical expedient consist primarily of NYU's ownership in alternative investments (principally limited partnership interests in public equity, hedge funds, credit, real assets, private equity, real estate, and other similar funds). The NAV of the securities held by limited partnerships that do not have readily determinable fair values are determined by the general partner and are based on appraisals or other estimates that require varying degrees of judgment. If no public market exists for the investment securities, the fair value is determined by the general partner taking into consideration, among other things, the cost of the securities, prices of recent significant placements of securities of the same issuer and subsequent developments concerning the companies to which the securities relate. NYU has performed due diligence on these investments and believes the reported NAV as a practical expedient is an appropriate measure of fair value as of August 31, 2019 and 2018.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while NYU believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different estimate of fair value at the reporting date.

Cash and Cash Equivalents

Cash and cash equivalents include cash and all highly-liquid debt instruments with original maturities of three months or less when purchased. This does not include pooled investments with less than three months to maturity held within the long-term investment portfolio. The carrying amount of cash and cash equivalents approximates fair value due to the short-term maturity of the instruments. NYU maintains its deposits with high credit quality financial institutions, with balances that exceed federal depository insurance limits. Management does not believe the credit risk related to these deposits is significant.

Land, Buildings, and Equipment

Land, buildings, and equipment are carried at their acquisition or construction cost. If donated, these assets are recorded at their fair value on the date of the gift. Buildings and equipment are depreciated over their estimated useful lives (buildings and building improvements 10-60 years, equipment 3-10 years) using the straight-line method.

Collections

The University does not assign a value to collection items. Collection items are generally held for educational purposes and are not disposed of for financial gain or otherwise encumbered in any manner.

Deferred Revenue

Deferred revenue consists of tuition and fees and housing and dining fees received in advance of the Fall semester as well as funding received for grants and contracts in advance of incurring the qualifying expenses.

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Notes to Consolidated Financial Statements
August 31, 2019 and 2018

(in thousands of dollars)

Asset Retirement Obligation

NYU recognizes asset retirement obligations on future events, such as the abatement of asbestos and removal of lead-based paint and petroleum bulk storage tanks from buildings. The fair value of the liability for a conditional asset retirement obligation is recognized in the period in which it occurred, provided that it can be reasonably estimated. Corresponding asset retirement costs (net of accumulated depreciation) have been included in land, buildings, and equipment.

Funds Held for Others

Funds held for others consist of NYU's federal grants refundable and deferred compensation plan liabilities (457(b)). Corresponding assets are included within accounts receivable (Note 6) and other assets (Note 8), respectively.

Accounting Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingencies at the date of the consolidated financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Authoritative Pronouncements Adopted

In May 2014, the FASB issued ASU 2014-09, *Revenue from Contracts with Customers*. This standard implements a single framework for recognition of all revenue earned from customers. This framework ensures that entities appropriately reflect the consideration to which they expect to be entitled in exchange for goods and services by allocating the transaction price to identified performance obligations and recognizing revenue as performance obligations are satisfied. Qualitative and quantitative disclosures are required to enable users of financial statements to understand the nature, amount, timing, and uncertainty of revenue and cash flows arising from contracts with customers. The standard is effective for fiscal years beginning after December 15, 2017. NYU implemented this standard using a full retrospective approach in fiscal year 2019 and concluded there was no opening net asset impact.

In August 2016, the FASB issued ASU 2016-14, *Presentation of Financial Statements for Not-for-Profit Entities*. Under the new guidance, the existing three categories of net assets are replaced with a simplified model that combines temporarily restricted and permanently restricted net assets into a single category called "net assets with donor restrictions" and renames unrestricted net assets as "net assets without donor restrictions." There are new reporting requirements for expenses and additional disclosures to describe an organization's liquidity. The standard is effective for fiscal years beginning after December 15, 2017. NYU implemented this standard using a retrospective approach in fiscal year 2019.

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(in thousands of dollars)

A summary of the net asset reclassifications driven by the adoption of ASU 2016-14 as of August 31, 2018 is presented below:

	Without Donor Restrictions	With Donor Restrictions	Total
As previously presented:			
Unrestricted	\$ 5,414,491	\$ -	\$ 5,414,491
Temporarily restricted	-	1,414,620	1,414,620
Permanently restricted	-	2,215,211	2,215,211
Net assets, as previously presented	5,414,491	3,629,831	9,044,322
Reclassifications of underwater endowments to implement ASU 2016-14	221	(221)	-
Net assets, as reclassified, as of August 31, 2018	\$ 5,414,712	\$ 3,629,610	\$ 9,044,322

In June 2018, the FASB issued ASU 2018-08, *Not-for-Profit Entities, Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*. This standard provides a framework for evaluating whether grants should be accounted for as exchange transactions or as nonexchange transactions. For nonexchange transactions, the new guidance clarifies whether arrangements are conditional or unconditional. The standard is effective for fiscal years beginning after June 15, 2018. NYU implemented this standard using a modified prospective approach in fiscal year 2019 and concluded there was no opening net asset impact.

New Authoritative Pronouncements Not Yet Adopted

In February 2016, the FASB issued ASU 2016-02, *Leases*. Under the new guidance, lessees will be required to recognize the following for all leases (with the exception of leases with a term of twelve months or less) at the commencement date: (a) a lease liability, which is a lessee's obligation to make lease payments arising from a lease, measured on a discounted basis; and (b) a right-of-use asset, representing the lessee's right to use, or control the use of, a specified asset for the lease term. The guidance requires a modified retrospective transition approach for leases existing at, or entered into after, the beginning of the earliest comparative period presented in the financial statements. In July 2018, the FASB issued ASU 2018-11, *Leases (Topic 842) Targeted Improvements*, to provide an additional transition method to adopt the guidance by allowing entities to initially apply the new leases standard at the adoption date and recognize a cumulative effect to the opening balance of net assets. The standard is effective for fiscal years beginning after December 15, 2018. NYU expects adoption to have a material impact on the consolidated balance sheet as of August 31, 2020, as it will record right-of-use lease assets and lease liabilities with respect to its current operating leases.

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3. Financial Assets and Liquidity Resources

As of August 31, 2019 and 2018, financial assets and liquidity resources available within one year for general expenditure, such as operating expenses, scheduled principle payments on debt, and capital costs not financed with debt, were as follows:

	2019	2018
Financial assets:		
Cash and short-term investments	\$ 1,957,483	\$ 1,488,940
Investments available for general purposes	610,885	576,294
Accounts receivable, net	156,726	151,728
Grants and contracts receivable, net	112,721	113,022
Insurance premiums receivable	90,730	73,124
Patient accounts receivable, net	973,185	895,513
Non-endowment pledge payments due within one year	181,300	174,053
Other assets	44,745	65,603
Subsequent year endowment distribution	174,597	172,632
Total financial assets available within one year	<u>4,302,372</u>	<u>3,710,909</u>
Liquidity resources:		
Undrawn bank lines of credit	1,019,081	729,781
Funds functioning as endowment available for operations	1,442,772	1,462,105
Total liquidity resources	<u>2,461,853</u>	<u>2,191,886</u>
Total financial assets and liquidity resources available within one year	<u>\$ 6,764,225</u>	<u>\$ 5,902,795</u>

The University's cash flows have seasonal variations during the year attributable to tuition billing cycles and, at times, a concentration of contributions received at calendar year end. The University's Reserve and Liquidity Management Policy provides guidelines for calculating and reporting the global cash position on a daily basis as well as rigorous cash flow forecasting. This approach is adopted to maximize the portion of working capital funds that may remain invested. The Working Capital Fund Investment Policy ("the Investment Policy") has a primary objective of aligning the maturity and liquidity profile of the working capital portfolio with NYU's anticipated spending needs, while preserving the principal invested and maximizing return among a subset of approved investment grade products and providers. The Investment Policy establishes concentration limits for both investments and banking institutions. Liquidity resources are available with NYU trustee approval.

As part of NYU Langone Health's liquidity management, financial assets are structured to be available as its general expenditures, liabilities and other obligations come due. In addition, NYU Langone Health may invest cash in excess of daily requirements in short-term or liquid investments.

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4. Patient Care Revenue and Receivables

Patient care revenue for NYU, net of contractual adjustments and implicit price concessions for the years ended August 31, 2019 and 2018 is as follows:

	2019	2018
NYU Langone Health gross charges	\$ 36,139,995	\$ 32,151,225
NYU Langone Health contractual adjustments and implicit price concessions	(28,404,737)	(25,225,238)
University patient care	<u>55,101</u>	<u>55,956</u>
Total patient care revenue	<u>\$ 7,790,359</u>	<u>\$ 6,981,943</u>

The University's College of Dentistry provides dental services to patients as part of a student's training. Performance obligations are met and patient care revenue is recognized as services are performed.

NYU Langone Health has agreements with third party payors that provide for payments at amounts different from its established rates (i.e. gross charges). Payment arrangements include prospectively determined rates per discharge, reimbursed costs, discounted charges and per diem payments.

NYU Langone Health grants credit without collateral to its patients, most of whom are local residents and are insured under third-party payor arrangements. NYU Langone Health bills patients and third-party payers several days after the services are performed and/or the patient is discharged. Patient service revenue is recognized as performance obligations are satisfied over time based on actual charges incurred in relation to total expected charges. Generally, performance obligations over time relate to patients receiving inpatient acute care services or patients receiving services in NYU Langone Health's outpatient and ambulatory care centers. NYU Langone Health measures the performance obligation from admission into the hospital or the commencement of an outpatient or physician service to the point when it is no longer required to provide services to that patient, which is generally the time of discharge or the completion of the outpatient or physician visit.

As substantially all of its performance obligations relate to contracts with a duration of less than one year, NYU Langone Health has elected to apply the optional exemption provided in ASC 606-10-50-14(a) *Revenue from Contracts with Customers* and, therefore, is not required to disclose the aggregate amount of the transaction price allocated to performance obligations that are unsatisfied or partially satisfied at the end of the reporting period. The unsatisfied or partially unsatisfied performance obligations referred to above are primarily related to inpatient acute care services at the end of the reporting period. The performance obligations for these contracts are generally completed when the patients are discharged, which generally occurs within days or weeks of the end of the reporting period.

NYU Langone Health determines the transaction price based on gross charges for services provided, reduced by adjustments provided to third-party payers based on contractual agreements, discounts provided to uninsured patients in accordance with NYU Langone Health's policy, and implicit concessions provided to uninsured patients. The adoption of ASU 2014-09 resulted in changes to the presentation and disclosure of revenue primarily related to uninsured or underinsured patients. For the years ended August 31, 2019, and 2018, NYU Langone Health recorded \$107,353 and \$98,266 of implicit price concessions as a direct reduction to patient care revenue that would have been recorded as bad debt expense prior to the adoption of ASU 2014-09.

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NYU's patient accounts receivable, after contractual adjustments and implicit price concessions is \$973,185 and \$895,513 at August 31, 2019 and 2018, respectively. NYU Langone Health estimates its implicit price concessions using a quarterly standardized approach to review historical collections based on major payor classification as a practical expedient to account for patient contracts as collective groups rather than individually. Based on historical collection trends, the financial statement effects of using this practical expedient are not materially different from an individual contract approach. In addition, NYU Langone Health assesses the current state of its billing functions in order to identify any known collection or reimbursement issues and assess the impact, if any, on estimates. NYU Langone Health believes that the collectability of its receivables is directly linked to the quality of its billing processes, most notably those related to obtaining the correct information in order to bill effectively for the services it provides. Subsequent changes to the estimate of transaction price are recorded as adjustments to net patient care revenue in the period of the change. Certain patient care revenues received are subject to retroactive adjustments under reimbursement agreements with third-party payors. Retroactive adjustments are accrued on an estimated basis in the period the related services are rendered and adjusted in future periods as final settlements are determined.

NYU Langone Health has established estimates, based on information presently available, of amounts due to or from Medicare and non-Medicare payors for adjustments to current and prior year payment rates, based on industry-wide and hospital-specific data. The amounts due to third party payors included in accounts payable and accrued expenses on the consolidated balance sheets is \$94,317 and \$96,693 at August 31, 2019 and 2018, respectively. Additionally, certain payors' payment rates for various years have been appealed by NYU Langone Health. If the appeals are successful, additional income applicable to those years will be realized.

Laws and regulations governing the Medicare and Medicaid programs are extremely complex and subject to interpretation. As a result, there is at least a reasonable possibility that recorded estimates will change by a material amount in the near term.

NYU Langone Hospitals' cost reports have been audited by the Medicare fiscal intermediary through December 31, 2014; however, final settlements are pending for 2003 and 2004. NYU Langone Hospital-Brooklyn cost reports have been audited by the Medicare fiscal intermediary through December 31, 2015; however, final settlements are pending for the years 2008 to 2013. Winthrop's cost reports have been audited by the Medicare fiscal intermediary through December 31, 2016.

The mix of patient care revenue for the years ended August 31, 2019 and 2018 are as follows:

	2019		2018	
	Health System	NYUGSoM	Health System	NYUGSoM
Medicare	16 %	18 %	18 %	16 %
Medicaid	2	1	2	1
Medicare and Medicaid managed care	17	15	17	16
Blue Cross	26	17	24	16
Managed care and other	39	49	39	51
	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>

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The mix of patient accounts receivable, net from patients and third party payors at August 31, 2019 and 2018 are as follows:

	2019		2018	
	Health System	NYUGSoM	Health System	NYUGSoM
Medicare	9 %	13 %	11 %	11 %
Medicaid	2	1	2	1
Medicare and Medicaid managed care	21	16	20	18
Blue Cross	21	15	19	14
Managed care and other	47	55	48	56
	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>

As a matter of policy, NYU Langone Health provides significant amounts of partially or totally uncompensated patient care. For accounting purposes, such uncompensated care is treated as charity care.

NYU Langone Health's charity care policy, in accordance with the New York State Department of Health's guidelines, ensures the provision of quality health care to the community served while carefully considering the ability of the patient to pay. The policy has sliding fee schedules for inpatient, ambulatory and emergency services provided to the uninsured and under-insured patients that qualify. Patients are eligible for the charity care fee schedule if they meet certain income tests. Since payment of the difference between NYU Langone Hospitals' standard charges and the charity care fee schedules is not sought, these forgone charges for charity care are not reported as revenue. Total forgone charges for charity care totaled \$102,918 and \$94,726 for the years ended August 31, 2019 and 2018, respectively. This equated to an approximate cost of \$21,758 and \$20,586 for the years ended August 31, 2019 and 2018, respectively which is based on a ratio of cost to charges.

New York State regulations provide for the distribution of funds from an indigent care pool, which is intended to partially offset the cost of uncompensated care and service provided to uninsured. The funds are distributed to NYU Langone Health based on an uninsured methodology. Subsidy payments recognized as revenue amounted to approximately \$60,944 and \$59,315 for the years ended August 31, 2019 and 2018, respectively, and are included in patient care revenue in the consolidated statement of activities. NYU Langone Health has paid \$60,584 and \$55,424 into the indigent care pool for the years ended August 31, 2019 and 2018, respectively.

5. Investments

Asset Classes

NYU invests across a broad range of asset classes, including public equity, fixed income, hedge funds, credit, real assets, private equity, real estate, and cash and other. NYU may invest directly in the securities of these asset classes, or indirectly through interests in funds and limited partnerships. Securities held directly by NYU are valued at their observable market prices. The value of holdings in funds and limited partnerships are in accordance with the valuations provided by their investment managers. Funds and limited partnerships may make investments in securities that are publicly traded, which are generally valued based on observable market prices. Managers of investment funds and limited partnerships value those investments based upon the best information available for a given circumstance and may incorporate assumptions that are the investment manager's best estimates after consideration of a variety of internal and external factors.

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Investments held by NYU's investment pool are categorized as follows:

Public Equity

Public equity consists of publicly-traded equity, mutual funds, and other commingled funds (which may include passive index exposure).

Fixed Income

Fixed income includes investments in securities such as U.S. government securities, non-U.S. sovereign bonds, and corporate and asset-backed securities.

Hedge Funds

Hedge funds include investments with managers who invest across different strategies such as long and short equity, multi-strategy, event driven and relative value funds. These managers typically employ some leverage.

Credit

Credit includes public and private investments in strategies including distressed debt and special situations.

Real Assets

Real assets includes public and private investments in real asset funds.

Private Equity

Private equity investments include limited partnership investments in funds pursuing strategies in corporate buyouts, growth equity, and venture capital.

Real Estate

Real estate includes public and private investments in real estate funds.

Cash and Other

Cash and other predominantly includes cash and cash equivalents.

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The following tables summarize the fair value of investments at August 31, 2019 and 2018:

	2019			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
Long-term investments-investment pool				
Public equity	\$ 925,274	\$ -	\$ -	\$ 925,274
Fixed income	-	368,859	-	368,859
Real assets	18,826	-	-	18,826
Cash and other	152,054	-	-	152,054
	<u>1,096,154</u>	<u>368,859</u>	<u>-</u>	<u>1,465,013</u>
Alternative investments measured at NAV as a practical expedient				2,859,803
Subtotal investment pool				<u>4,324,816</u>
Other long-term investments				
Public equity	204,580	2,720	-	207,300
Fixed income	36,909	11,412	-	48,321
Cash and other	405,293	-	2,885	408,178
Subtotal other long-term investments	<u>646,782</u>	<u>14,132</u>	<u>2,885</u>	<u>663,799</u>
Total long-term investments	<u>\$ 1,742,936</u>	<u>\$ 382,991</u>	<u>\$ 2,885</u>	<u>\$ 4,988,615</u>
Short-term investments				
Cash and other	\$ 4,303	\$ -	\$ -	\$ 4,303
Total short-term investments	<u>\$ 4,303</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 4,303</u>
	2018			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
Long-term investments-investment pool				
Public equity	\$ 940,925	\$ -	\$ -	\$ 940,925
Fixed income	-	355,149	-	355,149
Real assets	17,083	-	-	17,083
Cash and other	261,153	-	-	261,153
	<u>1,219,161</u>	<u>355,149</u>	<u>-</u>	<u>1,574,310</u>
Alternative investments measured at NAV as a practical expedient				2,675,188
Subtotal investment pool				<u>4,249,498</u>
Other long-term investments				
Public equity	197,058	2,960	-	200,018
Fixed income	407,431	10,191	-	417,622
Cash and other	11,399	-	2,805	14,204
Subtotal other long-term investments	<u>615,888</u>	<u>13,151</u>	<u>2,805</u>	<u>631,844</u>
Total long-term investments	<u>\$ 1,835,049</u>	<u>\$ 368,300</u>	<u>\$ 2,805</u>	<u>\$ 4,881,342</u>
Short-term investments				
Cash and other	\$ 1,870	\$ -	\$ -	\$ 1,870
Total short-term investments	<u>\$ 1,870</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,870</u>

Level 3 activity was not significant for either of the years ended August 31, 2019 or 2018.

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The following tables represent NYU's investments measured at NAV as a practical expedient by asset class and the respective liquidity terms as of August 31, 2019 and 2018:

2019				
Asset category	Redemption Frequency (if currently eligible)		Redemption Notice Period	Fair Value
Redeemable alternative investments				
Public equity	Daily, Weekly, Monthly, Quarterly, Annually		Daily to Annually	\$ 1,317,886
Hedge funds	Monthly, Quarterly, Semi-Annual, Annual, Bi-Annual		Monthly to Annually	805,511
Credit	Quarterly		60 days	16,893
				<u>2,140,290</u>
Nonredeemable alternative investments	Remaining Life	Time to draw Commitment	Unfunded Commitments	Fair Value
Private equity	Up to 10 years	7-14 days	\$ 286,430	\$ 295,421
Credit	Up to 9 years	7-14 days	62,410	151,757
Real assets	Up to 14 years	7-14 days	21,700	76,408
Real estate	Up to 12 years	7-14 days	152,540	195,927
			<u>\$ 523,080</u>	<u>719,513</u>
Alternative investments measured at NAV as a practical expedient				<u>\$ 2,859,803</u>

2018				
Asset category	Redemption Frequency (if currently eligible)		Redemption Notice Period	Fair Value
Redeemable alternative investments				
Public equity	Daily, Weekly, Monthly, Quarterly		Daily to 90 days	\$ 1,305,436
Hedge funds	Quarterly, Semi-Annual, Annual, Bi-Annual		45-90 days	697,303
Credit	Quarterly		60 days	12,970
				<u>2,015,709</u>
Nonredeemable alternative investments	Remaining Life	Time to draw Commitment	Unfunded Commitments	Fair Value
Private equity	Up to 9 years	7-14 days	\$ 152,419	\$ 263,307
Credit	Up to 8 years	7-14 days	47,819	154,187
Real assets	Up to 15 years	7-14 days	40,883	72,748
Real estate	Up to 13 years	7-14 days	103,363	169,237
			<u>\$ 344,484</u>	<u>659,479</u>
Alternative investments measured at NAV as a practical expedient				<u>\$ 2,675,188</u>

Total investment return for the years ended August 31, 2019 and 2018 is as follows:

	2019	2018
Dividends and interest	\$ 112,178	\$ 84,775
Realized and unrealized gains, net	<u>104,557</u>	<u>293,136</u>
Total investment return, net	<u>\$ 216,735</u>	<u>\$ 377,911</u>
Endowment distribution approved for spending	\$ 172,632	\$ 169,149
Return on short-term investments	36,583	16,130
Without donor restriction investment return, net of spending	44,501	95,869
Donor restricted investment return, net of spending	<u>(36,981)</u>	<u>96,763</u>
Total investment return, net	<u>\$ 216,735</u>	<u>\$ 377,911</u>

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NYU maintains an investment pool for its long-term investments which include its endowment and similar funds. The pool is managed to achieve the maximum long-term return given prudent risk parameters. NYU relies on a total return strategy, the objective of which is to achieve a long-term rate of return consisting of a combination of current income and capital appreciation, recognizing that changes in market conditions and interest rates will result in varying strategies in an attempt to optimize results. Investment return (realized and unrealized net gains or losses, interest and dividends) and the appropriation for the approved endowment distribution for board-designated endowment funds are reported as nonoperating activities in the consolidated statement of activities. Investment return and the appropriation for the approved endowment distribution for donor-restricted endowment funds are reported as changes in net assets with donor restrictions in the consolidated statement of activities.

NYU's Board of Trustees has authorized a spending policy designed to allow asset growth while providing a predictable flow of return to support operations. Distributions from the endowment to support operations (approximately 4.5% in 2019 and 2018) are calculated using the prior year distribution adjusted for the change in the New York Metro Area Consumer Price Index (CPI). To preserve the endowment's purchasing power, caps may further limit spending as follows: 1) the distribution of endowment return to support operations may not exceed the prior year's distribution by more than 10%, unless the increase was the result of new gifts to the endowment, and 2) if the results of using only the average market value of either the final four quarters alone or the final eight quarters alone would be a decline in the distribution from the prior year's distribution, then the distribution may not exceed the previous year's level.

6. Accounts and Loans Receivable, Net

Accounts and loans receivable, net of allowances for uncollectable amounts consist of the following at August 31, 2019 and 2018:

	2019	2018
Students and other	\$ 198,334	\$ 159,078
Grants and contracts	114,792	114,856
Student loans	99,234	110,182
FEMA award receivable	65,206	101,592
Housing loans and other loans to employees	59,724	65,567
Insurance premiums and recoveries (Note 12)	223,410	218,286
	<u>760,700</u>	<u>769,561</u>
Allowance for uncollectible amounts	(46,340)	(46,564)
Accounts and loans receivable, net	<u>\$ 714,360</u>	<u>\$ 722,997</u>

A reasonable estimate of the fair value of loans receivable from students under government loan programs could not be made because the notes cannot be sold and can only be assigned to the U.S. government or its designees. The fair value of loans receivable from students under NYU's loan programs approximates carrying value.

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Student loans consist primarily of Federal advances to the University under Perkins and other Federal loan programs which totaled \$67,906 and \$67,857 at August 31, 2019 and 2018, respectively. NYU records a liability on its consolidated balance sheet for these advances within funds held for others.

Housing loans and other loans to employees are secured by an interest in the underlying property or continued employment.

Management regularly assesses the adequacy of the allowance for credit losses by performing ongoing evaluation of the accounts and loans receivable portfolios.

7. Contributions Receivable

Contributions receivable consist of the following at August 31, 2019 and 2018:

	2019	2018
Amounts expected to be collected in		
Less than one year	\$ 258,333	\$ 269,603
One to five years	249,176	222,414
More than five years	67,246	66,509
	<u>574,755</u>	<u>558,526</u>
Discount	(26,715)	(31,313)
Allowance for uncollectible amounts	<u>(71,349)</u>	<u>(68,863)</u>
Contributions receivable, net	<u>\$ 476,691</u>	<u>\$ 458,350</u>

Contributions receivable activity for the years ended August 31, 2019 and 2018 is as follows:

	2019	2018
Contributions receivable, gross, beginning of year	\$ 558,526	\$ 559,439
New pledges received	243,521	168,777
Adjustments and write-offs	(16,723)	(8,870)
Pledge payments received	<u>(210,569)</u>	<u>(160,820)</u>
Contributions receivable, gross, end of year	574,755	558,526
Discount and allowance for uncollectible amounts	<u>(98,064)</u>	<u>(100,176)</u>
Contributions receivable, net, end of year	<u>\$ 476,691</u>	<u>\$ 458,350</u>

Conditional promises to give consist of the following as of August 31, 2019 and 2018:

	2019	2018
Bequests	\$ 592,449	\$ 560,350
Intentions to give	152,055	151,497
Conditional promises to give	<u>215,030</u>	<u>240,573</u>
Total	<u>\$ 959,534</u>	<u>\$ 952,420</u>

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Expenses related to fundraising activities are \$55,622 and \$48,699 for the years ended August 31, 2019 and 2018, respectively.

8. Other Assets

Other assets consist of the following at August 31, 2019 and 2018:

	2019	2018
Deferred compensation plan assets held for others	\$ 307,804	\$ 278,733
Prepaid expenses and deferred charges	247,493	161,290
Inventory	115,979	100,305
Intangible assets and goodwill	84,047	87,897
Assets held for sale	-	73,461
Third-party payor receivables	46,581	72,775
Split-interest agreements	36,364	37,299
Assets limited as to use - FEMA award	14,489	14,904
Tenant improvement allowance	9,578	7,553
Other	101,578	115,561
	<u> </u>	<u> </u>
Other assets	<u>\$ 963,913</u>	<u>\$ 949,778</u>

Assets held for sale as of August 31, 2018 included certain assets of the Health System that met the requirements to be classified as held for sale and are presented at the lower of cost or fair value, less cost to sell. The assets included the land and buildings of Shore Hill Housing, which were sold in November 2018, and resulted in a net loss of \$11,700 included within the consolidated statement of activities for the year ended August 31, 2019.

Deferred compensation plan assets held for others represents employee contributions and investment income for NYU's 457(b) plans. A corresponding obligation is recorded within funds held for others on the consolidated balance sheets.

NYU invests in various retirement plan assets as part of the deferred compensation plans. In addition to the asset classes described in Note 5, investments held by the deferred compensation plans also include:

Variable Annuity

Variable annuity contracts invest in a variety of public equity securities to generate varying rates of return based on the underlying public equities.

Fixed Income Annuity

Fixed income annuities are used to purchase a guaranteed amount of future retirement benefits.

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The following tables summarize the fair value of other assets at August 31, 2019 and 2018:

	2019			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
Other financial instruments				
Split-interest agreements	\$ -	\$ -	\$ 36,364	\$ 36,364
Deferred compensation plan held for others				
Variable annuities	\$ 66,535	\$ 43,556	\$ -	\$ 110,091
Fixed income annuity	21,829	2,373	27,334	51,536
Public equity	141,905	4,272	-	146,177
Total deferred compensation plan assets held for others	\$ 230,269	\$ 50,201	\$ 27,334	\$ 307,804

	2018			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
Other financial instruments				
Split-interest agreements	\$ -	\$ -	\$ 37,299	\$ 37,299
Deferred compensation plan held for others				
Variable annuities	\$ 85,975	\$ 37,239	\$ -	\$ 123,214
Fixed income annuity	14,746	4,626	22,420	41,792
Public equity	103,831	9,896	-	113,727
Total deferred compensation plan assets held for others	\$ 204,552	\$ 51,761	\$ 22,420	\$ 278,733

Level 3 activity was not significant for either of the years ended August 31, 2019 or 2018.

9. Land, Buildings, and Equipment

Land, buildings, and equipment consist of the following at August 31, 2019 and 2018:

	2019	2018
Land	\$ 353,757	\$ 363,955
Buildings and building improvements	12,797,314	11,957,137
Equipment	2,285,922	2,176,047
Capital leases	688,614	562,360
Construction in progress	1,295,886	1,149,131
	<u>17,421,493</u>	<u>16,208,630</u>
Less: Accumulated depreciation	<u>(5,897,614)</u>	<u>(5,277,450)</u>
Land, buildings, and equipment, net	<u>\$ 11,523,879</u>	<u>\$ 10,931,180</u>

Depreciation expense is \$800,746 and \$718,309 for the years ended August 31, 2019 and 2018, respectively.

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10. Deposits with Trustees

Deposits with Trustees consist of unexpended bond proceeds to fund various construction projects held by the trustee, The Dormitory Authority of the State of New York (DASNY), and debt service funds at August 31, 2019 and 2018:

	2019	2018
Construction funds held by DASNY	\$ 807,294	\$ 412,214
Debt service funds	54,224	39,697
Debt service reserve funds	20,780	20,985
Other	1,129	1,272
	<u>\$ 883,427</u>	<u>\$ 474,168</u>

The following tables summarize the fair value of deposits with trustees at August 31, 2019 and 2018 according to the asset categories defined in Note 5:

	2019			
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Fixed income	\$ 143,354	\$ 740,073	\$ -	\$ 883,427
Total deposits with trustees	<u>\$ 143,354</u>	<u>\$ 740,073</u>	<u>\$ -</u>	<u>\$ 883,427</u>

	2018			
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Fixed income	\$ 71,181	\$ 402,987	\$ -	\$ 474,168
Total deposits with trustees	<u>\$ 71,181</u>	<u>\$ 402,987</u>	<u>\$ -</u>	<u>\$ 474,168</u>

New York University
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11. Debt and Other Obligations

NYU has various bond issues outstanding, primarily issued through DASNY. The University and NYUGSoM are considered the legally obligated group for certain borrowings presented below as the "Total Obligated Group".

Debt and other obligations consists of the following at August 31, 2019 and 2018:

		2019			
		University	NYUGSoM	Total Obligated Group	Health System Consolidated NYU
Issuer					
Dormitory Authority of the State of New York (DASNY)	\$	3,800,548	\$ 824,741	\$ 4,625,289	\$ 347,060 \$ 4,972,349
New York University		277,251	69,246	346,497	- 346,497
NYU Langone Hospitals		-	-	-	1,491,002 1,491,002
Nassau County Local Economic Assistance Corporation		-	-	-	151,631 151,631
Other obligations		5,966	496,410	502,376	498,606 1,000,982
Debt and other obligations	\$	<u>4,083,765</u>	<u>\$ 1,390,397</u>	<u>\$ 5,474,162</u>	<u>\$ 2,488,299 \$ 7,962,461</u>
		2018			
		University	NYUGSoM	Total Obligated Group	Health System Consolidated NYU
Issuer					
Dormitory Authority of the State of New York (DASNY)	\$	3,059,068	\$ 705,053	\$ 3,764,121	\$ 366,830 \$ 4,130,951
New York University		287,285	72,895	360,180	- 360,180
NYU Langone Hospitals		-	-	-	1,490,662 1,490,662
Nassau County Local Economic Assistance Corporation		-	-	-	156,365 156,365
Other obligations		51,058	432,852	483,910	501,840 985,750
Debt and other obligations	\$	<u>3,397,411</u>	<u>\$ 1,210,800</u>	<u>\$ 4,608,211</u>	<u>\$ 2,515,697 \$ 7,123,908</u>

In February 2019, DASNY issued \$603,460 of revenue bonds (Series 2019A) on behalf of the Obligated Group with interest rates ranging from 4.00% to 5.00%. The Series 2019A bonds mature serially from July 2021 through July 2039. The 2019A bonds maturing in July 2042 are payable in annual sinking fund installments from July 2040 to maturity. The 2019A bonds maturing in July 2045 are payable in annual sinking fund installments from July 2043 to maturity. The 2019A bonds maturing in July 2049 are payable in annual sinking fund installments from July 2046 to maturity.

In February 2019, DASNY issued \$176,125 of taxable bonds (Series 2019B-1) on behalf of the Obligated Group, with interest rates ranging from 2.76% to 4.29%. The Series 2019B-1 bonds mature serially from July 2021 through July 2024. The Series 2019B-1 bonds maturing in July 2044 are payable in annual sinking fund installments from July 2035 to maturity.

In February 2019, DASNY issued \$83,170 of taxable Green Bonds (Series 2019B-2) on behalf of the Obligated Group, with an interest rate of 4.01%. The Series 2019B-2 bonds maturing in July 2049 are payable in annual sinking fund installments from July 2045 to maturity.

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The proceeds from the DASNY Series 2019A, Series 2019B-1 and Series 2019B-2 were used to fund improvements on the Manhattan and Brooklyn campuses and repay certain lines of credit.

In May 2018, DASNY issued \$348,880 of revenue bonds (Series 2018A) on behalf of the Obligated Group with interest rates ranging from 3.25% to 5.00%. The Series 2018A bonds mature serially from July 2019 through July 2042. The Series 2018A bonds maturing in July 2048 are payable in annual sinking fund installments from July 2043 to maturity.

In May 2018, DASNY issued \$243,705 of taxable bonds (Series 2018B) on behalf of the Obligated Group, with interest rates ranging from 2.27% to 4.85%. The Series 2018B bonds mature serially from July 2019 through July 2035. The Series 2018B bonds maturing in July 2040 are payable in annual sinking fund installments from July 2036 to maturity. The Series 2018B bonds maturing in July 2048 are payable in annual sinking fund installments from July 2041 to maturity.

The proceeds from the DASNY Series 2018A and Series 2018B were used to fund improvements on the Manhattan and Brooklyn campuses and repay certain lines of credit.

New York University

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The principal amounts outstanding for debt and other obligations consist of the following at August 31, 2019 and 2018:

			2019			
	University	NYUGSoM	Total Obligated Group	Health System	Consolidated NYU	
DASNY						
Series 1998A bonds, with interest rates ranging from 5.75% to 6.00%, maturing serially through July 2020, payable thereafter in annual sinking fund installments to maturity in 2027 (including premium of \$2,583)	\$ 117,458	\$ -	\$ 117,458	\$ -	\$ 117,458	
2001 Series 1 bonds, with an interest rate of 5.50%, maturing serially from July 2011, through July 2025, payable thereafter in annual sinking fund installments to maturities in July 2031 and July 2040 (including premiums of \$1,979 and \$2,200)	57,711	47,819	105,530	-	105,530	
Series 2011A bonds, with interest rates ranging from 2.00% to 6.00%, maturing serially through July 2020, payable thereafter in annual sinking fund installments	-	-	-	4,220	4,220	
Series 2012A bonds, with interest rates ranging from 3.00% to 5.00%, maturing serially through July 2032, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2042 (including net premiums of \$10,941 and \$4,057)	138,158	42,342	180,500	-	180,500	
Series 2012B bonds, with interest rates ranging from 4.00% to 5.00%, maturing serially through July 2032, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2042 (including premium of \$3,613)	58,648	-	58,648	-	58,648	
Series 2012C taxable bonds, with interest rates ranging from 1.93% to 3.62%, maturing serially through July 2027	17,720	-	17,720	-	17,720	
Series 2013A bonds, with interest rates ranging from 2.00% to 5.00%, maturing serially through July 2033, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2043 (including net premiums of \$6,433)	120,228	-	120,228	-	120,228	
Series 2013B taxable bonds, with interest rates ranging from 2.33% to 5.25%, maturing serially through July 2028, payable thereafter in annual sinking fund installments to maturities in July 2033 and July 2043	25,440	-	25,440	-	25,440	
Series 2014 bonds, with interest rate ranging from 2.00% to 5.00%, maturing serially through July 2032 and July 2036 (including premium of \$7,958)	-	-	-	76,909	76,909	
Series 2014 S2 bonds, with interest rate ranging from 3.75% to 4.95%, maturing serially through July 2034 and July 2035 (including premium of \$7,514)	-	-	-	114,600	114,600	
Series 2014A taxable bonds, with an interest rate of 2.59% maturing in July 2034, payable in annual sinking fund installments through July 2034	52,210	-	52,210	-	52,210	

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			2019 Total Obligated Group	Health System	Consolidated NYU
Series 2015 bonds, with interest rates ranging from 2.00% to 5.50%, maturing serially through July 2035, payable in annual sinking fund installments from July 2036 to July 2048 (including premium of \$72,401)	738,706	-	738,706	-	738,706
Series 2016A bonds, with interest rates ranging from 2.00% to 5.00%, maturing serially through July 2036 payable thereafter in annual sinking fund installments until July 2043 (including premiums of \$67,602 and \$21,274)	514,257	157,494	671,751	-	671,751
Series 2016B taxable bonds, with interest rates ranging from 1.20% to 5.00%, maturing serially through July 2022 payable thereafter in annual sinking fund installments until July 2046	179,155	33,770	212,925	-	212,925
Series 2016A bonds, with interest rates ranging from 3.53% to 4.77%, maturing serially to maturity in July 2040 and payable thereafter in annual sinking fund installments until July 2043 (including premium of \$20,524)	-	-	-	155,094	155,094
Series 2017A bonds, with interest rates ranging from 3.25% to 5.00%, maturing serially to maturity in July 2040 and payable thereafter in annual sinking fund installments until July 2047 (including premium of \$40,530 and \$20,567)	335,353	172,899	508,252	-	508,252
Series 2017B taxable bonds, with interest rates ranging from 1.60% to 4.15%, maturing serially to maturity in July 2032	174,104	50,406	224,510	-	224,510
Series 2018A bonds, with interest rates ranging from 3.25% to 5.00%, maturing serially through July 2048 payable thereafter in annual sinking fund installments (including premiums of \$36,237 and \$9,439)	310,652	82,849	393,501	-	393,501
Series 2018B taxable bonds, with interest rates ranging from 2.27% to 4.85%, maturing serially through July 2048 payable thereafter in annual sinking fund installments (including premiums of \$6,843 and \$2,820)	146,983	105,295	252,278	-	252,278
Series 2019A bonds, with interest rates ranging from 4.00% to 5.00%, maturing serially through July 2049 payable thereafter in annual sinking fund installments (including premiums of \$86,292 and \$12,703)	613,947	88,508	702,455	-	702,455
Series 2019B-1 taxable bonds, with interest rates ranging from 2.76% to 4.29%, maturing serially through July 2044 payable thereafter in annual sinking fund installments	136,505	39,620	176,125	-	176,125
Series 2019B-2 taxable bonds, with an interest rate of 4.01% payable thereafter in annual sinking fund installments maturing on July 2049	77,925	5,245	83,170	-	83,170
Deferred financing costs	(14,612)	(1,506)	(16,118)	(3,763)	(19,881)
Subtotal of DASNY bonds	3,800,548	824,741	4,625,289	347,060	4,972,349

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			2019		
	University	NYUGSoM	Total Obligated Group	Health System	Consolidated NYU
NYU					
Series 2009 taxable bonds, with an interest rate of 5.24%, maturing in July 2032, payable in annual sinking fund installments from July 2018 through July 2032	13,368	69,742	83,110	-	83,110
Series 2010 taxable bonds, with an interest rate of 4.96%, maturing in July 2032, payable in annual sinking fund installments from July 2018 through July 2032	20,415	-	20,415	-	20,415
Series 2015 taxable bonds, with interest rates ranging from 1.32% to 4.14%, maturing serially through July 2028, payable in annual sinking fund installments from July 2029 to July 2048	244,465	-	244,465	-	244,465
Deferred financing costs	(997)	(496)	(1,493)		(1,493)
Subtotal of NYU bonds	277,251	69,246	346,497	-	346,497
NYU Langone Hospitals					
Series 2012 taxable bonds, with an interest rate of 4.40%, maturing in July 2042 (including discount of \$793)	-	-	-	249,207	249,207
Series 2013 taxable bonds, with an interest rate of 5.75%, maturing in July 2043 (including discount of \$1,147)	-	-	-	348,853	348,853
Series 2014 taxable bonds, with an interest rate of 4.78%, maturing in July 2044 (including discount of \$1,046)	-	-	-	298,954	298,954
Series 2017A taxable bonds, with an interest rate ranging from 4.17% to 4.37%, maturing in August 2047	-	-	-	600,000	600,000
Deferred financing costs	-	-	-	(6,012)	(6,012)
Subtotal of NYU Langone Hospitals bonds	-	-	-	1,491,002	1,491,002
Nassau County Local Economic Assistance Corporation					
Series 2012 taxable bonds with varying interest rates of 3.00% to 5.00%, maturing in July 2042 (including premium of \$7,344)	-	-	-	118,759	118,759
Series 2014 taxable bonds, with an interest rate of 2.99%, maturing in July 2036	-	-	-	32,872	32,872
Subtotal of Nassau County Local Economic Assistance Corporation bonds	-	-	-	151,631	151,631
Other obligations					
Mortgage loans	-	42,000	42,000	20,292	62,292
Commercial loans	-	-	-	17,024	17,024
Lines of credit	-	44,400	44,400	336,519	380,919
Capital leases	5,966	410,010	415,976	124,771	540,747
Subtotal of other obligations	5,966	496,410	502,376	498,606	1,000,982
Total amounts outstanding	\$ 4,083,765	\$ 1,390,397	\$ 5,474,162	\$ 2,488,299	\$ 7,962,461

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(in thousands of dollars)

			2018		
	University	NYUGSoM	Total Obligated Group	Health System	Consolidated NYU
DASNY					
Series 1998A bonds, with interest rates ranging from 5.75% to 6.00%, maturing serially through July 2020, payable thereafter in annual sinking fund installments to maturity in 2027 (including premium of \$3,174)	\$ 129,104	\$ -	\$ 129,104	\$ -	\$ 129,104
2001 Series 1 bonds, with an interest rate of 5.50%, maturing serially from July 2011, through July 2025, payable thereafter in annual sinking fund installments to maturities in July 2031 and July 2040 (including premiums of \$2,136 and \$2,327)	59,265	49,069	108,334	-	108,334
Series 2009A bonds, with interest rates ranging from 4.00% to 5.00%, maturing serially through July 2019 (including net premiums of \$142 and \$16)	9,443	887	10,330	-	10,330
Series 2011A bonds, with interest rates ranging from 2.00% to 6.00%, maturing serially through July 2020, payable thereafter in annual sinking fund installments	-	-	-	8,240	8,240
Series 2012A bonds, with interest rates ranging from 3.00% to 5.00%, maturing serially through July 2032, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2042 (including net premiums of \$11,811 and \$4,233)	144,326	44,113	188,439	-	188,439
Series 2012B bonds, with interest rates ranging from 4.00% to 5.00%, maturing serially through July 2032, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2042 (including premium of \$3,900)	58,936	-	58,936	-	58,936
Series 2012C taxable bonds, with interest rates ranging from 1.93% to 3.62%, maturing serially through July 2027	19,715	-	19,715	-	19,715
Series 2013A bonds, with interest rates ranging from 2.00% to 5.00%, maturing serially through July 2033, payable thereafter in annual sinking fund installments to maturities in July 2037 and July 2043 (including net premiums of \$6,900)	123,150	-	123,150	-	123,150
Series 2013B taxable bonds, with interest rates ranging from 2.33% to 5.25%, maturing serially through July 2028, payable thereafter in annual sinking fund installments to maturities in July 2033 and July 2043	26,680	-	26,680	-	26,680

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			2018 Total Obligated Group	Health System	Consolidated NYU
Series 2014 bonds, with interest rate ranging from 2.00% to 5.00%, maturing serially through July 2032 and July 2036 (including premium of \$7,958)	-	-	-	80,233	80,233
Series 2014 S2 bonds, with interest rate ranging from 3.75% to 4.95%, maturing serially through July 2034 and July 2035 (including premium of \$15,236)	-	-	-	118,241	118,241
Series 2014A taxable bonds, with an interest rate of 2.59% maturing in July 2034, payable in annual sinking fund installments through July 2034	53,350	-	53,350	-	53,350
Series 2015 bonds, with interest rates ranging from 2.00% to 5.50%, maturing serially through July 2035, payable in annual sinking fund installments from July 2036 to July 2048 (including premium of \$77,046)	758,581	-	758,581	-	758,581
Series 2016A bonds, with interest rates ranging from 2.00% to 5.00%, maturing serially through July 2036 payable thereafter in annual sinking fund installments until July 2043 (including premiums of \$71,777 and \$22,067)	518,432	158,287	676,719	-	676,719
Series 2016B taxable bonds, with interest rates ranging from 1.20% to 5.00%, maturing serially through July 2022 payable thereafter in annual sinking fund installments until July 2046	192,420	37,255	229,675	-	229,675
Series 2016A bonds, with interest rates ranging from 3.53% to 4.77%, maturing serially to maturity in July 2040 and payable thereafter in annual sinking fund installments until July 2043 (including premium of \$21,513)	-	-	-	164,083	164,083
Series 2017A bonds, with interest rates ranging from 3.25% to 5.00%, maturing serially to maturity in July 2040 and payable thereafter in annual sinking fund installments until July 2047 (including premium of \$44,704 and \$21,306)	340,698	175,482	516,180	-	516,180
Series 2017B taxable bonds, with interest rates ranging from 1.60% to 4.15%, maturing serially to maturity in July 2032	177,430	50,406	227,836	-	227,836
Series 2018A bonds, with interest rates ranging from 3.25% to 5.00%, maturing serially through July 2048 payable thereafter in annual sinking fund installments (including premiums of \$38,921 and \$9,766)	313,336	84,231	397,567	-	397,567
Series 2018B taxable bonds, with interest rates ranging from 2.27% to 4.85%, maturing serially through July 2048 payable thereafter in annual sinking fund installments (including premiums of \$7,114 and \$2,919)	147,254	106,484	253,738	-	253,738
Deferred financing costs	(13,052)	(1,161)	(14,213)	(3,967)	(18,180)
Subtotal of DASNY bonds	3,059,068	705,053	3,764,121	366,830	4,130,951

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			2018 Total Obligated Group	Health System	Consolidated NYU
NYU					
Series 2009 taxable bonds, with an interest rate of 5.24%, maturing in July 2032, payable in annual sinking fund installments from July 2018 through July 2032	14,075	73,430	87,505	-	87,505
Series 2010 taxable bonds, with an interest rate of 4.96%, maturing in July 2032, payable in annual sinking fund installments from July 2018 through July 2032	21,495	-	21,495	-	21,495
Series 2015 taxable bonds, with interest rates ranging from 1.32% to 4.14%, maturing serially through July 2028, payable in annual sinking fund installments from July 2029 to July 2048	252,800	-	252,800	-	252,800
Deferred financing costs	(1,085)	(535)	(1,620)	-	(1,620)
Subtotal of NYU bonds	287,285	72,895	360,180	-	360,180
NYU Langone Hospitals					
Series 2012 taxable bonds, with an interest rate of 4.40%, maturing in July 2042 (including discount of \$828)	-	-	-	249,172	249,172
Series 2013 taxable bonds, with an interest rate of 5.75%, maturing in July 2043 (including discount of \$1,195)	-	-	-	348,805	348,805
Series 2014 taxable bonds, with an interest rate of 4.78%, maturing in July 2044 (including discount of \$1,088)	-	-	-	298,912	298,912
Series 2017A taxable bonds, with an interest rate ranging from 4.17% to 4.37%, maturing in August 2047	-	-	-	600,000	600,000
Deferred financing costs	-	-	-	(6,227)	(6,227)
Subtotal of NYU Langone Hospitals bonds	-	-	-	1,490,662	1,490,662
Nassau County Local Economic Assistance Corporation					
Series 2012 taxable bonds with varying interest rates of 3.00% to 5.00%, maturing in July 2042 (including premium of \$7,803)	-	-	-	122,033	122,033
Series 2014 taxable bonds, with an interest rate of 2.99%, maturing in July 2036	-	-	-	34,332	34,332
Subtotal of Nassau County Local Economic Assistance Corporation bonds	-	-	-	156,365	156,365
Other obligations					
Various at fixed and variable interest rates	-	-	-	19,113	19,113
Mortgage loans	-	42,000	42,000	41,837	83,837
Lines of credit	45,000	138,700	183,700	311,519	495,219
Capital leases	6,058	252,152	258,210	129,371	387,581
Subtotal of other obligations	51,058	432,852	483,910	501,840	985,750
Total amounts outstanding	\$ 3,397,411	\$ 1,210,800	\$ 4,608,211	\$ 2,515,697	\$ 7,123,908

Interest expense on debt and other obligations totaled \$313,749 and \$248,197 for the years ended August 31, 2019 and 2018, respectively. This excludes \$10,775 and \$28,776 of interest capitalized (net of income earned on deposits with bond trustees) for the years ended August 31, 2019 and 2018, respectively, which is included in land, buildings, and equipment, net.

NYU enters into various debt and other loan agreements that are secured by specific revenue streams, collateral and other real property or improvements, in addition to issuing debt supported by a general obligation of the University, any of which may constrain the use of certain assets.

Other agreements include covenants requiring that NYU Langone Hospitals maintains certain financial ratios. At August 31, 2019 and 2018, NYU is compliant with all financial and administrative covenants.

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Obligations with Financial Institutions

At August 31, 2019 and 2018, the Obligated Group has three contractually committed bank credit agreements which total \$800,000 and expire from June 2020 to August 2021. The interest is accrued at rates based on LIBOR. The amounts outstanding under these agreements are \$44,400 and \$183,700 as of August 31, 2019 and 2018, respectively.

At August 31, 2019, the Health System has four unsecured lines of credit which total \$600,000 and expire from September 2020 to May 2022. At August 31, 2018, the Health System had four unsecured lines of credit which totaled \$425,000. The interest is accrued at rates based on LIBOR. The amounts outstanding under these agreements are \$336,519 and \$311,519 as of August 31, 2019 and 2018, respectively.

Future Principal Payments

The aggregate required principal payments on all debt and other obligations, including capital leases, for each of the next five fiscal years, and thereafter to maturity, are as follows:

Year Ending August 31,	Debt and Other Obligations	Capital Leases	Total
2020	\$ 126,147	\$ 42,400	\$ 168,547
2021	179,699	67,048	246,747
2022	457,334	59,596	516,930
2023	154,382	54,312	208,694
2024	158,257	28,272	186,529
Thereafter	5,918,011	751,049	6,669,060
	<u>6,993,830</u>	<u>1,002,677</u>	<u>7,996,507</u>
Unamortized premiums and discounts, net	455,216	-	455,216
Unamortized deferred financing costs	(27,332)	-	(27,332)
Less: Imputed interest	-	(461,930)	(461,930)
	<u>\$ 7,421,714</u>	<u>\$ 540,747</u>	<u>\$ 7,962,461</u>

12. Professional Liabilities

NYU Langone Hospitals' professional liabilities are reported on a discounted basis and comprise estimates for known reported losses and loss expenses plus a provision for losses incurred but not reported. Losses are actuarially determined and are based on the loss experience of the insured. In management's opinion, recorded reserves for both self-insured and commercially insured exposures are adequate to cover the ultimate net cost of losses incurred to date; however, the provision is based on estimates and may ultimately be settled for a significantly greater or lesser amount.

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Professional liabilities consist of the following as of August 31, 2019 and 2018:

	2019	2018
CCC550 professional liabilities	\$ 545,628	\$ 453,472
Winthrop self-insured liabilities	67,590	70,201
Commercially insured liabilities	104,063	117,049
Professional liabilities	<u>\$ 717,281</u>	<u>\$ 640,722</u>

NYU Langone Hospitals is self-insured for professional and general liabilities on an occurrence basis through CCC550. Beginning July 1, 2017, Winthrop and certain of its physicians are also self-insured through CCC550. Prior to July 1, 2017, Winthrop was self-insured for professional liabilities and designated funds in a revocable trust for satisfaction of claims and expenses.

CCC550 provides insurance coverage to certain voluntary attending physicians (VAPs) serving NYUGSoM and NYU Langone Hospitals. The cost of this insurance coverage is the responsibility of such physicians.

Assets held for professional liabilities consist of the following at August 31, 2019 and 2018:

	2019	2018
Assets held by CCC550	\$ 609,708	\$ 467,206
Winthrop self-insurance trust	57,898	58,628
Assets held for professional liabilities	<u>\$ 667,606</u>	<u>\$ 525,834</u>

The following tables summarize the fair value of assets held for professional liabilities at August 31, 2019 and 2018 according to the asset categories defined in Note 5:

	2019			
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash and other	\$ 44,164	\$ -	\$ -	\$ 44,164
Public Equity	41,287	-	-	41,287
Fixed Income	11,254	570,901	-	582,155
Total assets held for professional liabilities	<u>\$ 96,705</u>	<u>\$ 570,901</u>	<u>\$ -</u>	<u>\$ 667,606</u>

	2018			
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash and other	\$ 25,889	\$ -	\$ -	\$ 25,889
Public Equity	43,559	-	-	43,559
Fixed Income	10,187	446,199	-	456,386
Total assets held for professional liabilities	<u>\$ 79,635</u>	<u>\$ 446,199</u>	<u>\$ -</u>	<u>\$ 525,834</u>

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Commercially insured liabilities primarily relate to policies purchased by NYU Langone Hospital-Brooklyn and Winthrop (for certain of its physicians) covering periods prior to October 1, 2016 and July 1, 2017, respectively. NYU Langone Hospitals recorded a corresponding insurance recovery receivable for claims covered by these policies within accounts and loans receivable, net on the consolidated balance sheet (Note 6).

In October 2018, NYU Langone Hospitals received cash and recorded income of \$102,421 resulting from the sale of Medical Liability Mutual Insurance Company (MLMIC) to National Indemnity Company, as subsidiary of Berkshire Hathaway. NYU Langone Hospital-Brooklyn and Winthrop were holders of various professional liability insurance policies from MLMIC and in order to complete the demutualization, policy holders received a payout of 1.9 times the amount paid in premiums during the three-year period leading up to July 2016, when the MLMIC board approved the sale. NYU Langone Hospitals recorded the income within program fees and other in the consolidated statement of activities for the year ended August 31, 2019.

13. Pension Plans and Other Postretirement Benefits

Pension Plans

Substantially all NYU employees are covered by retirement plans including various defined contribution plans, multi-employer defined benefit plans, and five NYU-sponsored benefit plans.

Defined Contribution Plans

Contributions to the defined contribution plans are based on rates required by union contracts or other contractual arrangements. Contributions of \$242,177 and \$210,328 in 2019 and 2018, respectively, are reported as expenses in the consolidated statements of activities. There is no obligation on the consolidated balance sheets for these plans.

Multi-Employer Defined Benefit Plans

Contributions to the multi-employer defined benefit plans are based on rates required by union contracts and other contractual arrangements. Contributions of \$203,087 and \$204,646 in 2019 and 2018, respectively, are reported as expenses in the consolidated statements of activities. There is no obligation on the consolidated balance sheets for these plans.

Defined Benefit Plans

Contributions to the five defined benefit plans are intended to provide benefits attributed to service to date, as well as for those expected to be earned in the future. Contributions are made in amounts sufficient to meet the minimum funding requirements set forth in the Employee Retirement Income Security Act of 1974 as amended under the Pension Protection Act of 2006 (ERISA), plus such additional amounts as the sponsors may deem appropriate. Pension benefits under these defined benefit plans are based on participants' final average compensation levels and years of service and are accrued during the period the employees provide service to NYU. Contributions of \$45,139 and \$58,003 in 2019 and 2018, respectively, are reported as a reduction in the accrued benefit obligation on the consolidated balance sheets for these plans.

Postretirement Benefits

NYU has three health and welfare plans that provide certain health care and life insurance benefits for eligible retired employees. NYU employees may become eligible for these benefits if they reach the age and service requirements of the plan while working for NYU. The costs related to these plans are accrued during the period the employees provide service to NYU. Contributions of \$25,933

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and \$24,624 in 2019 and 2018, respectively, are reported as a reduction in the accrued postretirement obligation on the consolidated balance sheets for these plans.

The following tables provide information with respect to the defined benefit and other postretirement benefit plans for the years ended August 31:

Plans' Funded Status

	Defined benefit pension plans		Postretirement benefit plans	
	2019	2018	2019	2018
Change in benefit obligation				
Benefit obligation, beginning of year	\$ 2,200,036	\$ 2,214,679	\$ 688,606	\$ 695,568
Service cost	47,145	50,447	20,560	18,979
Interest cost	88,483	77,972	26,932	25,124
Actuarial loss (gain)	421,417	(53,585)	121,043	(33,286)
Benefits paid	(80,337)	(73,445)	(25,319)	(24,423)
Benefits paid from Plan related to lump sum window	-	(15,182)	-	-
Participant contributions	-	-	4,813	5,225
Retiree drug subsidy receipts	-	-	1,281	1,419
Administrative expenses	(1,086)	(850)	-	-
Plan amendments	-	-	2,782	-
Benefit obligation, end of year	<u>2,675,658</u>	<u>2,200,036</u>	<u>840,698</u>	<u>688,606</u>
Change in fair value of plan assets				
Fair value of plan assets, beginning of year	1,747,549	1,647,121	146,657	126,118
Actual return on plan assets	79,652	116,720	3,536	13,694
Employer contributions	45,139	58,003	25,933	24,624
Employer contributions to Plan related to lump sum window	-	15,182	-	-
Benefits paid	(80,337)	(73,445)	(25,319)	(24,423)
Benefits paid from Plan related to lump sum window	-	(15,182)	-	-
Participant contributions	-	-	4,813	5,225
Retiree drug subsidy receipts	-	-	1,281	1,419
Administrative expenses	(1,086)	(850)	-	-
Fair value of plan assets, end of year	<u>1,790,917</u>	<u>1,747,549</u>	<u>156,901</u>	<u>146,657</u>
Accrued benefit obligation	<u>\$ 884,741</u>	<u>\$ 452,487</u>	<u>\$ 683,797</u>	<u>\$ 541,949</u>
Benefit obligation range of assumptions as of August 31				
Discount rate	3.08% - 3.25%	3.96% - 4.34%	3.09% - 3.15%	4.15% - 4.30%
Rate of increase in compensation levels	2.91% - 3.50%	2.92% - 4.00%	-	-

In 2018, the University offered terminated vested participants in its defined benefit pension plan the opportunity to have their pension benefit distributed as a lump sum. The University contributed an additional \$15,182 to the plan to fund the lump sum payments.

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Net Periodic Benefit Cost

	Defined Benefit Pension Plans		Postretirement Benefit Plans	
	2019	2018	2019	2018
Components of net periodic benefit cost				
Operating expense				
Service cost in salary and fringe	\$ 47,145	\$ 50,447	\$ 20,560	\$ 18,979
Nonoperating expense:				
Interest cost	88,483	77,972	26,932	25,124
Expected return on plan assets	(122,332)	(115,222)	(8,870)	(7,633)
Amortization of prior service cost (credit)	2	2	(531)	(1,322)
Amortization of actuarial loss	14,234	22,322	660	4,036
Total non-service costs	(19,613)	(14,926)	18,191	20,205
Net periodic benefit cost	\$ 27,532	\$ 35,521	\$ 38,751	\$ 39,184
Other changes recognized in net assets without donor restrictions				
Actuarial net gain arising during period	\$ 464,093	\$ (55,075)	\$ 126,373	\$ (39,378)
Amortization of prior service (cost) credit	(2)	(2)	3,313	1,322
Amortization of actuarial loss	(14,234)	(22,322)	(660)	(4,036)
Total recognized in nonoperating activities	\$ 449,857	\$ (77,399)	\$ 129,026	\$ (42,092)
Net periodic benefit cost range of assumptions				
Discount rate	3.83% - 4.34%	3.37% - 4.15%	3.20% - 4.20%	3.61% - 4.03%
Rate of increase in compensation levels	2.92% - 3.50%	3.00% - 4.00%	-	-
Expected long-term rate of return on plan assets	6.00% - 7.75%	6.00% - 7.75%	6.00% - 7.00%	6.00% - 7.00%
Initial healthcare cost trend	-	-	5.25% - 7.25%	5.50% - 7.50%
Ultimate retiree health-care cost trend	-	-	4.50%	4.50%
Year ultimate trend rate is achieved	-	-	2024-2031	2024-2038

The accumulated benefit obligation for the defined benefit pension plans is \$2,487,685 and \$2,065,215 at August 31, 2019 and 2018, respectively.

Amounts not yet reflected in net periodic benefit cost and included in net assets without donor restrictions for the defined benefit pension plans totaled \$684,236 and \$234,380 for the years ended August 31, 2019 and 2018, respectively. Amounts not yet reflected in net periodic benefit cost and included in net assets without donor restrictions for the postretirement benefit plans totaled \$207,900 and \$78,874 for the years ended August 31, 2019 and 2018, respectively.

Amounts in net assets without donor restrictions expected to be recognized in net periodic benefit cost in the next fiscal year for the defined benefit pension plans totaled \$42,920 and \$14,234 for the years ended August 31, 2019 and 2018, respectively. Amounts in net assets without donor restrictions expected to be recognized in net periodic benefit cost in the next fiscal year for the postretirement benefits plans totaled \$10,942 and \$525 for the years ended August 31, 2019 and 2018, respectively.

In 2019 and 2018, the effect of a 1% change in the health care cost trend rate is as follows:

	2019		2018	
	1% Increase	1% Decrease	1% Increase	1% Decrease
Effect on net periodic benefit cost	\$ 5,392	\$ (4,298)	\$ 5,742	\$ (4,556)
Effect on postretirement benefit obligation	109,763	(87,533)	92,078	(75,241)

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Plan Assets

The following table presents the fair value of the defined benefit plan investments at August 31, 2019 and 2018 according to the asset categories defined in Note 5:

2019				
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash equivalents	\$ 24,154	\$ -	\$ -	\$ 24,154
Fixed income	550,071	153,324	-	703,395
Public equity	955,737	-	-	955,737
Real estate	30,328	541	-	30,869
	<u>\$ 1,560,290</u>	<u>\$ 153,865</u>	<u>\$ -</u>	<u>1,714,155</u>
Alternative investments measured at NAV as a practical expedient				<u>76,762</u>
Total				<u>\$ 1,790,917</u>

2018				
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash equivalents	\$ 11,934	\$ -	\$ -	\$ 11,934
Fixed income	465,891	101,952	-	567,843
Public equity	861,441	-	-	861,441
Real estate	212,153	478	-	212,631
	<u>\$ 1,551,419</u>	<u>\$ 102,430</u>	<u>\$ -</u>	<u>1,653,849</u>
Alternative investments measured at NAV as a practical expedient				<u>93,700</u>
Total				<u>\$ 1,747,549</u>

The defined benefit pension assets seek to: (1) provide retirement benefits to its participants and beneficiaries; and (2) achieve full funding of the pension liability, while incurring an acceptable level of risk manageable for the sponsor. The pension liability growth rate together with the objective to achieve and maintain a fully-funded 100% level over a reasonable timeline implies a minimum absolute rate of return to be met through either: (1) annual budgeted contributions, (2) pension assets growth, (3) plan de-risking improvements, or (4) a combination thereof.

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The strategy for achieving and maintaining a fully funded pension liability may vary with the prevailing funded level and other parameters related to the overall goal. The asset allocation process is designed to be dynamic and employ a liability-driven, glide path investment strategy, which reframes risk and performance relative to the pension liability. This approach is expected to enable pension assets to more reliably track the value of the pension liability, with less funded level volatility, than a static total-return investment. Broad target allocations at the current funded level are 55-75% return-seeking assets, such as equity and real estate (REIT) funds, and 25-45% liability-hedging assets, such as fixed income funds. The expected long-term rate of return assumption is determined by adding expected inflation to expected long-term real returns of various asset classes, weighing the asset class returns by the plans' investment in each class, and taking into account expected volatility and correlation between the returns of various asset classes. Working with our actuary, NYU management believes 6.0% - 7.75% is a reasonable estimate of long-term rates of return on plan assets for 2019 and will continue to evaluate the actuarial assumptions, and adjust them as necessary.

The following table presents the fair value of the postretirement benefit plan investments at August 31, 2019 and 2018 according to the asset categories defined in Note 5:

2019				
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash equivalents	\$ 452	\$ -	\$ -	\$ 452
Fixed income	41,582	17,911	-	59,493
Public equity	96,956	-	-	96,956
Total	<u>\$ 138,990</u>	<u>\$ 17,911</u>	<u>\$ -</u>	<u>\$ 156,901</u>
2018				
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
Cash equivalents	\$ 133	\$ -	\$ -	\$ 133
Fixed income	37,458	21,872	-	59,330
Public equity	87,194	-	-	87,194
Total	<u>\$ 124,785</u>	<u>\$ 21,872</u>	<u>\$ -</u>	<u>\$ 146,657</u>

The plans' investment objectives seek a long-term total rate of return to meet NYU's current and future plan obligations.

The post-retirement benefit plan target asset allocation mix is 70% equity and 30% fixed income and cash, for which each asset class has a permitted range of +/- 10%.

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The expected long-term rate of return assumption is determined by adding expected inflation to expected long-term real returns of various asset classes, taking into account expected volatility and correlation between the returns of various asset classes. NYU management believes that 6.0%-7.0% is a reasonable range of long-term rates of return on plan assets for 2019 and will continue to evaluate the actuarial assumptions, and adjust them as necessary.

Contributions

Annual contributions to the plans are determined by NYU based upon calculations prepared by the plans' actuaries. Total expected contributions for the defined benefit pension plans and other postretirement benefit plans in fiscal year 2020 are \$101,619 and \$26,898, respectively.

Benefit Payments

The following benefit payments, which reflect expected future service, as appropriate, are expected to be paid in the following years:

Year Ending August 31,	Defined Benefit Pension Plans	Postretirement Benefit Plans
2020	\$ 86,150	\$ 25,040
2021	91,111	27,199
2022	96,160	29,608
2023	102,197	32,428
2024	108,187	34,884
2025-2029	621,117	209,889

Multi-Employer Benefit Plans

NYU participates in multi-employer defined benefit pension plans. NYU makes cash contributions to these plans under the terms of collective-bargaining agreements that cover its union employees based on a fixed rate and hours worked per week by the covered employees. The risks of participating in these multi-employer plans are different from other single-employer plans in the following aspects: (1) assets contributed to the multi-employer plan by one employer may be used to provide benefits to employees of other participating employers; (2) if a participating employer stops contributing to the plan, the unfunded obligations of the plan may be borne by the remaining participating employers; and (3) if NYU chooses to stop participating in some of its multi-employer plans, NYU may be required to pay those plans an amount based on the underfunded status of the plan, referred to as a withdrawal liability.

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NYU's contributions to the following multi-employer defined benefit pension and postretirement plans are reported as salary and fringe expenses in the consolidated statements of activities for the years ended August 31, 2019 and 2018:

	2019	2018
1199 SEIU Health Care Employees Health & Welfare Fund	\$ 120,927	\$ 135,902
1199 SEIU Health Care Employees Pension Fund	54,723	44,776
United Federation of Teachers Welfare Fund	19,171	15,980
Local 810 United Wire, Metal & Machine Health & Welfare Fund	4,607	4,344
Local 810 United Wire, Metal & Machine Pension Fund	3,318	3,317
Local 30 Pension Fund	287	273
Local 153 Pension Fund	54	54
	<u>\$ 203,087</u>	<u>\$ 204,646</u>

The Pension Protection Act (PPA) zone status indicates the plan's funded status of either at least 80% funded (green) or less than 80% funded (yellow or red). A zone status of red requires the plan sponsor to implement a Funding Improvement Plan (FIP) or Rehabilitation Plan (RP). The following table includes information for related pension funds:

Pension Plan Name	EIN/Pension Plan Number	Pension Protection Act Zone Status		FIP/RP Status Pending/ Implemented	Surcharge Imposed	Expiration Date of Collective-Bargaining Agreement
		2019	2018			
1199 Pension Fund	13-3604862	Green	Green	N/A	No	September 2021
Local 810 United Wire Pension Fund	13-6596940	Yellow	Red	Yes	Yes	June 2024
Local 153 Pension Fund	13-2864289	Red	Red	Yes	N/A	December 2020
Local 30 Pension Fund	51-6045848	Green	Green	N/A	No	June 2021

NYU's contributions to the 1199 Pension Fund and the Local 810 United Wire Pension Fund represent greater than 5% of total plan contributions. NYU is in withdrawal status for the Local 153 Pension Fund with quarterly withdrawal payments continuing through 2036.

14. Hospital Affiliations

NYUGSoM has three affiliation agreements with the New York City Health and Hospitals Corporation to provide general care and mental health services. The three agreements are with Woodhull Medical and Mental Health Center and Cumberland Diagnostic and Treatment Center, Bellevue Hospital Center and Gouverneur Healthcare Services, and Coler Rehabilitation and Nursing Care Center and Henry J Carter Specialty Hospital and Nursing Facility and are effective from July 1, 2015 through June 30, 2020. NYUGSoM recognized revenues from these affiliation agreements of \$319,490 and \$314,345 for the years ended August 31, 2019 and 2018, respectively.

NYU Langone Hospitals has several clinical affiliation agreements with New York City area hospitals where physicians provide patient care and supervision of residents at affiliated organizations. NYU Langone Hospitals also maintains an affiliation agreement with Sunset Park Health Council, Inc., a New York not-for-profit corporation, d/b/a Family Health Centers at NYU Langone (FHC). NYU Langone Hospitals recognized revenue from these affiliation agreements of \$27,169 and \$28,390 for the years ended August 31, 2019 and 2018, respectively.

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15. Functional Classification of Expenses

NYU's primary program services are instruction, research and patient care. NYU's additional program services are hospital affiliation, libraries support, student services and auxiliary enterprises. Expenses reported as institutional services are incurred in support of one or more of NYU's program services. Natural expenses attributed to more than one functional expense category are allocated using a variety of cost allocation techniques such as square footage and time and effort.

Expenses by function classification for the years ended August 31, 2019 and 2018 consist of the following:

2019									
	Instruction and Other Academic Programs	Research and Other Sponsored Programs	Patient Care	Hospital Affiliation	Libraries Support	Student Services	Auxiliary Enterprises	Institutional Services	Total
Salary and fringe	\$ 1,283,020	\$ 495,394	\$ 4,197,813	\$ 305,096	\$ 42,882	\$ 92,242	\$ 114,435	\$ 771,576	\$ 7,302,458
Medical and pharmaceutical costs	91	1,389	1,070,073	-	-	4	260	3,947	1,075,764
Professional services	127,912	28,480	252,999	4,606	4,199	18,826	72,678	179,162	688,862
Facilities costs	119,554	141,783	158,447	36	4,829	11,241	175,478	252,784	864,152
Fees, insurance and taxes	5,631	360	146,024	8	178	1,429	15,450	190,581	359,661
Depreciation and amortization expense	78,579	27,209	352,180	-	6,391	13,094	99,307	223,986	800,746
Interest expense	99,245	5,980	96,832	-	1,208	3,281	39,110	68,093	313,749
Other	222,183	163,450	321,843	1,149	38,132	28,487	17,473	166,837	959,554
	<u>\$ 1,936,215</u>	<u>\$ 864,045</u>	<u>\$ 6,596,211</u>	<u>\$ 310,895</u>	<u>\$ 97,819</u>	<u>\$ 168,604</u>	<u>\$ 534,191</u>	<u>\$ 1,856,966</u>	<u>\$ 12,364,946</u>
University	\$ 1,876,390	\$ 269,242	\$ 63,540	\$ -	\$ 89,725	\$ 159,013	\$ 461,988	\$ 542,539	\$ 3,462,437
NYU Langone Health	59,825	594,803	6,532,671	310,895	8,094	9,591	76,797	1,320,395	8,913,071
	<u>\$ 1,936,215</u>	<u>\$ 864,045</u>	<u>\$ 6,596,211</u>	<u>\$ 310,895</u>	<u>\$ 97,819</u>	<u>\$ 168,604</u>	<u>\$ 538,785</u>	<u>\$ 1,862,934</u>	<u>12,375,508</u>
								Eliminations	(10,562)
									<u>\$ 12,364,946</u>

2018									
	Instruction and Other Academic Programs	Research and Other Sponsored Programs	Patient Care	Hospital Affiliation	Libraries Support	Student Services	Auxiliary Enterprises	Institutional Services	Total
Salary and fringe	\$ 1,209,507	\$ 486,422	\$ 3,867,388	\$ 289,225	\$ 41,181	\$ 88,792	\$ 118,570	\$ 760,717	\$ 6,861,802
Medical and pharmaceutical costs	55	1,565	913,669	3	-	13	248	5,668	921,221
Professional services	107,035	30,587	210,002	3,324	3,665	18,354	70,690	238,363	682,020
Facilities costs	103,488	143,805	127,406	13	4,553	11,926	188,328	155,286	734,805
Fees, insurance and taxes	5,523	575	165,449	10	191	1,491	15,897	138,765	327,901
Depreciation and amortization expense	64,024	35,757	272,340	-	6,601	14,841	145,397	179,349	718,309
Interest expense	67,774	11,371	82,803	-	859	3,444	49,111	32,835	248,197
Other	215,439	161,502	310,624	1,387	36,509	28,524	30,414	266,304	1,050,703
	<u>\$ 1,772,845</u>	<u>\$ 871,584</u>	<u>\$ 5,949,681</u>	<u>\$ 293,962</u>	<u>\$ 93,559</u>	<u>\$ 167,385</u>	<u>\$ 618,655</u>	<u>\$ 1,777,287</u>	<u>\$ 11,544,958</u>
University	\$ 1,717,992	\$ 247,303	\$ 69,712	\$ -	\$ 84,872	\$ 157,609	\$ 464,123	\$ 545,845	\$ 3,287,456
NYU Langone Health	54,853	624,281	5,879,969	293,962	8,687	9,776	159,642	1,236,627	8,267,797
	<u>\$ 1,772,845</u>	<u>\$ 871,584</u>	<u>\$ 5,949,681</u>	<u>\$ 293,962</u>	<u>\$ 93,559</u>	<u>\$ 167,385</u>	<u>\$ 623,765</u>	<u>\$ 1,782,472</u>	<u>11,555,253</u>
								Eliminations	(10,295)
									<u>\$ 11,544,958</u>

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16. Components of Net Assets With Donor Restrictions

Net assets with donor restrictions are available for the following purposes at August 31, 2019 and 2018:

	2019	2018
Scholarships and fellowships	\$ 1,129,083	\$ 1,069,612
Contributions and earnings for operating purposes	1,049,627	976,956
Faculty and staff salaries	787,279	828,999
Program support	527,347	491,314
FEMA award for mitigation	73,564	117,247
Annuity trust agreements	34,899	37,063
Contributions for buildings and equipment	29,393	24,086
Other	97,954	84,554
Total net assets with donor restrictions	<u>\$ 3,729,146</u>	<u>\$ 3,629,831</u>

NYU's investment pools include individual endowed funds established for a variety of purposes. Pooled assets include both donor restricted endowment funds and funds designated by the board to function as endowments.

NYU classifies as net assets with donor restrictions the historical value of donor-restricted endowment funds, which includes: (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment required by the applicable donor gift instrument. Also included in net assets with donor restrictions is accumulated unspent earnings on donor restricted endowment funds which are available for expenditure in a manner consistent with the standard of prudence described by NYPMIFA, and deficiencies associated with funds where the value of the fund has fallen below the original value of the gift. The historical value of NYU's donor-restricted endowment funds totaled \$2,183,087 and \$2,097,385 at August 31, 2019 and 2018, respectively.

NYU defines the appropriation of endowment net assets for expenditure as the authorization of its investment spending rate as approved annually by the Board of Trustees (Note 5). However, when donors have expressly stipulated the payout percentage of earnings on endowments that differs from NYU policies, the donors' intent prevails. In making a determination to appropriate or accumulate, NYU adheres to the standard of prudence prescribed by New York Prudent Management of Institutional Funds Act (NYPMIFA) and considers the following factors: the duration and preservation of the endowment fund; NYU's mission and the purpose of the endowment fund; general economic conditions; the possible effect of inflation or deflation; the expected total return from income and the appreciation of investments; other resources of NYU; where appropriate and circumstances would otherwise warrant, alternatives to expenditures of the endowment fund giving due consideration to the effect that such alternatives may have on NYU; and the investment policy of NYU.

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From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level that the donor required to be retained as a fund of perpetual duration. Deficiencies of this nature are reported in net assets with donor restrictions. As of August 31, 2019 and 2018, funds with an original gift value of \$12,283 and \$4,265 were underwater by \$405 and \$221, respectively.

The following table represents the net asset classes of NYU's endowment funds as of August 31:

	2019		
	Without Donor Restrictions	With Donor Restrictions	Total
Donor-restricted endowment	\$ -	\$ 2,882,449	\$ 2,882,449
Board-designated endowment	1,442,772		1,442,772
Underwater endowment (27 funds)	-	(405)	(405)
	<u>\$ 1,442,772</u>	<u>\$ 2,882,044</u>	<u>\$ 4,324,816</u>

	2018		
	Without Donor Restrictions	With Donor Restrictions	Total
Donor-restricted endowment	\$ -	\$ 2,787,614	\$ 2,787,614
Board-designated endowment	1,462,105	-	1,462,105
Underwater endowment (13 funds)	-	(221)	(221)
	<u>\$ 1,462,105</u>	<u>\$ 2,787,393</u>	<u>\$ 4,249,498</u>

The following table provides the changes in the net asset classes of NYU's endowment funds at August 31:

	2019		
	Without Donor Restrictions	With Donor Restrictions	Total
Investment pool net assets, beginning of year	\$ 1,462,105	\$ 2,787,393	\$ 4,249,498
Contributions	68,429	85,701	154,130
Investment pool return	27,569	76,791	104,360
Endowment distribution	(58,795)	(113,837)	(172,632)
Liquidations	(10,540)	-	(10,540)
Reclassification of net assets	(45,996)	45,996	-
Investment pool net assets, end of year	<u>\$ 1,442,772</u>	<u>\$ 2,882,044</u>	<u>\$ 4,324,816</u>

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	2018		
	Without Donor Restrictions	With Donor Restrictions	Total
Investment pool net assets, beginning of year	\$ 1,506,867	\$ 2,594,268	\$ 4,101,135
Contributions	50,725	129,030	179,755
Investment pool return	108,893	202,157	311,050
Endowment distribution	(62,110)	(107,039)	(169,149)
Liquidations	(151,183)	-	(151,183)
Reclassification of net assets	8,913	(31,023)	(22,110)
Investment pool net assets, end of year	<u>\$ 1,462,105</u>	<u>\$ 2,787,393</u>	<u>\$ 4,249,498</u>

17. Commitments and Contingencies

In the normal course of business, NYU leases facilities under operating leases. Minimum rental payments under these agreements over the next five years and thereafter are as follows:

Year Ending August 31,

2020	\$ 326,171
2021	306,362
2022	278,787
2023	262,565
2024	253,611
Thereafter	2,648,048

Rent expense is \$371,076 and \$315,055 for the years ended August 31, 2019 and 2018, respectively.

The University entered into a capital lease for a four story office building, with a 32 year term, commencing in November 2019. Future lease payments under this capital lease total \$285,596.

NYU Langone Hospitals provides emergency department ("ED") services at the site of the former Long Island College Hospital ED pursuant to an agreement with the State University of New York ("SUNY") and a real estate development company (the "Company"). Pursuant to the agreement with SUNY and the Company, following demolition and remediation of adjacent premises, SUNY will deed the cleared site to Langone Hospitals at no cost and Langone Hospitals will construct on the site a four-story medical services building including a freestanding ED and other medical services. As of August 31, 2019, demolition is substantially complete and Langone Hospitals expects the property transfer to occur in 2020 and anticipates that significant construction will begin thereafter.

New York University
Notes to Consolidated Financial Statements
August 31, 2019 and 2018

(in thousands of dollars)

NYU, with the exception of Winthrop, which is fully insured, is self-insured for workers' compensation. The University purchases an excess workers' compensation insurance policy with a retention of \$500 per claim. In connection with being self-insured, the University has maintained a surety bond in the amount of \$11,749 at August 31, 2019 and 2018. Additionally, NYU Langone Health has maintained stand-by letters of credit aggregating approximately \$45,674 and \$46,247 at August 31, 2019 and 2018, respectively.

NYU is a defendant in various legal actions arising from the normal course of its operations and amounts expended under government grants and contracts are subject to audit by governmental agencies. In addition, amounts received for patient care from Medicare and Medicaid are subject to audit. Although the final outcome of such actions and audits cannot be determined, management believes that eventual liability, if any, will not have a material effect on NYU's consolidated balance sheet.

18. Subsequent Events

NYU performed an evaluation of subsequent events through December 13, 2019, which is the date the consolidated financial statements were issued.

Events Subsequent to Original Issuance of Financial Statements (Unaudited)

In connection with the reissuance of the consolidated financial statements related to additional reporting subsequent to December 13, 2019, NYU has evaluated subsequent events through March 10, 2020, the date the consolidated financial statements were available to be reissued.

On December 19, 2019, NYU Langone Hospitals entered into a 35-year lease of a building with 265,449 rentable square feet, which is expected to be available for occupancy in 2020. The estimated present value of the lease liability to be recorded under this agreement is approximately \$170,245.

On February 4, 2020, NYU Langone Hospitals' Obligated Group issued \$551,025 of taxable bonds (Series 2020B). The Series 2020B bonds are payable at dates ranging from August 2020 to final maturity in August 2055 at a fixed rate of 3.38%. The proceeds from the Series 2020B bonds will be used to advance refund portions of the outstanding Obligated Group Series 2012 bonds as well as other short-term obligations and for general operating purposes.

On February 11, 2020, DASNY issued \$466,305 of tax-exempt revenue bonds (Series 2020A) on behalf of NYU Langone Hospitals' Obligated Group. The Series 2020A bonds are payable at varying dates through July 2053 at rates varying from 3.0% to 4.0%. The 2020A revenue bonds will be used to fund various construction and renovation projects.

Appendix A
Supplemental Schedules to the Consolidated Financial Statements

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Balance Sheet for NYU - Summary)
August 31, 2019

	2019			
(in thousands of dollars)	University	NYU Langone Health	Eliminations	Consolidated NYU
Assets				
Cash and cash equivalents	\$ 1,123,820	\$ 829,360	\$ -	\$ 1,953,180
Short-term investments (Note 5)	4,303	-	-	4,303
Accounts and loans receivable, net (Note 6)	400,641	415,513	(101,794)	714,360
Patient accounts receivable, net (Note 4)	9,281	963,904	-	973,185
Contributions receivable, net (Note 7)	294,918	181,773	-	476,691
Other assets (Note 8)	231,844	732,069	-	963,913
Deposits with trustees (Note 10)	871,879	11,548	-	883,427
Long-term investments (Note 5)	3,330,224	1,658,391	-	4,988,615
Assets held for professional liabilities (Note 12)	-	667,606	-	667,606
Land, buildings, and equipment, net (Note 9)	4,132,150	7,391,729	-	11,523,879
Total assets	<u>\$ 10,399,060</u>	<u>\$ 12,851,893</u>	<u>\$ (101,794)</u>	<u>\$ 23,149,159</u>
Liabilities and Net Assets				
Liabilities				
Accounts payable and accrued expenses	\$ 385,032	\$ 1,834,669	\$ (101,794)	\$ 2,117,907
Deferred revenue	871,230	197,206	-	1,068,436
Professional liabilities (Note 12)	-	717,281	-	717,281
Debt and other obligations (Note 11)	4,083,765	3,878,696	-	7,962,461
Funds held for others (Notes 6 and 8)	153,137	222,572	-	375,709
Accrued benefit obligation (Note 13)	78,453	806,288	-	884,741
Accrued postretirement obligation (Note 13)	440,351	243,446	-	683,797
Asset retirement obligation	178,969	99,891	-	278,860
Total liabilities	<u>6,190,937</u>	<u>8,000,049</u>	<u>(101,794)</u>	<u>14,089,192</u>
Net assets				
Without donor restrictions	1,630,954	3,699,867	-	5,330,821
With donor restrictions (Note 16)	2,577,169	1,151,977	-	3,729,146
Total net assets	<u>4,208,123</u>	<u>4,851,844</u>	<u>-</u>	<u>9,059,967</u>
Total liabilities and net assets	<u>\$ 10,399,060</u>	<u>\$ 12,851,893</u>	<u>\$ (101,794)</u>	<u>\$ 23,149,159</u>

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Balance Sheet for NYU - Summary)
August 31, 2018

	2018			
(in thousands of dollars)	University	NYU Langone Health	Eliminations	Consolidated NYU
Assets				
Cash and cash equivalents	\$ 1,008,398	\$ 478,672	\$ -	\$ 1,487,070
Short-term investments (Note 5)	1,870	-	-	1,870
Accounts and loans receivable, net (Note 6)	399,694	432,547	(109,244)	722,997
Patient accounts receivable, net (Note 4)	9,173	886,340	-	895,513
Contributions receivable, net (Note 7)	275,513	182,837	-	458,350
Other assets (Note 8)	235,688	714,090	-	949,778
Deposits with trustees (Note 10)	463,832	10,336	-	474,168
Long-term investments (Note 5)	3,273,725	1,607,617	-	4,881,342
Assets held for professional liabilities (Note 12)	-	525,834	-	525,834
Land, buildings, and equipment, net (Note 9)	3,880,529	7,050,651	-	10,931,180
Total assets	<u>\$ 9,548,422</u>	<u>\$ 11,888,924</u>	<u>\$ (109,244)</u>	<u>\$ 21,328,102</u>
Liabilities and Net Assets				
Liabilities				
Accounts payable and accrued expenses	\$ 328,044	\$ 1,731,316	\$ (109,244)	\$ 1,950,116
Deferred revenue	840,531	133,124	-	973,655
Professional liabilities (Note 12)	-	640,722	-	640,722
Debt and other obligations (Note 11)	3,397,411	3,726,497	-	7,123,908
Funds held for others (Notes 6 and 8)	147,306	197,319	-	344,625
Accrued benefit obligation (Note 13)	36,267	416,220	-	452,487
Accrued postretirement obligation (Note 13)	359,923	182,026	-	541,949
Asset retirement obligation	174,588	81,730	-	256,318
Total liabilities	<u>5,284,070</u>	<u>7,108,954</u>	<u>(109,244)</u>	<u>12,283,780</u>
Net assets				
Without donor restrictions	1,799,122	3,615,590	-	5,414,712
With donor restrictions (Note 16)	2,465,230	1,164,380	-	3,629,610
Total net assets	<u>4,264,352</u>	<u>4,779,970</u>	<u>-</u>	<u>9,044,322</u>
Total liabilities and net assets	<u>\$ 9,548,422</u>	<u>\$ 11,888,924</u>	<u>\$ (109,244)</u>	<u>\$ 21,328,102</u>

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Balance Sheet for NYU - Detail)
August 31, 2019

	2019						
<i>(in thousands of dollars)</i>	University	NYUGSoM	Eliminations	Subtotal	Health System	Eliminations	Total Consolidated NYU
Assets							
Cash and cash equivalents	\$ 1,123,820	\$ 36,229	\$ -	\$ 1,160,049	\$ 793,131	\$ -	\$ 1,953,180
Short-term investments (Note 5)	4,303	-	-	4,303	-	-	4,303
Accounts and loans receivable, net (Note 6)	400,641	185,461	(89,029)	497,073	262,121	(44,834)	714,360
Patient accounts receivable, net (Note 4)	9,281	155,718	-	164,999	808,186	-	973,185
Contributions receivable, net (Note 7)	294,918	135,429	-	430,347	46,344	-	476,691
Other assets (Note 8)	231,844	264,721	-	496,565	467,348	-	963,913
Deposits with trustees (Note 10)	871,879	-	-	871,879	11,548	-	883,427
Long-term investments (Note 5)	3,330,224	921,083	-	4,251,307	737,308	-	4,988,615
Assets held for professional liabilities (Note 12)	-	-	-	-	667,606	-	667,606
Land, buildings, and equipment, net (Note 9)	4,132,150	2,745,753	-	6,877,903	4,645,976	-	11,523,879
Total assets	<u>\$ 10,399,060</u>	<u>\$ 4,444,394</u>	<u>\$ (89,029)</u>	<u>\$ 14,754,425</u>	<u>\$ 8,439,568</u>	<u>\$ (44,834)</u>	<u>\$ 23,149,159</u>
Liabilities and Net Assets							
Liabilities							
Accounts payable and accrued expenses	\$ 385,032	\$ 798,497	\$ (89,029)	\$ 1,094,500	\$ 1,068,241	\$ (44,834)	\$ 2,117,907
Deferred revenue	871,230	39,490	-	910,720	157,716	-	1,068,436
Professional liabilities (Note 12)	-	-	-	-	717,281	-	717,281
Debt and other obligations (Note 11)	4,083,765	1,390,397	-	5,474,162	2,488,299	-	7,962,461
Funds held for others (Notes 6 and 8)	153,137	171,985	-	325,122	50,587	-	375,709
Accrued benefit obligation (Note 13)	78,453	70,340	-	148,793	735,948	-	884,741
Accrued postretirement obligation (Note 13)	440,351	140,329	-	580,680	103,117	-	683,797
Asset retirement obligation	178,969	41,912	-	220,881	57,979	-	278,860
Total liabilities	<u>6,190,937</u>	<u>2,652,950</u>	<u>(89,029)</u>	<u>8,754,858</u>	<u>5,379,168</u>	<u>(44,834)</u>	<u>14,089,192</u>
Net assets							
Without donor restrictions	1,630,954	746,633	-	2,377,587	2,953,234	-	5,330,821
With donor restrictions (Note 16)	2,577,169	1,044,811	-	3,621,980	107,166	-	3,729,146
Total net assets	<u>4,208,123</u>	<u>1,791,444</u>	<u>-</u>	<u>5,999,567</u>	<u>3,060,400</u>	<u>-</u>	<u>9,059,967</u>
Total liabilities and net assets	<u>\$ 10,399,060</u>	<u>\$ 4,444,394</u>	<u>\$ (89,029)</u>	<u>\$ 14,754,425</u>	<u>\$ 8,439,568</u>	<u>\$ (44,834)</u>	<u>\$ 23,149,159</u>

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Balance Sheet for NYU - Detail)
August 31, 2018

	2018						
<i>(in thousands of dollars)</i>	University	NYUGSoM	Eliminations	Subtotal	Health System	Eliminations	Total Consolidated NYU
Assets							
Cash and cash equivalents	\$ 1,008,398	\$ 68,643	\$ -	\$ 1,077,041	\$ 410,029	\$ -	\$ 1,487,070
Short-term investments (Note 5)	1,870	-	-	1,870	-	-	1,870
Accounts and loans receivable, net (Note 6)	399,694	222,917	(101,241)	521,370	241,493	(39,866)	722,997
Patient accounts receivable, net (Note 4)	9,173	120,436	-	129,609	765,904	-	895,513
Contributions receivable, net (Note 7)	275,513	101,964	-	377,477	80,873	-	458,350
Other assets (Note 8)	235,688	234,584	-	470,272	479,506	-	949,778
Deposits with trustees (Note 10)	463,832	-	-	463,832	10,336	-	474,168
Long-term investments (Note 5)	3,273,725	977,525	-	4,251,250	630,092	-	4,881,342
Assets held for professional liabilities (Note 12)	-	-	-	-	525,834	-	525,834
Land, buildings, and equipment, net (Note 9)	3,880,529	2,490,158	-	6,370,687	4,560,493	-	10,931,180
Total assets	<u>\$ 9,548,422</u>	<u>\$ 4,216,227</u>	<u>\$ (101,241)</u>	<u>\$ 13,663,408</u>	<u>\$ 7,704,560</u>	<u>\$ (39,866)</u>	<u>\$ 21,328,102</u>
Liabilities and Net Assets							
Liabilities							
Accounts payable and accrued expenses	\$ 328,044	\$ 769,409	\$ (101,241)	\$ 996,212	\$ 993,770	\$ (39,866)	\$ 1,950,116
Deferred revenue	840,531	32,462	-	872,993	100,662	-	973,655
Professional liabilities (Note 12)	-	-	-	-	640,722	-	640,722
Debt and other obligations (Note 11)	3,397,411	1,210,800	-	4,608,211	2,515,697	-	7,123,908
Funds held for others (Notes 6 and 8)	147,306	147,938	-	295,244	49,381	-	344,625
Accrued benefit obligation (Note 13)	36,267	31,716	-	67,983	384,504	-	452,487
Accrued postretirement obligation (Note 13)	359,923	100,211	-	460,134	81,815	-	541,949
Asset retirement obligation	174,588	39,228	-	213,816	42,502	-	256,318
Total liabilities	<u>5,284,070</u>	<u>2,331,764</u>	<u>(101,241)</u>	<u>7,514,593</u>	<u>4,809,053</u>	<u>(39,866)</u>	<u>12,283,780</u>
Net assets							
Without donor restrictions	1,799,122	864,810	-	2,663,932	2,750,780	-	5,414,712
With donor restrictions (Note 16)	2,465,230	1,019,653	-	3,484,883	144,727	-	3,629,610
Total net assets	<u>4,264,352</u>	<u>1,884,463</u>	<u>-</u>	<u>6,148,815</u>	<u>2,895,507</u>	<u>-</u>	<u>9,044,322</u>
Total liabilities and net assets	<u>\$ 9,548,422</u>	<u>\$ 4,216,227</u>	<u>\$ (101,241)</u>	<u>\$ 13,663,408</u>	<u>\$ 7,704,560</u>	<u>\$ (39,866)</u>	<u>\$ 21,328,102</u>

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Activities for NYU - Summary)
Year Ended August 31, 2019

	2019			Consolidated NYU
	University	NYU Langone Health	Eliminations	
(in thousands of dollars)				
Changes in net assets without donor restrictions				
Operating revenues				
Tuition and fees (net of financial aid awards of \$648,295 University; \$25,315 NYU Langone Health)	\$ 1,984,513	\$ 37,592	\$ -	\$ 2,022,105
Grants and contracts (Note 2)	597,877	461,141	-	1,059,018
Patient care (Note 4)	55,101	7,735,258	-	7,790,359
Hospital affiliations (Note 14)	-	346,659	-	346,659
Insurance premiums earned	-	97,117	-	97,117
Contributions	79,246	45,558	-	124,804
Endowment distribution (Note 5)	131,805	40,827	-	172,632
Return on short-term investments (Note 5)	30,154	6,429	-	36,583
Auxiliary enterprises (net of financial aid awards of \$59,928)	388,251	71,924	(4,594)	455,581
Program fees and other	115,204	380,737	(5,968)	489,973
Net assets released from restrictions	97,030	102,586	-	199,616
Total operating revenues	3,479,181	9,325,828	(10,562)	12,794,447
Expenses (Note 15)				
Salaries and fringe	1,919,230	5,383,228	-	7,302,458
Medical and pharmaceutical costs	-	1,075,764	-	1,075,764
Professional services	285,849	403,013	-	688,862
Facilities costs	376,252	492,494	(4,594)	864,152
Fees, insurance and taxes	45,397	314,264	-	359,661
Depreciation and amortization	263,094	537,652	-	800,746
Interest	152,673	161,076	-	313,749
Other	419,942	545,580	(5,968)	959,554
Total expenses	3,462,437	8,913,071	(10,562)	12,364,946
Excess of operating revenues over expenses	16,744	412,757	-	429,501
Nonoperating activities				
Investment return (Note 5)	34,997	68,653	-	103,650
Appropriation of endowment distribution (Note 5)	(46,862)	(12,287)	-	(59,149)
Pension and postretirement nonservice costs (Note 13)	(9,449)	10,871	-	1,422
Changes in pension and postretirement obligations (Note 13)	(122,571)	(456,312)	-	(578,883)
Net assets released from restrictions for capital purposes	3,225	57,706	-	60,931
Other	(44,252)	2,889	-	(41,363)
(Decrease) increase in net assets without donor restrictions	(168,168)	84,277	-	(83,891)
Changes in net assets with donor restrictions				
Contributions	207,787	171,901	-	379,688
Investment return (Note 5)	58,188	18,314	-	76,502
Appropriation of endowment distribution (Note 5)	(84,943)	(28,540)	-	(113,483)
Other	31,162	(13,786)	-	17,376
Net assets released from restrictions	(100,255)	(160,292)	-	(260,547)
Increase (decrease) in net assets with donor restrictions	111,939	(12,403)	-	99,536
(Decrease) increase in net assets	\$ (56,229)	\$ 71,874	\$ -	\$ 15,645

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Activities for NYU - Summary)
Year Ended August 31, 2018

	2018			Consolidated NYU
	University	NYU Langone Health	Eliminations	
(in thousands of dollars)				
Changes in net assets without donor restrictions				
Operating revenues				
Tuition and fees (net of financial aid awards of \$616,7014 University; \$10,824 NYU Langone Health)	\$ 1,862,288	\$ 48,187	\$ -	\$ 1,910,475
Grants and contracts (Note 2)	545,688	465,887	-	1,011,575
Patient care (Note 4)	55,956	6,925,987	-	6,981,943
Hospital affiliations (Note 14)	-	342,735	-	342,735
Insurance premiums earned	-	115,544	-	115,544
Contributions	118,659	49,533	-	168,192
Endowment distribution (Note 5)	128,868	40,281	-	169,149
Return on short-term investments (Note 5)	16,072	58	-	16,130
Auxiliary enterprises (net of financial aid awards of \$58,521)	381,394	70,512	(5,110)	446,796
Program fees and other	106,620	170,728	(5,185)	272,163
Net assets released from restrictions	52,149	69,320	-	121,469
Total operating revenues	3,267,694	8,298,772	(10,295)	11,556,171
Expenses (Note 15)				
Salaries and fringe	1,829,414	5,032,388	-	6,861,802
Medical and pharmaceutical costs	-	921,221	-	921,221
Professional services	269,470	412,550	-	682,020
Facilities costs	351,547	388,368	(5,110)	734,805
Fees, insurance and taxes	51,535	276,366	-	327,901
Depreciation and amortization	261,918	456,391	-	718,309
Interest	122,761	125,436	-	248,197
Other	400,811	655,077	(5,185)	1,050,703
Total expenses	3,287,456	8,267,797	(10,295)	11,544,958
(Deficiency) excess of operating revenues over expenses	(19,762)	30,975	-	11,213
Nonoperating activities				
Investment return (Note 5)	89,826	67,866	-	157,692
Appropriation of endowment distribution (Note 5)	(47,610)	(14,213)	-	(61,823)
Pension and postretirement nonservice costs (Note 13)	(17,150)	11,871	-	(5,279)
Changes in pension and postretirement obligations (Note 13)	83,325	36,166	-	119,491
Net assets released from restrictions for capital purposes	20,725	326,594	-	347,319
Other	(6,439)	51,728	-	45,289
Increase in net assets without donor restrictions	102,915	510,987	-	613,902
Changes in net assets with donor restrictions				
Contributions	123,976	188,748	-	312,724
Investment return (Note 5)	151,910	52,179	-	204,089
Appropriation of endowment distribution (Note 5)	(81,258)	(26,068)	-	(107,326)
Other	(8,132)	(12,212)	-	(20,344)
Net assets released from restrictions	(72,874)	(395,914)	-	(468,788)
Increase (decrease) in net assets with donor restriction	113,622	(193,267)	-	(79,645)
Increase in net assets	\$ 216,537	\$ 317,720	\$ -	\$ 534,257

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Activities for NYU - Detail)
Year Ended August 31, 2019

	2019						Total Consolidated NYU
(in thousands of dollars)	University	NYUGSoM	Eliminations	Subtotal	Health System	Eliminations	
Changes in net assets without donor restrictions							
Operating revenues							
Tuition and fees (net of financial aid awards of \$648,295 University; and \$25,315 NYU Langone Health)	\$ 1,984,513	\$ 37,187	\$ -	\$ 2,021,700	\$ 405	\$ -	\$ 2,022,105
Grants and contracts (Note 2)	597,877	422,897	-	1,020,774	38,244	-	1,059,018
Patient care (Note 4)	55,101	2,337,451	-	2,392,552	6,088,566	(690,759)	7,790,359
Hospital affiliations (Note 14)	-	319,490	-	319,490	27,169	-	346,659
Insurance premiums earned	-	-	-	-	97,117	-	97,117
Contributions	79,246	38,987	-	118,233	6,571	-	124,804
Endowment distribution (Note 5)	131,805	40,014	-	171,819	813	-	172,632
Return on short-term investments (Note 5)	30,154	(36)	-	30,118	6,465	-	36,583
Auxiliary enterprises (net of financial aid awards of \$59,928)	388,251	22,457	(4,594)	406,114	49,467	-	455,581
Program fees and other	115,204	291,554	(5,968)	400,790	389,946	(300,763)	489,973
Net assets released from restrictions	97,030	58,901	-	155,931	43,685	-	199,616
Total operating revenues	3,479,181	3,568,902	(10,562)	7,037,521	6,748,448	(991,522)	12,794,447
Expenses (Note 15)							
Salaries and fringe	1,919,230	2,634,729	-	4,553,959	2,748,499	-	7,302,458
Medical and pharmaceutical costs	-	60,933	-	60,933	1,014,831	-	1,075,764
Professional services	285,849	134,449	-	420,298	1,087,543	(818,979)	688,862
Facilities costs	376,252	243,144	(4,594)	614,802	249,350	-	864,152
Fees, insurance and taxes	45,397	155,312	-	200,709	158,952	-	359,661
Depreciation and amortization	263,094	157,216	-	420,310	380,436	-	800,746
Interest	152,673	58,982	-	211,655	102,094	-	313,749
Other	419,942	261,396	(5,968)	675,370	456,727	(172,543)	959,554
Total expenses	3,462,437	3,706,161	(10,562)	7,158,036	6,198,432	(991,522)	12,364,946
Excess (deficiency) of operating revenues over expenses	16,744	(137,259)	-	(120,515)	550,016	-	429,501
Nonoperating activities							
Investment return (Note 5)	34,997	5,146	-	40,143	63,507	-	103,650
Appropriation of endowment distribution (Note 5)	(46,862)	(12,245)	-	(59,107)	(42)	-	(59,149)
Pension and postretirement nonservice costs (Note 13)	(9,449)	(1,904)	-	(11,353)	12,775	-	1,422
Changes in pension and postretirement obligations (Note 13)	(122,571)	(73,880)	-	(196,451)	(382,432)	-	(578,883)
Net assets released from restrictions for capital purposes	3,225	22,067	-	25,292	35,639	-	60,931
Other	(44,252)	29,898	-	(14,354)	(27,009)	-	(41,363)
Mission based payment	-	50,000	-	50,000	(50,000)	-	-
(Decrease) increase in net assets without donor restrictions	(168,168)	(118,177)	-	(286,345)	202,454	-	(83,891)
Changes in net assets with donor restrictions							
Contributions	207,787	130,379	-	338,166	41,522	-	379,688
Investment return (Note 5)	58,188	17,598	-	75,786	716	-	76,502
Appropriation of endowment distribution (Note 5)	(84,943)	(27,769)	-	(112,712)	(771)	-	(113,483)
Other	31,162	(14,082)	-	17,080	296	-	17,376
Net assets released from restrictions	(100,255)	(80,968)	-	(181,223)	(79,324)	-	(260,547)
Increase (decrease) in net assets with donor restrictions	111,939	25,158	-	137,097	(37,561)	-	99,536
(Decrease) increase in net assets	\$ (56,229)	\$ (93,019)	\$ -	\$ (149,248)	\$ 164,893	\$ -	\$ 15,645

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Activities for NYU - Detail)
Year Ended August 31, 2018

	2018						Total Consolidated NYU
(in thousands of dollars)	University	NYUGSoM	Eliminations	Subtotal	Health System	Eliminations	
Changes in net assets without donor restrictions							
Operating revenues							
Tuition and fees (net of financial aid awards of \$616,701 University; and \$10,824 NYU Langone Health)	\$ 1,862,288	\$ 48,187	\$ -	\$ 1,910,475	\$ -	\$ -	\$ 1,910,475
Grants and contracts (Note 2)	545,688	423,150	-	968,838	42,737	-	1,011,575
Patient care (Note 4)	55,956	1,788,996	-	1,844,952	5,654,643	(517,652)	6,981,943
Hospital affiliations (Note 14)	-	314,345	-	314,345	28,390	-	342,735
Insurance premiums earned	-	-	-	-	115,544	-	115,544
Contributions	118,659	40,204	-	158,863	9,329	-	168,192
Endowment distribution (Note 5)	128,868	38,715	-	167,583	1,566	-	169,149
Return on short-term investments (Note 5)	16,072	58	-	16,130	-	-	16,130
Auxiliary enterprises (net of financial aid awards of \$58,521)	381,394	20,901	(5,110)	397,185	49,611	-	446,796
Program fees and other	106,620	288,308	(5,185)	389,743	149,520	(267,100)	272,163
Net assets released from restrictions	52,149	56,342	-	108,491	12,978	-	121,469
Total operating revenues	3,267,694	3,019,206	(10,295)	6,276,605	6,064,318	(784,752)	11,556,171
Expenses (Note 15)							
Salaries and fringe	1,829,414	2,176,255	-	4,005,669	2,856,133	-	6,861,802
Medical and pharmaceutical costs	-	42,706	-	42,706	878,515	-	921,221
Professional services	269,470	162,333	-	431,803	777,032	(526,815)	682,020
Facilities costs	351,547	179,604	(5,110)	526,041	208,764	-	734,805
Fees, insurance and taxes	51,535	132,222	-	183,757	144,144	-	327,901
Depreciation and amortization	261,918	109,292	-	371,210	347,099	-	718,309
Interest	122,761	37,203	-	159,964	88,233	-	248,197
Other	400,811	274,534	(5,185)	670,160	638,480	(257,937)	1,050,703
Total expenses	3,287,456	3,114,149	(10,295)	6,391,310	5,938,400	(784,752)	11,544,958
(Deficiency) excess of operating revenues over expenses	(19,762)	(94,943)	-	(114,705)	125,918	-	11,213
Nonoperating activities							
Investment return (Note 5)	89,826	24,605	-	114,431	43,261	-	157,692
Appropriation of endowment distribution (Note 5)	(47,610)	(14,050)	-	(61,660)	(163)	-	(61,823)
Pension and postretirement nonservice costs (Note 13)	(17,150)	(2,427)	-	(19,577)	14,298	-	(5,279)
Changes in pension and postretirement obligations (Note 13)	83,325	22,016	-	105,341	14,150	-	119,491
Net assets released from restrictions for capital purposes	20,725	54,028	-	74,753	272,566	-	347,319
Other	(6,439)	148,946	-	142,507	(97,218)	-	45,289
Mission based payment	-	50,000	-	50,000	(50,000)	-	-
Increase in net assets without donor restrictions	102,915	188,175	-	291,090	322,812	-	613,902
Changes in net assets with donor restrictions							
Contributions	123,976	161,536	-	285,512	27,212	-	312,724
Investment return (Note 5)	151,910	48,804	-	200,714	3,375	-	204,089
Appropriation of endowment distribution (Note 5)	(81,258)	(24,665)	-	(105,923)	(1,403)	-	(107,326)
Other	(8,132)	(23,403)	-	(31,535)	11,191	-	(20,344)
Net assets released from restrictions	(72,874)	(110,370)	-	(183,244)	(285,544)	-	(468,788)
Increase (decrease) in net assets with donor restrictions	113,622	51,902	-	165,524	(245,169)	-	(79,645)
Increase in net assets	\$ 216,537	\$ 240,077	\$ -	\$ 456,614	\$ 77,643	\$ -	\$ 534,257

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Cash Flows for NYU – Summary)
Year Ended August 31, 2019

	2019			
	University	NYU Langone Health	Eliminations	Consolidated NYU
<i>(in thousands of dollars)</i>				
Cash flows from operating activities				
Change in net assets	\$ (56,229)	\$ 71,874	\$ -	\$ 15,645
Adjustments to reconcile change in net assets to net cash provided by operating activities				
Depreciation and amortization	263,094	537,652	-	800,746
Loss on sale or disposal of land, buildings and equipment	5,686	11,980	-	17,666
Gain on settlement	-	(62,414)	-	(62,414)
Net gain on investments and deposits with trustees	(61,631)	(54,498)	-	(116,129)
Bad debt expense	9,639	2,463	-	12,102
Pension and postretirement obligation change	122,571	456,312	-	578,883
Contributions received for permanent investment and capital	(66,537)	(64,481)	-	(131,018)
Proceeds from insurance recovery for capital and FEMA award for future mitigation	-	(42,843)	-	(42,843)
Changes in operating assets and liabilities				
(Increase) decrease in accounts and loans receivable, net	(9,024)	68,164	(7,450)	51,690
Increase in patient accounts receivable	(108)	(77,564)	-	(77,672)
Increase in nonendowment and noncapital contributions receivable	(20,967)	(1,399)	-	(22,366)
Decrease (increase) in other assets	9,327	(5,001)	-	4,326
Decrease in asset retirement obligation	(4,540)	(1,030)	-	(5,570)
Increase in accounts payable and accrued expenses	31,042	121,474	7,450	159,966
Increase in professional liabilities	-	89,545	-	89,545
Increase in deferred revenue	30,699	64,082	-	94,781
Decrease in accrued benefit obligation	(5,655)	(11,950)	-	(17,605)
Increase in accrued postretirement obligation	5,698	7,431	-	13,129
Net cash provided by operating activities	253,065	1,109,797	-	1,362,862
Cash flows from investing activities				
Purchases of investments	(730,795)	(767,832)	-	(1,498,627)
Sales and maturities of investments	726,236	733,370	-	1,459,606
Increase in assets held for professional liabilities	-	(103,919)	-	(103,919)
Drawdowns of unexpended bond proceeds	385,256	-	-	385,256
Additions to land, buildings, and equipment	(505,218)	(744,368)	-	(1,249,586)
Proceeds from sale of building	-	41,527	-	41,527
Proceeds from insurance recovery for capital	-	3,761	-	3,761
Net cash used in investing activities	(124,521)	(837,461)	-	(961,982)
Cash flows from financing activities				
Contributions restricted for permanent investment and capital	66,537	64,481	-	131,018
Payments for disaster recovery award for mitigation	-	39,082	-	39,082
Proceeds from short-term borrowings	-	57,100	-	57,100
Proceeds from long-term borrowings	-	6,593	-	6,593
Principal payments on long-term borrowings	(77,089)	(88,848)	-	(165,937)
Payments of deferred financing costs	(2,619)	(56)	-	(2,675)
Decrease in funds held for others	49	-	-	49
Net cash (used in) provided by financing activities	(13,122)	78,352	-	65,230
Net increase in cash	115,422	350,688	-	466,110
Cash				
Beginning of year	1,008,398	478,672	-	1,487,070
End of year	\$ 1,123,820	\$ 829,360	\$ -	\$ 1,953,180
Supplemental disclosure of cash flow information				
Bond proceeds (non-cash)	\$ 831,044	\$ 126,400	\$ -	\$ 957,444
Line of credit repayments (non-cash)	45,000	126,400	-	171,400
Interest paid	153,342	175,247	-	328,589
Change in noncash acquisitions of land, buildings, and equipment	25,946	(51,189)	-	(25,243)
Assets acquired under capital leases	-	198,699	-	198,699

The accompanying note is an integral part of these supplemental schedules.

New York University
Supplemental Schedule to the Consolidated Financial Statements
(Consolidating Statement of Cash Flows for NYU – Summary)
Year Ended August 31, 2018

	2018			
	University	NYU Langone Health	Eliminations	Consolidated NYU
<i>(in thousands of dollars)</i>				
Cash flows from operating activities				
Change in net assets	\$ 216,537	\$ 317,720	\$ -	\$ 534,257
Adjustments to reconcile change in net assets to net cash provided by operating activities				
Depreciation and amortization	261,918	456,391	-	718,309
(Gain) loss on sale or disposal of land, buildings and equipment	(5,387)	6,831	-	1,444
Net gain on investments and deposits with trustees	(206,653)	(87,549)	-	(294,202)
Bad debt expense	15,807	-	-	15,807
Pension and postretirement obligation change	(83,325)	(36,166)	-	(119,491)
Contributions received for permanent investment and capital	(61,318)	(82,046)	-	(143,364)
Proceeds from insurance recovery for capital and FEMA award for future mitigation	-	(6,742)	-	(6,742)
Changes in operating assets and liabilities				
Decrease in accounts and loans receivable, net	17,156	28,679	(22,571)	23,264
Increase in patient accounts receivable	(2,697)	(30,931)	-	(33,628)
Decrease (Increase) in nonendowment and noncapital contributions receivable	32,714	(42,240)	-	(9,526)
(Increase) decrease in other assets	(13,812)	4,526	-	(9,286)
Decrease in asset retirement obligation	-	(5,200)	-	(5,200)
Increase in accounts payable and accrued expenses	8,163	222,926	22,571	253,660
Increase in professional liabilities	-	10,912	-	10,912
Increase (decrease) in deferred revenue	42,912	(14,977)	-	27,935
Decrease in accrued benefit obligation	(13,190)	(24,449)	-	(37,639)
Increase in accrued postretirement obligation	6,741	7,819	-	14,560
Net cash provided by operating activities	215,566	725,504	-	941,070
Cash flows from investing activities				
Purchases of investments	(1,622,856)	(577,276)	-	(2,200,132)
Sales and maturities of investments	1,687,651	753,889	-	2,441,540
Increase in assets held for professional liabilities	-	(17,672)	-	(17,672)
Drawdowns of unexpended bond proceeds	105,650	-	-	105,650
Additions to land, buildings, and equipment	(367,803)	(1,271,130)	-	(1,638,933)
Proceeds from insurance recovery for capital	-	5,558	-	5,558
Net cash used in investing activities	(197,358)	(1,106,631)	-	(1,303,989)
Cash flows from financing activities				
Contributions restricted for permanent investment and capital	61,318	82,046	-	143,364
Proceeds from FEMA award for future mitigation	-	1,184	-	1,184
Proceeds from short-term borrowings	106,500	525,913	-	632,413
Proceeds from long-term borrowings	-	5,262	-	5,262
Principal payments on short-term borrowings	-	(25,000)	-	(25,000)
Principal payments on long-term borrowings	(61,029)	(113,954)	-	(174,983)
Payments of deferred financing costs	(1,650)	-	-	(1,650)
Decrease in funds held for others	(10,649)	(1,398)	-	(12,047)
Decrease in deposits with bond trustees	5,898	5,949	-	11,847
Net cash provided by financing activities	100,388	480,002	-	580,390
Net increase in cash	118,596	98,875	-	217,471
Cash				
Beginning of year	889,802	379,797	-	1,269,599
End of year	\$ 1,008,398	\$ 478,672	\$ -	\$ 1,487,070
Supplemental disclosure of cash flow information				
Bond proceeds (non-cash)	\$ 461,452	\$ 184,850	\$ -	\$ 646,302
Line of credit repayments (non-cash)	156,835	184,850	-	341,685
Interest paid	121,602	147,375	-	268,977
Change in noncash acquisitions of land, buildings, and equipment	(14,416)	39,245	-	24,829
Assets acquired under capital leases	-	113,153	-	113,153

The accompanying note is an integral part of these supplemental schedules.

New York University
Note to Consolidating Supplemental Schedules
August 31, 2019 and 2018

1. Basis of Presentation – Consolidating Supplemental Schedules

The consolidating supplemental schedules (consolidating information) presented on pages 47-56 was derived from and relates directly to the underlying accounting and other records used to prepare the consolidated financial statements. The consolidating information is presented for purposes of additional analysis of the consolidated financial statements rather than to present the financial position, changes in net assets and cash flows of the individual companies within NYU and is not a required part of the consolidated financial statements. The individual reporting entities within NYU as presented within the consolidating information are disclosed within Note 1 to the consolidated financial statements.

The consolidating financial statements were prepared on an accrual basis of accounting, consistent with the consolidated financial statements (Note 2). All transactions between and amounts due to (from) the reporting entities within NYU have been eliminated within the consolidating supplemental schedules.

Part II
Supplemental Schedule of Expenditures of Federal Awards

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Research and Development Cluster							
U.S. Department of Agriculture Food and Nutrition Service							
Multi-level Conflicts in Evolutionary Dynamics of Restriction Modification Systems	10.RD	\$ -	\$ (18)	Human Frontier Science Program Organization	RGY79/2011	\$ (18)	-
		-	(18)			(18)	-
Phase II Expansion and Phase III: Caseload Management Model Project	10.200	-	50,088	Kansas State University	N/A	50,088	-
		-	50,088			50,088	-
Assessing Intermediated Marketing Channels for Beginning Farmers and Ranchers to Enhance Farm Viability	10.310	-	3,255	Syracuse University	28361-04254-S02 Amd 2	3,255	-
Agriculture and Food Research Initiative (AFRI)	10.310	845,171	-			845,171	88,691
		845,171	3,255			848,426	88,691
Cooperative Extension Service	10.500	2,068,630	-			2,068,630	-
		2,068,630	-			2,068,630	-
Total U.S. Department of Agriculture Food and Nutrition Service		2,913,801	53,325			2,967,126	88,691
U.S. Department of Commerce							
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	11.432	-	35,969	University of Georgia	RR272-718/S001505	35,969	-
		-	35,969			35,969	-
Comparative Environmental DNA Analysis of Hawaiian Coral Reef Fishes	11.482	-	8,560	National Fish and Wildlife Foundation(NFWF)	0302.16.053131 NCE	8,560	3,080
		-	8,560			8,560	3,080
Measurement and Engineering Research and Standards	11.609	779,444	-			779,444	-
		779,444	-			779,444	-
Marine Debris Program	11.RD	16,858	-			16,858	-
		16,858	-			16,858	-
Total U.S. Department of Commerce		796,302	44,529			840,831	3,080
U.S. Department of Defense							
Basic and Applied Scientific Research	12.300	7,204	-			7,204	-
Basic and Applied Scientific Research	12.300	-	187,708	University of California, Davis	A17-0260-S003-A01	187,708	-
Basic and Applied Scientific Research	12.300	120,109	-			120,109	-
Basic and Applied Scientific Research	12.300	126,858	-			126,858	-
Basic and Applied Scientific Research	12.300	53,758	-			53,758	-
Basic and Applied Scientific Research	12.300	121,814	-			121,814	-
Basic and Applied Scientific Research	12.300	96,163	-			96,163	3,092
Basic and Applied Scientific Research	12.300	2,094	-			2,094	-
Basic and Applied Scientific Research	12.300	77,828	-			77,828	-
Basic and Applied Scientific Research	12.300	10,473	-			10,473	-
Basic and Applied Scientific Research	12.300	170,085	-			170,085	26,705
Basic and Applied Scientific Research	12.300	327,103	-			327,103	-
Basic and Applied Scientific Research	12.300	278,084	-			278,084	-
Basic and Applied Scientific Research	12.300	45,869	-			45,869	-
Basic and Applied Scientific Research	12.300	300,658	-			300,658	-
Basic and Applied Scientific Research	12.300	645	-			645	-
Basic and Applied Scientific Research	12.300	137	-			137	-
Basic and Applied Scientific Research	12.300	252	-			252	-
Basic and Applied Scientific Research	12.300	79,045	-			79,045	-
Basic and Applied Scientific Research	12.300	35,189	-			35,189	-
Basic and Applied Scientific Research	12.300	200,902	-			200,902	-
Basic and Applied Scientific Research	12.300	14,073	-			14,073	-
Causal inference using hierarchical and nonparametric Bayesian interaction models	12.300	-	63,389	Columbia University	1(GG012619) Amd 03	63,389	-
Cooperative Multicast and Broadcast at the Tactical Edge (COMBAT)	12.300	-	29,489	University of Southern California	73096281 Amd No. 6	29,489	-
Embedasploit: A "Pen-Test in a Box" for Industrial Control System	12.300	-	81,033	Georgia Institute of Technology	RF923-G1 Amd 4	81,033	-
Highly accurate plug-and- play simulation for current and next-gen CAE applications	12.300	-	32,836	Coreform LLC	SBIR Phase II Fixed Price Subcontract Agreement	32,836	-
Media Forensics Integrity Analytics	12.300	-	118,595	Purdue University	13000477-011	118,595	-
Self-directed Lifelong Visual Learning	12.300	-	92,244	University of Massachusetts Amherst	18-010425 C 02	92,244	-
Towards verification-guided hardware synthesis for security	12.300	-	239,303	Texas Am Engineering Experiment Station	M1801652 Amd 002	239,303	-
		2,068,343	844,597			2,912,940	29,797
Department of Defense	12.420	110,598	-			110,598	-
Department of Defense	12.420	-	90,257	Luna, Inc.	344102NYU	90,257	-
Department of Defense	12.420	-	14,457	State University of New York Upstate Med	1142256 - 79286	14,457	-
Military Medical Research and Development	12.420	191,518	-			191,518	-
Military Medical Research and Development	12.420	5,432	-			5,432	-
Military Medical Research and Development	12.420	66,036	-			66,036	-
Military Medical Research and Development	12.420	137,233	-			137,233	-
Military Medical Research and Development	12.420	315,190	-			315,190	-
Military Medical Research and Development	12.420	433,861	-			433,861	-
Military Medical Research and Development	12.420	8,356,895	-			8,356,895	291,162
Military Medical Research and Development	12.420	-	32,951	Columbia University	1(GG012666)	32,951	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Military Medical Research and Development	12.420	-	1,319	Johns Hopkins University	W81XWH-15-2-0074	1,319	-
Military Medical Research and Development	12.420	-	12,693	Luna, Inc.	344101NYU	12,693	-
Military Medical Research and Development	12.420	-	32,492	Univ of Alabama at Birmingham	000516840-009-T001	32,492	-
Military Medical Research and Development	12.420	-	(3)	Univ of Alabama at Birmingham	000422086-007	(3)	-
Military Medical Research and Development	12.420	-	357,341	Univ of California San Diego	92714374	357,341	-
Military Medical Research and Development	12.420	-	3,675	University of Pittsburgh Medical Center	0053521412472-4	3,675	-
Military Medical Research and Development	12.420	-	46,125	Zymeron Corporation	A18B-1022-1	46,125	-
Military Medical Research and Development	12.420	-	(1,081)	Wake forest University	WVUHS 441038 CTA-08	(1,081)	-
Military Medical Research and Development	12.420	-	85,874	State University of New York Upstate Med	1147580-81765	85,874	-
		9,616,763	676,100			10,292,863	291,162
Basic Scientific Research	12.431	(4,589)	-			(4,589)	-
Basic Scientific Research	12.431	-	97,634	Columbia University	RES511430	97,634	-
Basic Scientific Research	12.431	-	158,767	Luna, Inc.	333202NYU	158,767	-
Basic Scientific Research	12.431	-	175,000	Children'S Hospital Corporation DbA Boston	GENFD0001491681	175,000	-
Basic Scientific Research	12.431	50,189	-			50,189	-
Basic Scientific Research	12.431	94,440	-			94,440	-
Basic Scientific Research	12.431	165,423	-			165,423	108,965
Basic Scientific Research	12.431	83,727	-			83,727	-
Basic Scientific Research	12.431	17,057	-			17,057	-
Basic Scientific Research	12.431	134,379	-			134,379	-
Basic Scientific Research	12.431	135,395	-			135,395	48,376
Basic Scientific Research	12.431	4,892	-			4,892	-
Basic Scientific Research	12.431	23,224	-			23,224	-
Basic Scientific Research	12.431	86,972	-			86,972	-
Basic Scientific Research	12.431	133,589	-			133,589	-
Basic Scientific Research	12.431	222,802	-			222,802	-
Basic Scientific Research	12.431	300,026	-			300,026	-
Chemical Sciences: Transient Changeable Nanoarrays by Biocatalytic Self-assembly	12.431	-	90,624	Research Foundation of CUNY	CM00002270-02	90,624	-
Closed-Loop Multisensory Brain-Computer Interface for Enhanced Decision Accuracy	12.431	-	242,231	University of Southern California	79573913 A05	242,231	-
Dynamics and Control of Switching Complex Networks - Proposal No. 63928-NS-H	12.431	-	61,889	Georgia State University	SP00012020-01 Amd No. 3	61,889	-
Geometric and Graph Structures in Information Characterization and Extraction	12.431	-	72,748	University of Pennsylvania	572558 Amendment No.2	72,748	-
Hybrid Epitaxial Semiconductor-Superconductor Qubits	12.431	-	87,467	University of Maryland	60590-Z8078201 Amd A	87,467	-
Reconfigurable Matter from Programmable colloids	12.431	-	(25)	University of Michigan	3001750680	(25)	-
Theory and Experiment of Cocystals: Principles Synthesis and Properties	12.431	-	169,207	University of Michigan	3002780205 A07	169,207	-
Unlearning Neural Systems Dysfunction in Neuropsychiatric Disorders	12.431	-	4,532	The Regents of the University of California	8180SC A05	4,532	-
		1,447,526	1,160,074			2,607,600	157,341
Archives: Autonomous Resilient Cognitive Heterogeneous Swarms	12.630	-	109,158	University of Pennsylvania	572622 Amd 1 - PO#4175645	109,158	-
STTR Phase II: Field Drug Identification Kit	12.630	-	266,490	Sensodx, LLC	STTR Phase II - 1004 Amendment 1	266,490	-
		-	375,648			375,648	-
(CoE) Multi-Fidelity Modeling of Rocket Combustor Dynamics	12.800	-	9,156	University of Michigan	SUBK00010366 Amendment 1	9,156	-
(YIP) Epitaxial superconductor-semiconductor materials systems for quantum computation	12.800	-	184,369	City College (CUNY)	CM00001924-01 A02	184,369	-
A Compressed Sensing Approach to Signal Fragmentation	12.800	-	72,105	University of California, Los Angeles	1010 GVA 387 Amendment 1	72,105	-
Air Force Defense Research Sciences Program	12.800	88,151	-			88,151	-
Air Force Defense Research Sciences Program	12.800	53,119	-			53,119	-
Air Force Defense Research Sciences Program	12.800	210,582	-			210,582	210,582
Air Force Defense Research Sciences Program	12.800	22,306	-			22,306	-
Air Force Defense Research Sciences Program	12.800	12,697	-			12,697	-
Domain Vocabulary Extraction and Transduction and Auto-Induction of Layout (DOVETAIL)	12.800	-	299	SRI International	27-001373	299	-
Kinetic Simulation of Non-Equilibrium Plasmas	12.800	-	(7)	University of California, Los Angeles	1010 G VA386	(7)	-
MURI: A unified mathematical and algorithmic framework for managing multiple information sources of multi-physics system	12.800	-	84,041	Massachusetts Institute of Technology	S4702 PO 249618 Amendment Number 2	84,041	-
		386,855	349,963			736,818	210,582
A Data-Driven, Operator-Theoretic Framework for Space-time Analysis of Process Dynamics	12.910	-	989	Aimdyn, Inc	25-74200-S3946 Year 2	989	-
A Synthetic Immune System based on Peptoid NanoSwatches	12.910	-	25,123	Lawrence Berkeley National Laboratory	7114069 MOD 9	25,123	-
Attribution of malicious binaries	12.910	-	142,185	Drexel University	840020-NYU	142,185	-
Continual Learning Across Synapses Circuits and Brain Areas	12.910	-	211,850	Baylor College of Medicine	PO 7000000604 A01	211,850	-
ECLIPS: Efficient Cross-Layered IP Protection Scheme	12.910	-	1,503	University of California, San Diego	105272802-002	1,503	-
Engineering Therapies that Evolve to Autonomously Control Epidemics	12.910	-	14,932	The J David Gladstone Institutes	R2451-C	14,932	-
MEGA-BISC: Bioelectronic Interfacing to Sensory Cortex using massive fully implanted flexible wireless CMOS surface recording and stimulating arrays.	12.910	-	446,841	Columbia University	6(GG012664)	446,841	231,073
Multi-terminal hybrid InAs/superconductor Josephson junctions	12.910	-	39,654	University of Maryland, College Park	52225-Z9032201 Amd A	39,654	-
Network Back-haul Layered Architecture (NEBULA) NYU Statement of Work: High Variability Congestion Control	12.910	-	149,320	BAE Systems	964185-6	149,320	-
Rapid Attack Detection Isolation and Characterization Systems (RADICS)	12.910	-	178,786	SRI International	PO4814 Mod 9	178,786	-
Research and Technology Development	12.910	248,479	-			248,479	176,302
Research and Technology Development	12.910	-	81,636	Columbia University	2(GG008460-01)	81,636	-
Research and Technology Development	12.910	-	234,968	University of Wisconsin	738K065	234,968	-
Research and Technology Development	12.910	-	(2,488)	J. David Gladstone Institute	R2451-B	(2,488)	-
Research and Technology Development	12.910	-	526,054	Evocative Design	HR001117C0068	526,054	-

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Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Research and Technology Development	12.910	269,668	-			269,668	-
Research and Technology Development	12.910	53,893	-			53,893	-
Research and Technology Development	12.910	116,001	-			116,001	-
Research and Technology Development	12.910	482,817	-			482,817	-
Research and Technology Development	12.910	269,609	-			269,609	-
Research and Technology Development	12.910	471,460	-			471,460	178,528
Research and Technology Development	12.910	404,484	-			404,484	29,751
Research and Technology Development	12.910	1,275	-			1,275	-
Research and Technology Development	12.910	587,365	-			587,365	196,273
Research and Technology Development	12.910	1,232,831	-			1,232,831	-
Research and Technology Development	12.910	2,712	-			2,712	-
		<u>4,140,594</u>	<u>2,051,353</u>			<u>6,191,947</u>	<u>811,927</u>
Cryogenic Computing Complexity (C3) Option 3 Engineering Change Proposal (ECP)	12.RD	-	70,879	Raytheon BBN Technologies Corp	14400 / PO 4201795949 MOD 09	70,879	-
Deep Agent: A Framework for Information Spread and Evolution in Social Networks	12.RD	-	17,096	University of Central Florida	16246083-06 Amd 1	17,096	-
ENSURE: An ENd-to-End SecURE Obfuscation for HLS	12.RD	-	6,031	The Boeing Company	Purchase Contract No. 1445821 Item 0002	6,031	-
Innovative Transformative Applications Program (ITAP) MD5	12.RD	-	3,729	Gxm Consulting, LLC	Modification No. 2	3,729	-
MDS/National Security Technology Accelerator (NSTA)	12.RD	-	100,199	Civil-military Innovation Institute, Inc.	CM12-NYU-1801-001	100,199	-
MDS/NSTA	12.RD	-	104,624	Civil-military Innovation Institute, Inc.	1803-001	104,624	-
Multi-Resolution Utility Discovery and Maximization	12.RD	-	250,652	BAE Systems	1006435-4	250,652	-
National Security Technology Accelerator	12.RD	(136,554)	-			(136,554)	-
National Security Technology Accelerator	12.RD	-	(8,193)	Service Engineering	FA8075-14-D-0001	(8,193)	-
		<u>(136,554)</u>	<u>545,017</u>			<u>408,463</u>	<u>-</u>
Total U.S. Department of Defense		<u>17,523,527</u>	<u>6,002,752</u>			<u>23,526,279</u>	<u>1,500,809</u>
U.S. Department of Housing and Urban Development							
Third Sector Capitol Partners - Planning Phase of Evaluation	14.235	-	21,037	Third Sector Capital Partners, Inc.	Amendment 1	21,037	-
		-	21,037			21,037	-
NY-RISE: New York Research Institute for Storm Emergencies	14.269	-	(14,390)	Research Foundation of the State University of New York	67784-1-1117044	(14,390)	-
		-	(14,390)			(14,390)	-
General Research and Technology Activity	14.506	34,247	-			34,247	-
		34,247	-			34,247	-
Small Area Fair Market Rent Demonstration Evaluation	14.RD	-	6,569	Abt Associates, Inc.	45117	6,569	-
		-	6,569			6,569	-
Total U.S. Department of Housing and Urban Development		<u>34,247</u>	<u>13,216</u>			<u>47,463</u>	<u>-</u>
U.S. Department of Justice							
Reducing Crime for Girls in the Juvenile Justice System through Researcher-Practitioner Partnerships	16.RD	1,198	-			1,198	-
		1,198	-			1,198	-
An Impact Evaluation of the Safe Public Spaces Program in NYC Schools	16.560	-	76,578	American Institutes for Research	0395200001 NCE	76,578	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	156,971	-			156,971	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	97,406	-			97,406	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	229,052	-			229,052	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	-	71,714	NYC Office of Chief Medical Examiner	816 20171411970	71,714	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	-	105,195	NYC Office of Chief Medical Examiner	2017-NE-BX-0003	105,195	-
		<u>483,429</u>	<u>253,487</u>			<u>736,916</u>	<u>-</u>
Edward Byrne Memorial Competitive Grant Program	16.751	50,343	-			50,343	-
		50,343	-			50,343	-
Sponsors FY 15 SCA Mentoring Program	16.812	-	9,538	Sponsors, Inc.	2015-CY-BX-0019	9,538	-
		-	9,538			9,538	-
Innovations in Community-Based Crime Reduction	16.817	72,975	-			72,975	-
		72,975	-			72,975	-
Swift, Certain, and Fair (SCF) Supervision Program: Including Project HOPE	16.828	535,347	-			535,347	-
		535,347	-			535,347	-
No Place for Girls: Reducing Reliance on Confinement for Girls in NYC	16.830	-	121,158	Vera Institute of Justice	2016-GJ-FX-K003	121,158	-
		-	121,158			121,158	-
An In-depth Examination of Batterer Intervention and Alternative Treatment Approaches for Domestic Violence Offenders	16.RD	(3)	-			(3)	-
		(3)	-			(3)	-
Total U.S. Department of Justice		<u>1,143,289</u>	<u>384,183</u>			<u>1,527,472</u>	<u>-</u>
U.S. Department of State							
International Programs to Support Democracy, Human Rights and Labor	19.345	198,880	-			198,880	-
International Programs to Support Democracy, Human Rights and Labor	19.345	236,406	-			236,406	-

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Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
		435,286	-			435,286	-
Academic Exchange Programs - Scholars	19.401	18,645	-			18,645	-
Academic Exchange Programs - Scholars	19.401	(24)	-			(24)	-
PY 2019 Study of the U.S. Institutes for Scholars: A Multi-dimensional Examination of U.S. Society and Institutions	19.401	-	212,586	University of Montana	PG19-26935-02	212,586	-
		18,621	212,586			231,207	-
Counter Narcotics	19.704	77,493	-			77,493	23,195
		77,493	-			77,493	23,195
Total U.S. Department of State		531,400	212,586			743,986	23,195
U.S. Department of Transportation		-	269,081	Research Foundation of the City University of New York (RF CUNY)	75144-03-28	269,081	48,944
Calibration / Development of Safety Performance Functions for New Jersey (2017-01)	20.200	-	269,081			269,081	48,944
Public Transportation Research, Technical Assistance, and Training	20.514	35,144	-			35,144	-
		35,144	-			35,144	-
Portable and Integrated Multi-Sensor System for Data-Driven Performance Evaluation of Urban Transportation Networks	20.701	-	209	Research Foundation of the City University of New York (RF CUNY)	RF# 49198-41-28	209	-
RECAST 2D: Flexural Performance of Concrete Beams Strengthened using Different Repair Techniques	20.701	-	54,672	Rutgers University	0393 Mod No. 2	54,672	-
Research on Concrete Applications for Sustainable Transportation (RE-CAST)	20.701	-	615	Rutgers University	5447 - PO# 451707	615	-
University Transportation Centers Program	20.701	1,338,077	-			1,338,077	519,448
University Transportation Centers Program	20.701	126,847	-			126,847	-
University Transportation Centers Program	20.701	8,332	-			8,332	-
		1,473,256	55,496			1,528,752	519,448
Total U.S. Department of Transportation		1,508,400	324,577			1,832,977	568,392
National Aeronautics and Space Administration		-	118,016	NASA Jet Propulsion Laboratory	1592259 Mod 02	118,016	-
(Pope) Finding Planets around Naked Eye Stars	43.001	-	1,364	Smithsonian Astrophysical Observatory	GO7-18108C A01	1,364	-
(Van Vezten) Non-thermal X-ray Emission From Tidal Disruption Flares	43.001	-	3,084	University of Chicago	FP070308-01	3,084	-
Improving the sensitivity of radial velocity spectrographs with data-driven techniques	43.001	-	222,507	American Museum of Natural History	627-2016-1 Amd 4	222,507	-
Open Space: An Engine for Dynamic Visualization of Earth and Space Science for Informal Education and Beyond	43.001	-	62,509	Emory University	80NSC19K0191	62,509	-
Preparing Key State and Local Health and Air Quality Agencies for Upcoming Earth Observations	43.001	261,420	-			261,420	112,239
Science	43.001	12,261	-			12,261	-
Science	43.001	130,087	-			130,087	-
Science	43.001	3,806	-			3,806	-
Science	43.001	161,745	-			161,745	-
Science	43.001	78,669	-			78,669	-
Seeing in the dark: Revealing dark matter microphysics with substructure lensing	43.001	-	13,365	Ohio State University	60067578 A02	13,365	-
Testing Fundamental Physics With Galaxy Surveys (Leistedt Fellowship)	43.001	-	103,181	Smithsonian Astrophysical Observatory	PF6-170154 A06	103,181	-
		647,988	524,026			1,172,014	112,239
Space Operations	43.007	147,923	-			147,923	-
		147,923	-			147,923	-
NASA / New York Space Grant Consortium: National Space Grant College and Fellowship Program 2015-2018	43.008	-	10,912	Cornell University	76156-10488 Amd 5	10,912	-
		-	10,912			10,912	-
Space Technology	43.012	(7,350)	-			(7,350)	-
		(7,350)	-			(7,350)	-
A First Look at the Late Stages of Accretion in Tidal Disruption Flares (Cycle 23)	43 RD	-	17,291	Space Telescope Science Institute	HST-GO-14255.008-A	17,291	-
Enhanced rates of tidal disruptions in E+A galaxies: resolving the central dynamics of post-starburst (Cycle 24)	43 RD	-	6,340	Space Telescope Science Institute	HST-GO-14785.009-A	6,340	-
Oceans Melting Greenland-OMG	43 RD	-	3,667	NASA Jet Propulsion Laboratory	1541570 Mod 005	3,667	-
		-	27,298			27,298	-
Total National Aeronautics and Space Administration		788,561	562,236			1,350,797	112,239
National Endowment for the Humanities		-	-			-	-
Promotion of the Arts Grants to Organizations and Individuals	45.024	1,923	-			1,923	-
		1,923	-			1,923	-
Promotion of the Humanities Division of Preservation and Access	45.149	62,839	-			62,839	55,522
		62,839	-			62,839	55,522
Promotion of the Humanities Research	45.161	205,786	-			205,786	-
Promotion of the Humanities Research	45.161	198,320	-			198,320	109,531
		404,106	-			404,106	109,531
Total National Endowment for the Humanities		468,868	-			468,868	165,053

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Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
National Science Foundation							
CDS&E: Better by Design: Establishing Modeling and Optimization Techniques for Producing New Classes of Biomimetic Nanomaterials	47.041	-	28,383	University of Wisconsin, Madison	893K432 Amendment 1	28,383	-
CRISP 2.0 Type 1: Collaborative Research: Integrated Socio-Technical Modeling Framework to Evaluate and Enhance Resiliency in Islanded Communities (ERIC)	47.041	-	155,809	Research Foundation of the City University of New York (RF CUNY)	CM00001891-01	155,809	-
CRISP 2.0 Type 1: Collaborative Research: Integrated Socio-Technical Modeling Framework to Evaluate and Enhance Resiliency in Islanded Communities (ERIC)	47.041	-	30,846	Research Foundation of the City University of New York (RF CUNY)	CM00001891-01	30,846	-
E2CDA: Type 1: Antiferromagnetic Magneto-electric Memory and Logic	47.041	-	35,556	University of Nebraska, Lincoln	25-0521-0210-004 Amd 1	35,556	-
EFRI - ODISSEI: Foldable Self-Replicating DNA Nanostructures for Organization of Functional Nanomaterials and 3D Meta-Material Assembly	47.041	-	150	California Institute of Technology	S385012 A06	150	-
EFRI - ODISSEI: Foldable Self-Replicating DNA Nanostructures for Organization of Functional Nanomaterials and 3D Meta-Material Assembly	47.041	-	40,140	California Institute of Technology	S385012 A06	40,140	-
EFRI - ODISSEI: Foldable Self-Replicating DNA Nanostructures for Organization of Functional Nanomaterials and 3D Meta-Material Assembly	47.041	-	801	California Institute of Technology	S385012 A06	801	-
Engineering Grants	47.041	271,627	-			271,627	39,311
Engineering Grants	47.041	15,577	-			15,577	-
Engineering Grants	47.041	35,275	-			35,275	-
Engineering Grants	47.041	58,506	-			58,506	-
Engineering Grants	47.041	83,311	-			83,311	-
Engineering Grants	47.041	70,591	-			70,591	-
Engineering Grants	47.041	9,282	-			9,282	-
Engineering Grants	47.041	127,462	-			127,462	-
Engineering Grants	47.041	45,779	-			45,779	-
Engineering Grants	47.041	103,517	-			103,517	-
Engineering Grants	47.041	8,805	-			8,805	-
Engineering Grants	47.041	85,251	-			85,251	-
Engineering Grants	47.041	148,862	-			148,862	63,991
Engineering Grants	47.041	30,839	-			30,839	-
Engineering Grants	47.041	80,264	-			80,264	-
Engineering Grants	47.041	30,500	-			30,500	-
Engineering Grants	47.041	27,370	-			27,370	-
Engineering Grants	47.041	107,548	-			107,548	-
Engineering Grants	47.041	(3,227)	-			(3,227)	-
Engineering Grants	47.041	105,142	-			105,142	-
Engineering Grants	47.041	83,708	-			83,708	-
Engineering Grants	47.041	17,512	-			17,512	-
Engineering Grants	47.041	9,326	-			9,326	-
Engineering Grants	47.041	(13)	-			(13)	-
Engineering Grants	47.041	57,404	-			57,404	-
Engineering Grants	47.041	88,106	-			88,106	-
Engineering Grants	47.041	48,842	-			48,842	-
Engineering Grants	47.041	37,236	-			37,236	-
Engineering Grants	47.041	124,040	-			124,040	-
Engineering Grants	47.041	126,394	-			126,394	15,018
Engineering Grants	47.041	19,242	-			19,242	3,672
Engineering Grants	47.041	152,195	-			152,195	-
Engineering Grants	47.041	50	-			50	-
Engineering Grants	47.041	84,122	-			84,122	-
Engineering Grants	47.041	2,519	-			2,519	-
Engineering Grants	47.041	55,427	-			55,427	-
Engineering Grants	47.041	28,101	-			28,101	-
Engineering Grants	47.041	13,086	-			13,086	-
Engineering Grants	47.041	80,251	-			80,251	-
Engineering Grants	47.041	35,945	-			35,945	-
Engineering Grants	47.041	2,594	-			2,594	-
Engineering Grants	47.041	24,139	-			24,139	-
Engineering Grants	47.041	71,835	-			71,835	-
Engineering Grants	47.041	176,607	-			176,607	14,770
Engineering Grants	47.041	73,560	-			73,560	-
Engineering Grants	47.041	90,000	-			90,000	-
Engineering Grants	47.041	23,833	-			23,833	-
Engineering Grants	47.041	25,579	-			25,579	-
Engineering Grants	47.041	81,083	-			81,083	-
Engineering Grants	47.041	38,972	-			38,972	-
I-Corps Node (Track 2): New York City Regional Innovation Node (NYCRIN)	47.041	-	261,614	Research Foundation of CUNY	CM00001895-00 Amd 2	261,614	4,000
Multi-scale Infrastructure Interactions with Intermittent Disruptions: Coastal Flood Protection, Transportation and Governance Networks	47.041	-	127,225	University of California, Berkeley	9168	127,225	-
Planning Grant: Engineering Research Center for Advanced Streetscape Sensing Communications and Computing (ASTRSCC)	47.041	-	15,837	Columbia University	1(GG014500)	15,837	-
SBIR: Total Holographic Characterization of Colloids Through Holographic Video Microscopy	47.041	-	12,299	Spheryx, Inc.	SBIR Phase IIB: 1631815	12,299	-
STTR Phase II - New Perfluorodioxolane-based Polymer Membranes for Gas Separations	47.041	-	652	Membrane Technology and Research, Inc.	IIP-1632229	652	-
Turbulent-Convection Experiments at Extreme Conditions Using Cryogenic Nitrogen	47.041	-	1,853	Georgia Institute of Technology	RH015-G1	1,853	-
		3,113,976	711,165			3,825,141	140,762

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
CAREER: Probing the Demographics of Supermassive Black Holes with Time-Domain							
Observations of Tidal Disruption Events	47.049	-	20,104	University of Maryland	53579-Z4431001	20,104	-
CCI Phase I: Center for First Principles Design of Quantum Processes	47.049	-	92,937	Stanford University	61603493-126273 FY2020	92,937	-
CCI Phase I: NSF Center for Nanoscale Chemistry	47.049	-	79,045	Pennsylvania State University	5895-NYU-NSF-2471	79,045	-
FRG: Collaborative Research: Model Theory of Differential and Difference Equations with Applications	47.049	-	41,352	Queens College (CUNY)	CM00001826-00	41,352	-
Mathematical and Physical Sciences	47.049	229,584	-			229,584	-
Mathematical and Physical Sciences	47.049	20,044	-			20,044	-
Mathematical and Physical Sciences	47.049	28,866	-			28,866	-
Mathematical and Physical Sciences	47.049	28,870	-			28,870	-
Mathematical and Physical Sciences	47.049	113,354	-			113,354	-
Mathematical and Physical Sciences	47.049	81,209	-			81,209	-
Mathematical and Physical Sciences	47.049	70,763	-			70,763	-
Mathematical and Physical Sciences	47.049	85,757	-			85,757	-
Mathematical and Physical Sciences	47.049	108,034	-			108,034	-
Mathematical and Physical Sciences	47.049	2	-			2	-
Mathematical and Physical Sciences	47.049	227,796	-			227,796	-
Mathematical and Physical Sciences	47.049	739	-			739	-
Mathematical and Physical Sciences	47.049	92,349	-			92,349	-
Mathematical and Physical Sciences	47.049	54,153	-			54,153	-
Mathematical and Physical Sciences	47.049	11,167	-			11,167	-
Mathematical and Physical Sciences	47.049	209,376	-			209,376	-
Mathematical and Physical Sciences	47.049	24,274	-			24,274	-
Mathematical and Physical Sciences	47.049	3,447	-			3,447	-
Mathematical and Physical Sciences	47.049	39,354	-			39,354	-
Mathematical and Physical Sciences	47.049	66,249	-			66,249	-
Mathematical and Physical Sciences	47.049	37,757	-			37,757	-
Mathematical and Physical Sciences	47.049	59,419	-			59,419	-
Mathematical and Physical Sciences	47.049	35,554	-			35,554	-
Mathematical and Physical Sciences	47.049	24,334	-			24,334	-
Mathematical and Physical Sciences	47.049	108,408	-			108,408	-
Mathematical and Physical Sciences	47.049	119,382	-			119,382	-
Mathematical and Physical Sciences	47.049	274,928	-			274,928	-
Mathematical and Physical Sciences	47.049	137,070	-			137,070	-
Mathematical and Physical Sciences	47.049	108	-			108	-
Mathematical and Physical Sciences	47.049	28,952	-			28,952	-
Mathematical and Physical Sciences	47.049	65,300	-			65,300	-
Mathematical and Physical Sciences	47.049	21,225	-			21,225	-
Mathematical and Physical Sciences	47.049	9,397	-			9,397	-
Mathematical and Physical Sciences	47.049	126,718	-			126,718	-
Mathematical and Physical Sciences	47.049	29,946	-			29,946	-
Mathematical and Physical Sciences	47.049	35,925	-			35,925	-
Mathematical and Physical Sciences	47.049	104,222	-			104,222	-
Mathematical and Physical Sciences	47.049	71,201	-			71,201	-
Mathematical and Physical Sciences	47.049	84,842	-			84,842	-
Mathematical and Physical Sciences	47.049	72,230	-			72,230	-
Mathematical and Physical Sciences	47.049	67,300	-			67,300	-
Mathematical and Physical Sciences	47.049	75,015	-			75,015	-
Mathematical and Physical Sciences	47.049	79,362	-			79,362	-
Mathematical and Physical Sciences	47.049	40,073	-			40,073	-
Mathematical and Physical Sciences	47.049	62,502	-			62,502	-
Mathematical and Physical Sciences	47.049	30,208	-			30,208	-
Mathematical and Physical Sciences	47.049	5,997	-			5,997	-
Mathematical and Physical Sciences	47.049	92	-			92	-
Mathematical and Physical Sciences	47.049	285	-			285	-
Mathematical and Physical Sciences	47.049	69,619	-			69,619	-
Mathematical and Physical Sciences	47.049	9,612	-			9,612	-
Mathematical and Physical Sciences	47.049	47,319	-			47,319	-
Mathematical and Physical Sciences	47.049	26,996	-			26,996	-
Mathematical and Physical Sciences	47.049	59,918	-			59,918	-
Mathematical and Physical Sciences	47.049	274,279	-			274,279	-
Mathematical and Physical Sciences	47.049	167,807	-			167,807	-
Mathematical and Physical Sciences	47.049	133,998	-			133,998	-
Mathematical and Physical Sciences	47.049	295,462	-			295,462	-
Mathematical and Physical Sciences	47.049	230,065	-			230,065	-
Mathematical and Physical Sciences	47.049	60,125	-			60,125	-
Mathematical and Physical Sciences	47.049	89,144	-			89,144	-
Mathematical and Physical Sciences	47.049	66,217	-			66,217	-
Mathematical and Physical Sciences	47.049	286,832	-			286,832	-
Mathematical and Physical Sciences	47.049	52,629	-			52,629	-
Mathematical and Physical Sciences	47.049	74,936	-			74,936	-
Mathematical and Physical Sciences	47.049	238,536	-			238,536	-
Mathematical and Physical Sciences	47.049	181,984	-			181,984	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Mathematical and Physical Sciences	47.049	86,216	-			86,216	-
Mathematical and Physical Sciences	47.049	1,212	-			1,212	-
Mathematical and Physical Sciences	47.049	154,021	-			154,021	-
Mathematical and Physical Sciences	47.049	125,285	-			125,285	-
Mathematical and Physical Sciences	47.049	151,346	-			151,346	-
Mathematical and Physical Sciences	47.049	149,510	-			149,510	-
Mathematical and Physical Sciences	47.049	156,835	-			156,835	-
Mathematical and Physical Sciences	47.049	189,334	-			189,334	-
Mathematical and Physical Sciences	47.049	101,736	-			101,736	-
Mathematical and Physical Sciences	47.049	270,941	-			270,941	-
Mathematical and Physical Sciences	47.049	217,627	-			217,627	-
Mathematical and Physical Sciences	47.049	12,941	-			12,941	-
Mathematical and Physical Sciences	47.049	118,611	-			118,611	-
Mathematical and Physical Sciences	47.049	338,398	-			338,398	-
Mathematical and Physical Sciences	47.049	2,556,480	-			2,556,480	23,446
Mathematical and Physical Sciences	47.049	168,801	-			168,801	-
Mathematical and Physical Sciences	47.049	57,228	-			57,228	-
Mathematical and Physical Sciences	47.049	147,950	-			147,950	-
Mathematical and Physical Sciences	47.049	137,960	-			137,960	-
Mathematical and Physical Sciences	47.049	144,979	-			144,979	-
Mathematical and Physical Sciences	47.049	158,085	-			158,085	-
Mathematical and Physical Sciences	47.049	102,019	-			102,019	-
Mathematical and Physical Sciences	47.049	101,858	-			101,858	-
Mathematical and Physical Sciences	47.049	68,420	-			68,420	-
Mathematical and Physical Sciences	47.049	9,600	-			9,600	-
Mathematical and Physical Sciences	47.049	9,651	-			9,651	-
Quantal Heating in Electron Systems with Discrete Spectra	47.049	-	54,873	City College (CUNY)	CM00001636-00 out-period	54,873	-
		11,425,663	288,311			11,713,974	23,446
Geosciences	47.050	89,190	-			89,190	-
Geosciences	47.050	112,753	-			112,753	88,829
Geosciences	47.050	80,984	-			80,984	-
Geosciences	47.050	13,116	-			13,116	-
Geosciences	47.050	70,234	-			70,234	-
Geosciences	47.050	33,196	-			33,196	-
Geosciences	47.050	437,121	-			437,121	261,831
		836,594	-			836,594	350,660
ASCENT: Advancing Computer Science Careers through Enhanced Networking and Training	47.070	-	(3,688)	Computing Research Association	POSTDOC005	(3,688)	-
CIF21 DIBBs: El- Vizer Streamlined Data Curation	47.070	-	205,408	The Research Foundation for the State University of New York	R1045441 Amd 2	205,408	-
Computer and Information Science and Engineering	47.070	40,333	-			40,333	-
Computer and Information Science and Engineering	47.070	5,917	-			5,917	-
Computer and Information Science and Engineering	47.070	146,638	-			146,638	-
Computer and Information Science and Engineering	47.070	87,080	-			87,080	-
Computer and Information Science and Engineering	47.070	149,442	-			149,442	-
Computer and Information Science and Engineering	47.070	107,335	-			107,335	-
Computer and Information Science and Engineering	47.070	4,095	-			4,095	-
Computer and Information Science and Engineering	47.070	36,913	-			36,913	-
Computer and Information Science and Engineering	47.070	173,878	-			173,878	-
Computer and Information Science and Engineering	47.070	407,062	-			407,062	-
Computer and Information Science and Engineering	47.070	34,496	-			34,496	-
Computer and Information Science and Engineering	47.070	110,060	-			110,060	-
Computer and Information Science and Engineering	47.070	988	-			988	-
Computer and Information Science and Engineering	47.070	63,723	-			63,723	-
Computer and Information Science and Engineering	47.070	73,123	-			73,123	-
Computer and Information Science and Engineering	47.070	30,634	-			30,634	-
Computer and Information Science and Engineering	47.070	114,602	-			114,602	-
Computer and Information Science and Engineering	47.070	10,735	-			10,735	-
Computer and Information Science and Engineering	47.070	1,933	-			1,933	-
Computer and Information Science and Engineering	47.070	26,222	-			26,222	-
Computer and Information Science and Engineering	47.070	57,941	-			57,941	-
Computer and Information Science and Engineering	47.070	144,138	-			144,138	52,165
Computer and Information Science and Engineering	47.070	93,263	-			93,263	-
Computer and Information Science and Engineering	47.070	76,863	-			76,863	-
Computer and Information Science and Engineering	47.070	28,012	-			28,012	-
Computer and Information Science and Engineering	47.070	24,932	-			24,932	-
Computer and Information Science and Engineering	47.070	6,153	-			6,153	-
Computer and Information Science and Engineering	47.070	82,227	-			82,227	-
Computer and Information Science and Engineering	47.070	57,363	-			57,363	-
Computer and Information Science and Engineering	47.070	14,539	-			14,539	-
Computer and Information Science and Engineering	47.070	133,581	-			133,581	-
Computer and Information Science and Engineering	47.070	65,053	-			65,053	-
Computer and Information Science and Engineering	47.070	248,942	-			248,942	-
Computer and Information Science and Engineering	47.070	127,041	-			127,041	62,065

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Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Computer and Information Science and Engineering	47.070	44,705	-	-	-	44,705	-
Computer and Information Science and Engineering	47.070	223,264	-	-	-	223,264	-
Computer and Information Science and Engineering	47.070	95	-	-	-	95	-
Computer and Information Science and Engineering	47.070	26,919	-	-	-	26,919	-
Computer and Information Science and Engineering	47.070	49,581	-	-	-	49,581	-
Computer and Information Science and Engineering	47.070	96,945	-	-	-	96,945	-
Computer and Information Science and Engineering	47.070	25,284	-	-	-	25,284	-
Computer and Information Science and Engineering	47.070	93,061	-	-	-	93,061	-
Computer and Information Science and Engineering	47.070	24,016	-	-	-	24,016	-
Computer and Information Science and Engineering	47.070	89,620	-	-	-	89,620	-
Computer and Information Science and Engineering	47.070	76,803	-	-	-	76,803	-
Computer and Information Science and Engineering	47.070	63,392	-	-	-	63,392	-
Computer and Information Science and Engineering	47.070	108,247	-	-	-	108,247	-
Computer and Information Science and Engineering	47.070	16,310	-	-	-	16,310	-
Computer and Information Science and Engineering	47.070	72,237	-	-	-	72,237	-
Computer and Information Science and Engineering	47.070	118,845	-	-	-	118,845	-
Computer and Information Science and Engineering	47.070	62,079	-	-	-	62,079	-
Computer and Information Science and Engineering	47.070	40,737	-	-	-	40,737	-
Computer and Information Science and Engineering	47.070	95,297	-	-	-	95,297	-
Computer and Information Science and Engineering	47.070	11,839	-	-	-	11,839	-
Computer and Information Science and Engineering	47.070	122,410	-	-	-	122,410	-
Computer and Information Science and Engineering	47.070	148	-	-	-	148	-
Computer and Information Science and Engineering	47.070	11,174	-	-	-	11,174	-
Computer and Information Science and Engineering	47.070	7,786	-	-	-	7,786	-
Computer and Information Science and Engineering	47.070	25,490	-	-	-	25,490	-
Computer and Information Science and Engineering	47.070	40,620	-	-	-	40,620	-
Computer and Information Science and Engineering	47.070	15,628	-	-	-	15,628	-
Computer and Information Science and Engineering	47.070	33,729	-	-	-	33,729	-
Computer and Information Science and Engineering	47.070	6,577	-	-	-	6,577	-
Computer and Information Science and Engineering	47.070	33,835	-	-	-	33,835	-
Computer and Information Science and Engineering	47.070	11,651	-	-	-	11,651	-
Computer and Information Science and Engineering	47.070	122,182	-	-	-	122,182	-
Computer and Information Science and Engineering	47.070	401,971	-	-	-	401,971	150,843
Computer and Information Science and Engineering	47.070	(1,341)	-	-	-	(1,341)	-
Computer and Information Science and Engineering	47.070	134,012	-	-	-	134,012	99,278
Computer and Information Science and Engineering	47.070	73,509	-	-	-	73,509	-
Computer and Information Science and Engineering	47.070	1,200	-	-	-	1,200	-
Computer and Information Science and Engineering	47.070	7,973	-	-	-	7,973	-
Computer and Information Science and Engineering	47.070	135,181	-	-	-	135,181	-
Computer and Information Science and Engineering	47.070	113,478	-	-	-	113,478	-
Computer and Information Science and Engineering	47.070	14,516	-	-	-	14,516	-
Computer and Information Science and Engineering	47.070	119,739	-	-	-	119,739	-
Computer and Information Science and Engineering	47.070	172,132	-	-	-	172,132	-
Computer and Information Science and Engineering	47.070	88,242	-	-	-	88,242	-
Computer and Information Science and Engineering	47.070	20,399	-	-	-	20,399	-
Computer and Information Science and Engineering	47.070	5,175	-	-	-	5,175	-
Computer and Information Science and Engineering	47.070	13,612	-	-	-	13,612	-
Computer and Information Science and Engineering	47.070	4,094	-	-	-	4,094	-
Computer and Information Science and Engineering	47.070	10,756	-	-	-	10,756	-
Computer and Information Science and Engineering	47.070	107,689	-	-	-	107,689	-
Computer and Information Science and Engineering	47.070	17,403	-	-	-	17,403	-
Computer and Information Science and Engineering	47.070	188,105	-	-	-	188,105	-
Computer and Information Science and Engineering	47.070	97,069	-	-	-	97,069	-
Computer and Information Science and Engineering	47.070	12,489	-	-	-	12,489	-
Computer and Information Science and Engineering	47.070	25,358	-	-	-	25,358	-
Computer and Information Science and Engineering	47.070	67,827	-	-	-	67,827	-
Computer and Information Science and Engineering	47.070	681,790	-	-	-	681,790	-
Computer and Information Science and Engineering	47.070	63,445	-	-	-	63,445	-
Computer and Information Science and Engineering	47.070	627	-	-	-	627	-
Computer and Information Science and Engineering	47.070	1,314	-	-	-	1,314	-
Computer and Information Science and Engineering	47.070	4,005	-	-	-	4,005	-
Computer and Information Science and Engineering	47.070	65,016	-	-	-	65,016	-
Computer and Information Science and Engineering	47.070	63,545	-	-	-	63,545	-
Computer and Information Science and Engineering	47.070	26,564	-	-	-	26,564	-
Computer and Information Science and Engineering	47.070	23,792	-	-	-	23,792	-
COSMOS: Cloud-Enhanced Open Software-Defined Mobile-Wireless Testbed	47.070	-	175,610	Rutgers University	0424 Mod 2	175,610	-
EAGER: Collaborative-Evidence-Preserve and Prove Forensic Soundness of Digital Evidence	47.070	67,635	-	-	-	67,635	-
EAGER Smart Community Big data CO-OP	47.070	-	17,718	US Ignite, LLC	Services Agreement and Task Order 1	17,718	-
NetS: Small: Collaborative Research: Caching and Coding for Media Delivery	47.070	-	-	-	-	-	-
In Next Generation Wireless Networks	47.070	100,024	-	-	-	100,024	-
SaTC: CORE: Medium: Collaborative: Towards Trustworthy Deep Neural Network Based At: A Systems Approach	47.070	139,166	-	-	-	139,166	-
SaTC: CORE: Small: Better Software Security Through Caging	47.070	12,942	-	-	-	12,942	-
SaTC: CORE: Small: Scalable and Meaningful Threat Intelligence Generation	47.070	211,024	-	-	-	211,024	-
Type A: Institute for Research and Innovation in Software for High Energy Physics (IRIS-HEP)	47.070	-	223,278	Princeton University	SUB0000278 A01	223,278	-
Working Group on Instrumented Learning Spaces	47.070	-	56,486	Digital Promise Global	IIS-1837463	56,486	-
		7,847,240	674,812			8,522,052	364,351

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Biological Sciences	47.074	23,358	-			23,358	-
Biological Sciences	47.074	30,715	-			30,715	-
Biological Sciences	47.074	5,057	-			5,057	-
Biological Sciences	47.074	27,699	-			27,699	-
Biological Sciences	47.074	218,428	-			218,428	-
Biological Sciences	47.074	(119,339)	-			(119,339)	-
Biological Sciences	47.074	949,801	-			949,801	167,347
Biological Sciences	47.074	(61)	-			(61)	-
Biological Sciences	47.074	460,803	-			460,803	166,172
Biological Sciences	47.074	198,191	-			198,191	-
Biological Sciences	47.074	318,324	-			318,324	-
Biological Sciences	47.074	214,336	-			214,336	-
Biological Sciences	47.074	2,213	-			2,213	-
Biological Sciences	47.074	74,090	-			74,090	-
Biological Sciences	47.074	310,262	-			310,262	-
Biological Sciences	47.074	90,516	-			90,516	-
Biological Sciences	47.074	564,445	-			564,445	-
Biological Sciences	47.074	-	101,148	University of Michigan	3004704725	101,148	-
MaizeCode - An Initial Analysis of Functional Elements in the Maize Genome	47.074	-	174,948	Cold Spring Harbor Laboratory	52560318 A04	174,948	-
RESEARCH-PGR: Living Fossils: Applying advances in single-molecule sequencing to decode large and complex genomes of ancient plant lineages	47.074	-	62,230	Cold Spring Harbor Laboratory	52670114	62,230	-
		3,368,838	338,326			3,707,164	333,519
Education and Human Resources	47.075	127,119	-			127,119	-
IBSS: Under the Hood of Policing: Examining How Procedural Mechanisms Produce Systemic Inequality in Municipal Law Enforcement	47.075	-	55,363	John Jay College of Criminal Justice	CM00001075-01	55,363	-
Social, Behavioral, and Economic Sciences	47.075	17,554	-			17,554	-
Social, Behavioral, and Economic Sciences	47.075	15,795	-			15,795	-
Social, Behavioral, and Economic Sciences	47.075	59,648	-			59,648	-
Social, Behavioral, and Economic Sciences	47.075	51,512	-			51,512	-
Social, Behavioral, and Economic Sciences	47.075	1,110	-			1,110	-
Social, Behavioral, and Economic Sciences	47.075	10,589	-			10,589	-
Social, Behavioral, and Economic Sciences	47.075	40,966	-			40,966	-
Social, Behavioral, and Economic Sciences	47.075	84,393	-			84,393	69,768
Social, Behavioral, and Economic Sciences	47.075	2,347	-			2,347	-
Social, Behavioral, and Economic Sciences	47.075	25,809	-			25,809	-
Social, Behavioral, and Economic Sciences	47.075	7,836	-			7,836	-
Social, Behavioral, and Economic Sciences	47.075	51,708	-			51,708	-
Social, Behavioral, and Economic Sciences	47.075	181,149	-			181,149	-
Social, Behavioral, and Economic Sciences	47.075	(1,206)	-			(1,206)	-
Social, Behavioral, and Economic Sciences	47.075	33,062	-			33,062	-
Social, Behavioral, and Economic Sciences	47.075	51,708	-			51,708	-
Social, Behavioral, and Economic Sciences	47.075	224,125	-			224,125	-
Social, Behavioral, and Economic Sciences	47.075	94,266	-			94,266	-
Social, Behavioral, and Economic Sciences	47.075	15,441	-			15,441	-
Social, Behavioral, and Economic Sciences	47.075	4,151	-			4,151	-
Social, Behavioral, and Economic Sciences	47.075	136,472	-			136,472	-
Social, Behavioral, and Economic Sciences	47.075	30,115	-			30,115	-
Social, Behavioral, and Economic Sciences	47.075	53,367	-			53,367	-
Social, Behavioral, and Economic Sciences	47.075	18,833	-			18,833	-
Social, Behavioral, and Economic Sciences	47.075	8,404	-			8,404	-
Social, Behavioral, and Economic Sciences	47.075	(2,510)	-			(2,510)	-
Social, Behavioral, and Economic Sciences	47.075	7,140	-			7,140	-
Social, Behavioral, and Economic Sciences	47.075	(43)	-			(43)	-
Social, Behavioral, and Economic Sciences	47.075	100,738	-			100,738	-
Social, Behavioral, and Economic Sciences	47.075	139,493	-			139,493	-
Social, Behavioral, and Economic Sciences	47.075	132,361	-			132,361	107,612
Social, Behavioral, and Economic Sciences	47.075	5,208	-			5,208	-
Social, Behavioral, and Economic Sciences	47.075	(1,634)	-			(1,634)	-
Social, Behavioral, and Economic Sciences	47.075	29,505	-			29,505	-
Social, Behavioral, and Economic Sciences	47.075	186,293	-			186,293	-
Social, Behavioral, and Economic Sciences	47.075	22,283	-			22,283	-
Social, Behavioral, and Economic Sciences	47.075	21,280	-			21,280	-
Social, Behavioral, and Economic Sciences	47.075	94,687	-			94,687	-
Social, Behavioral, and Economic Sciences	47.075	91,828	-			91,828	-
Social, Behavioral, and Economic Sciences	47.075	182,417	-			182,417	-
Social, Behavioral, and Economic Sciences	47.075	3,571	-			3,571	-
Social, Behavioral, and Economic Sciences	47.075	38,670	-			38,670	-
Social, Behavioral, and Economic Sciences	47.075	994	-			994	-
Social, Behavioral, and Economic Sciences	47.075	138	-			138	-
Social, Behavioral, and Economic Sciences	47.075	(5)	-			(5)	-
Social, Behavioral, and Economic Sciences	47.075	17,455	-			17,455	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Social, Behavioral, and Economic Sciences	47.075	34,786	-			34,786	-
Social, Behavioral, and Economic Sciences	47.075	(157)	-			(157)	-
Social, Behavioral, and Economic Sciences	47.075	133,658	-			133,658	-
Social, Behavioral, and Economic Sciences	47.075	135,047	-			135,047	-
Social, Behavioral, and Economic Sciences	47.075	4,120	-			4,120	-
Social, Behavioral, and Economic Sciences	47.075	7,177	-			7,177	-
Social, Behavioral, and Economic Sciences	47.075	11,507	-			11,507	-
Social, Behavioral, and Economic Sciences	47.075	1,213	-			1,213	-
Social, Behavioral, and Economic Sciences	47.075	194,069	-			194,069	-
Social, Behavioral, and Economic Sciences	47.075	290,337	-			290,337	30,198
Social, Behavioral, and Economic Sciences	47.075	51,583	-			51,583	-
Social, Behavioral, and Economic Sciences	47.075	143,251	-			143,251	-
Social, Behavioral, and Economic Sciences	47.075	8,746	-			8,746	-
Social, Behavioral, and Economic Sciences	47.075	8,868	-			8,868	-
Social, Behavioral, and Economic Sciences	47.075	204,755	-			204,755	-
Social, Behavioral, and Economic Sciences	47.075	72,668	-			72,668	-
Social, Behavioral, and Economic Sciences	47.075	1,122	-			1,122	-
Social, Behavioral, and Economic Sciences	47.075	141,234	-			141,234	-
Social, Behavioral, and Economic Sciences	47.075	128,907	-			128,907	-
Social, Behavioral, and Economic Sciences	47.075	74,147	-			74,147	-
Social, Behavioral, and Economic Sciences	47.075	67,579	-			67,579	8,553
Social, Behavioral, and Economic Sciences	47.075	146,950	-			146,950	-
Social, Behavioral, and Economic Sciences	47.075	400	-			400	-
Social, Behavioral, and Economic Sciences	47.075	75,959	-			75,959	-
Social, Behavioral, and Economic Sciences	47.075	44,213	-			44,213	-
Social, Behavioral, and Economic Sciences	47.075	98,212	-			98,212	-
Social, Behavioral, and Economic Sciences	47.075	19,654	-			19,654	-
Type A: The sociohydrological system of a tropical forest frontier: land-climate-water feedbacks and farmer adaptation	47.075	-	36,890	University of Montana	PG19-66897-01	36,890	-
Urban Resilience to Extreme Weather Related Events Sustainability Research Network (UREX SRN)	47.075	-	43,156	Arizona State University	16-795 Amd 03	43,156	-
		4,506,147	135,409			4,641,556	216,131
CLASS: Continuous Learning and Automated Scoring in Science	47.076	-	(123)	The Regents of the University of California	00008962/PO: BB00671660	(123)	-
Collaborative Research: STEM Training, Employment in Industry & Entrepreneurship	47.076	-	254,933	Ohio State University	60048778-NYU	254,933	-
Collaborative Research: Improving the Implementation of Rigorous Instructional Materials in Middle-Grades Mathematics: Developing a System of Practical Measures and Routines	47.076	-	20,731	University of Washington	UWSC9582 Amd 2; PO: BPO20403	20,731	-
Education and Human Resources	47.076	201,547	-			201,547	-
Education and Human Resources	47.076	522,149	-			522,149	346,028
Education and Human Resources	47.076	180,136	-			180,136	-
Education and Human Resources	47.076	303,636	-			303,636	-
Education and Human Resources	47.076	99,612	-			99,612	-
Education and Human Resources	47.076	159,473	-			159,473	69,274
Education and Human Resources	47.076	3,923	-			3,923	-
Education and Human Resources	47.076	97,207	-			97,207	-
Education and Human Resources	47.076	639,874	-			639,874	315,494
Education and Human Resources	47.076	389,715	-			389,715	-
Education and Human Resources	47.076	12,738	-			12,738	-
Education and Human Resources	47.076	331,680	-			331,680	-
Education and Human Resources	47.076	338,806	-			338,806	-
Education and Human Resources	47.076	341,321	-			341,321	-
Education and Human Resources	47.076	448,621	-			448,621	-
Education and Human Resources	47.076	289,920	-			289,920	-
Education and Human Resources	47.076	14,315	-			14,315	-
Education and Human Resources	47.076	212,561	-			212,561	-
Education and Human Resources	47.076	65,714	-			65,714	-
Education and Human Resources	47.076	1,433,546	-			1,433,546	-
FY 2019 Study of the U.S. Institutes for Scholars: A Multi-dimensional Examination of U.S. Society and Institutions	47.076	-	58,786	University of California, Irvine	2019-3714 Amd 01	58,786	-
Helping Parents to See Mathematics Ability as Malleable: Implications for Children's Mathematics Learning	47.076	-	26,508	University of Illinois, Urbana-champaign	079340-16174 Amd 02	26,508	-
IDEAS: Inventing, Designing, and Engineering on the Autism Spectrum	47.076	-	2,244	Education Development Center	12041 Amd 2	2,244	-
Improving Math Identity for Underrepresented Populations: An Implementation and Impact Study of the After-School Math Plus (ASM+) Curriculum study	47.076	-	55,296	Education Development Center	12041 Amd 2	55,296	-
NRT-IGE: Information Infrastructure for Society: Integrating Data Science and Social Science in Graduate Education and Workforce Development	47.076	-	83,437	Impaq International	1515586-2578 mod # 5	83,437	-
Plant Tracer: A time-Lapse App for Students to visualize, quantify and report novel mutants in plant motion	47.076	-	50,535	University of Maryland, College Park	42176-24801002 Amd B	50,535	-
Plant Tracer: A time-Lapse App for Students to visualize, quantify and report novel mutants in plant motion	47.076	-	101,571	Pace University	CD0005823 Amd 1	101,571	-
Stereotype-based contagion in Problem Based Learning Contexts and STEM Identification	47.076	-	41,037	Pace University	CD0005823 Amd 1	41,037	-
Understanding & Improving Learning from Online Mathematics Classroom Videos	47.076	-	200,300	University of Delaware	41387 Amendment 1	200,300	-
		-	65,500	University of Illinois, Urbana-champaign	083755-16481 Amd 01	65,500	-
		6,086,494	960,755			7,047,249	730,796

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Office of International Science and Engineering	47.079	(160)	-			(160)	-
PIRE: Advanced Artificial Muscles for International and Globally Competitive Research and Education in Soft Robotics	47.079	-	61,827	University of Nevada, Las Vegas	GR06611 (71415560A)	61,827	-
		(160)	61,827			61,667	-
NYC Regional Innovation Node (NYCRIN)	47.080	-	8,115	Research Foundation of the City University of New York (RF CUNY)	40D14-C NCE 3	8,115	-
		-	8,115			8,115	-
ARRA - Trans-NSF Recovery Act Reasearch Support	47.082	633	-			633	-
		633	-			633	-
Office of Integrative Activities	47.083	-	136,718	University of Michigan	3003847460	136,718	-
		-	136,718			136,718	-
Total National Science Foundation		37,185,425	3,315,438			40,500,863	2,159,665
Department of Veterans Affairs							
Research and Development	64.054	-	25,228	Narrows Inst for Biomed Rsh	19-A0-00-1003540	25,228	-
		-	25,228			25,228	-
VA Medical Center	64.RD	1,105,344	-			1,105,344	-
		1,105,344	-			1,105,344	-
Total Department of Veterans Affairs		1,105,344	25,228			1,130,572	-
Environmental Protection Agency							
Science To Achieve Results (STAR) Research Program	66.509	-	(3,432)	American Heart Association	FX-ATRAC-NYU-05	(3,432)	-
Science To Achieve Results (STAR) Research Program	66.509	-	17,776	Research Foundation of the State University of New York	1132005-2-74711	17,776	-
		-	14,344			14,344	-
Science To Achieve Results (STAR) Fellowship Program	66.514	11,422	-			11,422	-
		11,422	-			11,422	-
Environmental Education Grants	66.951	45,472	-			45,472	10,829
		45,472	-			45,472	10,829
Total Environmental Protection Agency		56,894	14,344			71,238	10,829
U.S. Department of Energy							
Breakthrough Electrolytes for Energy Storage (BEES)	81.049	-	93,737	Case Western Reserve University	RES513719	93,737	-
Center for Bio-Inspired Energy Science (CBES)	81.049	-	117,374	Northwestern University	SP0027267-PROJ0007140 A07	117,374	-
Immobilized Molecular Catalysts: From Basic Design Principles to Cascade Reactions	81.049	-	166,228	Georgia Institute of Technology	E-19-ZE4-G2 A14	166,228	-
Office of Science Financial Assistance Program	81.049	142,748	-			142,748	-
Office of Science Financial Assistance Program	81.049	12,600	-			12,600	-
Office of Science Financial Assistance Program	81.049	39,000	-			39,000	-
Office of Science Financial Assistance Program	81.049	334,683	-			334,683	-
Office of Science Financial Assistance Program	81.049	103,238	-			103,238	-
Office of Science Financial Assistance Program	81.049	112,187	-			112,187	-
Office of Science Financial Assistance Program	81.049	1,184,470	-			1,184,470	949,701
Office of Science Financial Assistance Program	81.049	250,832	-			250,832	-
Office of Science Financial Assistance Program	81.049	211,392	-			211,392	-
Office of Science Financial Assistance Program	81.049	530,162	-			530,162	-
Office of Science Financial Assistance Program	81.049	146,892	-			146,892	-
Quantum Materials for Energy Efficient Neuromorphic Computing (Q-MEEN-C)	81.049	-	34,189	University of California, San Diego	111163617 (S9002150) A001	34,189	-
SBIR: Photothermal Solar Cell	81.049	-	49,727	Aquaneers Inc	DE-SC0015924	49,727	-
Center for Bio-Inspired Energy Science (CBES)	81.049	-	3	Northwestern University	SP0027267-PROJ0007140 A06	3	-
		3,068,204	461,258			3,529,462	949,701
Multi-modal Energy-optimal Trip Scheduling in Real-time (METS-R) for Transportation Hubs	81.086	-	66,635	Purdue University	14000391- 018	66,635	-
		-	66,635			66,635	-
Support for Reactor Operators in Case of Cyber-Security Threats	81.121	-	85,117	Ohio State University	60054137 Mod 2	85,117	-
		-	85,117			85,117	-
Advanced Research Projects Agency - Energy	81.135	114,487	-			114,487	-
		114,487	-			114,487	-
Capacity Utilization of Building Energy (CUBE)	81.RD	-	85,804	Lawrence Livermore National Security, LLC	B632425 Mod 2	85,804	-
Capacity Utilization of Building Energy (CUBE)	81.RD	-	52,285	Lawrence Livermore National Security, LLC	B632425 Mod 2	52,285	-
Ice Sheet Model Optimization and Uncertainty Quantification	81.RD	-	148,565	Triad National Security LLC	458494 Sponsor Change - RISK	148,565	-
SiGe-Al Josephson Junction Field-Effect Transistors	81.RD	-	13,609	Sandia National Laboratories	1915665 Rev. 1	13,609	-
		-	300,263			300,263	-
Total U.S. Department of Energy		3,182,691	913,273			4,095,964	949,701
MEGA: Computer Science is Fundamental: Evaluating the Reach Quality and Impact of CS4All	84.RD	-	525,680	Fund for Public Schools	N/A	525,680	97,000
		-	525,680			525,680	97,000

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National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	84.015	268,594	-			268,594	10,246
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	84.015	1,190	-			1,190	1,190
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	84.015	29,284	-			29,284	19,093
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	84.015	213,755	-			213,755	48,967
TYPE A: 84.051A CU-NYU Latin American & Caribbean Studies Consortium Project	84.015	-	67,005	Columbia University	1(GG013993) - Amendment 2	67,005	-
		512,823	67,005			579,828	79,496
Overseas Programs - Doctoral Dissertation Research Abroad	84.022	4,729	-			4,729	-
Overseas Programs - Doctoral Dissertation Research Abroad	84.022	63,232	-			63,232	-
		67,961	-			67,961	-
Graduate Assistance in Areas of National Need	84.200	(16,256)	-			(16,256)	-
		(16,256)	-			(16,256)	-
(SBIR Phase 1) A More Perfect Union: The impacts of a classroom role-playing game on students' civic literacy	84.305	-	11,366	Gigantic Mechanic	91990018C0026	11,366	-
Expanding the Evidence Base for Career and Technical Education (CTE) Network-Network Participation	84.305	-	768	American Institutes for Research (AIR)	0467100005 Mod 1	768	-
Between Home and School: Distance School Buses and Student Outcomes	84.305	-	81,457	Syracuse University	25267-04675-S01 Mod #2	81,457	-
Design analysis and Design Decisions	84.305	-	769	University of Rochester	PCM 413981-G	769	-
Developing a Model for Delivering School-Based Mentoring to Students in Military Families	84.305	-	19,593	University of Arkansas	SA1508065 Amendment No. 5	19,593	-
Education Research, Development and Dissemination	84.305	(1)	-			(1)	-
Education Research, Development and Dissemination	84.305	-	13,863	The Children'S Hospital of Philadelphia	3272530622	13,863	-
Education Research, Development and Dissemination	84.305	-	8,786	University of Texas	UTA13-000970	8,786	-
Education Research, Development and Dissemination	84.305	368,001	-			368,001	6,550
Education Research, Development and Dissemination	84.305	35,303	-			35,303	11,395
Education Research, Development and Dissemination	84.305	355,776	-			355,776	-
Education Research, Development and Dissemination	84.305	344,119	-			344,119	174,213
Education Research, Development and Dissemination	84.305	308,962	-			308,962	-
Education Research, Development and Dissemination	84.305	598,083	-			598,083	75,115
Education Research, Development and Dissemination	84.305	26,262	-			26,262	43,651
Education Research, Development and Dissemination	84.305	860,920	-			860,920	-
Education Research, Development and Dissemination	84.305	772,935	-			772,935	136,516
Education Research, Development and Dissemination	84.305	207,179	-			207,179	34,952
Focused Computer Games that Promote Specific Cognitive Skills	84.305	-	178,602	University of California Santa Barbara	KK1605 Amd 04	178,602	-
Nuestras Familias: Refining an Evidence-Based Intervention to Promote Latino Student Academic Success and Positive Behavioral Outcomes Through School-Family Partnerships	84.305	-	18,988	University of Oregon	224650A	18,988	-
School Support School Connectedness and the Educational Outcomes for Military- Connected Students: An Exploratory Study of Student Mobility	84.305	-	31,258	Boston University	4500002734	31,258	-
Sustaining the Boost: Longitudinal Impacts of the Boston Prekindergarten Program and Variation in Impacts	84.305	-	(5,029)	University of Michigan	300336935 Amd 04	(5,029)	-
		3,877,539	360,421			4,237,960	482,392
Reading Apprenticeship Across the Disciplines: Effective Secondary Teaching and Learning through Literacy Leadership project	84.367	-	51,234	Impaq International	2597 Mod # 5	51,234	-
		-	51,234			51,234	-
Multi-year comprehensive analysis of the achievement gap for African American, Latino and students eligible for free or reduced lunch in the state of Connecticut.	84.372	-	34	Connecticut Commission on Children	16SDE0172AA	34	-
		-	34			34	-
Design2Learn	84.411	-	121,788	Expanded Schools	U411C150068	121,788	-
		-	121,788			121,788	-
Total U.S. Department of Education		4,442,067	1,126,162			5,568,229	658,888
US Department of Health and Human Services							
Metagenomics of the Oral Microbiome	93.RD	-	(67,500)	J. Craig Venter Institute	N/A	(67,500)	-
		-	(67,500)			(67,500)	-
Training in General, Pediatric, and Public Health Dentistry	93.059	98	-			98	-
Training in General, Pediatric, and Public Health Dentistry	93.059	217,693	-			217,693	-
		217,791	-			217,791	-
Chronic Diseases: Research, Control, and Prevention	93.068	818,062	-			818,062	31,324
Chronic Diseases: Research, Control, and Prevention	93.068	-	(3,367)	Weill Cornell Medical College	170524	(3,367)	-
		818,062	(3,367)			814,695	31,324

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Center for Coordination of Analytics Science Enhancement and Logistics (CASEL) in Tobacco Regulatory Science (U54)	93.077	-	100,681	Westat	6644-00-S001	100,681	-
Center for Evaluation and Coordination of Training and Research (CECTR) in Tobacco Regulatory Science	93.077	-	58,013	Westat	6260-S04 (prime 5U54CA189222-05)	58,013	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research	93.077	5,367	-			5,367	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research	93.077	-	33,796	University of Colorado Denver	FY19.958.001	33,796	-
		5,367	192,490			197,857	-
Research of the Responsible Conduct of Research (RCR)	93.085	25,554	-			25,554	-
		25,554	-			25,554	-
Pre-and-Post-Release Multimodal Interventions for Incarcerated Fathers Targeting Parenting Economic Stability and Healthy Relationships.	93.086	-	56,980	University of Oregon	290160A	56,980	-
		-	56,980			56,980	-
HHS Programs for Disaster Relief Appropriations Act - Non Construction	93.095	(710,559)	-			(710,559)	-
		(710,559)	-			(710,559)	-
HHS Programs for Disaster Relief Appropriations Act - Construction	93.096	9,687,398	-			9,687,398	-
		9,687,398	-			9,687,398	-
Food and Drug Administration_Research	93.103	(17,162)	-			(17,162)	-
Food and Drug Administration_Research	93.103	-	177,991	Vanderbilt Univ Med Ctr	VUMC58398	177,991	-
		(17,162)	177,991			160,829	-
Discovery of conserved molecular mechanisms underlying population-wide variation in toxin responses	93.113	-	26,742	Northwestern University	60052569 NYU	26,742	-
Environmental Health	93.113	4,207,042	-			4,207,042	447,031
Environmental Health	93.113	-	34,733	Mount Sinai School of Med	0255-B391-4609	34,733	-
Environmental Health	93.113	-	207,152	Kaiser Fnd Rsh Inst	WUH-10047	207,152	21,929
Environmental Health	93.113	168,598	-			168,598	-
Environmental Health	93.113	255,849	-			255,849	-
Environmental Health	93.113	219,127	-			219,127	-
Environmental Health	93.113	317,974	-			317,974	-
Environmental Health	93.113	(205)	-			(205)	-
Environmental Health	93.113	409,589	-			409,589	-
		5,577,974	268,627			5,846,601	468,960
Calcium Sulfate Based Bioactive Bone Graft	93.121	-	(3,678)	Biolog International—Orthogen Corp	SBIR PHASE II	(3,678)	-
Clinical Registry of Dental Outcome in Head and Neck Cancer Patients	93.121	-	23,442	Carolinas Healthcare System (CHS)	3000301333 (A18-0261-S005) Amendment 1	23,442	-
Clinical Registry of Dental Outcomes in Head and Neck Cancer Patients	93.121	-	198,599	Carolinas Healthcare System (CHS)	3000301333	198,599	-
Clinical Registry of Dental Outcomes in Head and Neck Cancer Patients	93.121	-	4	Carolinas Healthcare System (CHS)	2000203699 (14-050S4) Amendment 3	4	-
Fish "N" Chips:A Microfluidic Processor for Isolating and Analyzing Microbes	93.121	-	457	Sandia National Laboratories	PO-975516	457	-
Growth factors-induced dentinogenesis	93.121	-	52,548	Rutgers University	0280 Mod 3	52,548	-
Lab-on-a-Chip-Based System for Detection and Monitoring of Oral Cancer	93.121	-	240,311	Sensody, LLC	1001 Amendment 4	240,311	-
Local Modulation of Inflammation to Heal Cranial-facial Bone Defects	93.121	-	3,847	University of Medicine & Dentistry of New Jersey	1R01DE01019926-04	3,847	-
Matrix-Based Mineral Enamel Biomimetics	93.121	-	(708)	University of Southern California	H36105	(708)	-
Oral Diseases and Disorders Research	93.121	671,057	-			671,057	(13,250)
Oral Diseases and Disorders Research	93.121	-	20,004	NYU Bluestone Center for Clin Research	F8807-01	20,004	-
Oral Diseases and Disorders Research	93.121	-	30,639	Univ of Pennsylvania	577180	30,639	-
Oral Diseases and Disorders Research	93.121	270,554	-			270,554	-
Oral Diseases and Disorders Research	93.121	713	-			713	-
Oral Diseases and Disorders Research	93.121	49,386	-			49,386	-
Oral Diseases and Disorders Research	93.121	394,240	-			394,240	33,579
Oral Diseases and Disorders Research	93.121	430,559	-			430,559	-
Oral Diseases and Disorders Research	93.121	772,002	-			772,002	28,657
Oral Diseases and Disorders Research	93.121	360,614	-			360,614	-
Oral Diseases and Disorders Research	93.121	35,802	-			35,802	4,440
Oral Diseases and Disorders Research	93.121	101,377	-			101,377	-
Oral Diseases and Disorders Research	93.121	390,302	-			390,302	15,976
Oral Diseases and Disorders Research	93.121	430,318	-			430,318	12,677
Oral Diseases and Disorders Research	93.121	732,581	-			732,581	353,781
Oral Diseases and Disorders Research	93.121	280,092	-			280,092	101,663
Oral Diseases and Disorders Research	93.121	424,671	-			424,671	34,636
Oral Diseases and Disorders Research	93.121	(10,291)	-			(10,291)	-
Oral Diseases and Disorders Research	93.121	11,771	-			11,771	11,753
Oral Diseases and Disorders Research	93.121	310,276	-			310,276	60,006
Oral Diseases and Disorders Research	93.121	477,238	-			477,238	-
Oral Diseases and Disorders Research	93.121	189,961	-			189,961	-
Oral Diseases and Disorders Research	93.121	3,964	-			3,964	-
Oral Diseases and Disorders Research	93.121	324,361	-			324,361	-
Oral Diseases and Disorders Research	93.121	196,399	-			196,399	-
Oral Diseases and Disorders Research	93.121	322,274	-			322,274	-

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PHASE I: STTR Sub-award to Perionics LLC - Xin Li	93.121	-	4,320	Perionics Care, LLC	1R41DE028212-01A1	4,320	-
Phase III RCT of the Effectiveness of Silver Diamine Fluoride in Arresting Cavitated Caries Lesions	93.121	-	919	University of Michigan	3004717497	919	-
Phase III RCT of the Effectiveness of Silver Diamine Fluoride in Arresting Cavitated Caries Lesions	93.121	-	643,816	University of Michigan	3004717497 Amendment No.2	643,816	-
Role of p300 in HPV-positive Head and Neck Cancer	93.121	-	288,132	Case Western Reserve University	RESS13300 out-year	288,132	-
Role of p300 in HPV-positive Head and Neck Cancer	93.121	-	(71,326)	Ohio State University	60044559 A03	(71,326)	-
Superhydrophobic Implantable Surface and 3D Printing Technology for Targeted Dental Photodynamic Therapy	93.121	-	309	Singleto2 Therapeutics LLC	R41DE026083-01A1	309	-
Treat-to-target and personalized approach to periodontal therapy	93.121	-	15,912	University of Connecticut	UCHC7-111148407	15,912	-
		7,170,221	1,447,547			8,617,768	643,918
Centers for Research and Demonstration for Health Promotion and Disease Prevention	93.135	987,622	-			987,622	188,515
		987,622	-			987,622	188,515
Injury Prevention and Control Research and State and Community Based Programs	93.136	-	(477)	Univ of Washington	UWSC7420	(477)	-
		-	(477)			(477)	-
Hazardous Materials Worker Health and Safety Training (U45) Cooperative Agreement	93.142	-	107,829	Rutgers University	0600 MOD 1	107,829	-
		-	107,829			107,829	-
NIHES Superfund Hazardous Substances_Basic Research and Education	93.143	-	8,914	University of Chicago	FP048528-02-PR-B	8,914	-
		-	8,914			8,914	-
Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153	666,957	-			666,957	267,615
		666,957	-			666,957	267,615
Development of recommendations and policies for genetic variant reclassification	93.172	-	19,265	Columbia University	1(GG013080-01) AMD 1	19,265	-
Human Genome Research	93.172	1,500	-			1,500	-
Human Genome Research	93.172	2,440,929	-			2,440,929	-
Human Genome Research	93.172	-	522,920	The Ontario Inst for Cancer Rah	P2017-0001	522,920	-
		2,442,429	542,185			2,984,614	-
Improving clinical speech remediation with ultrasound technology	93.173	-	55,244	CUNY Graduate Center	41884-D Amd 05	55,244	-
Research Related to Deafness and Communication Disorders	93.173	3,388,890	-			3,388,890	323,498
Research Related to Deafness and Communication Disorders	93.173	-	247,672	Brandeis University	403626	247,672	-
Research Related to Deafness and Communication Disorders	93.173	-	44,444	North Carolina State University	2018-2600-01	44,444	-
Research Related to Deafness and Communication Disorders	93.173	-	162,275	University of Texas at Dallas	1806253	162,275	-
Research Related to Deafness and Communication Disorders	93.173	-	55,889	Washington Univ/St. Louis School of Med	WU-19-253	55,889	-
Research Related to Deafness and Communication Disorders	93.173	-	29,861	Social & Scientific Syss Inc	CRB-SSS-S-15-004660	29,861	-
Research Related to Deafness and Communication Disorders	93.173	-	30,445	Univ of Iowa	1001622176	30,445	-
Research Related to Deafness and Communication Disorders	93.173	13,543	-			13,543	-
Research Related to Deafness and Communication Disorders	93.173	591,305	-			591,305	-
Research Related to Deafness and Communication Disorders	93.173	130,042	-			130,042	-
Research Related to Deafness and Communication Disorders	93.173	192,822	-			192,822	83,815
Research Related to Deafness and Communication Disorders	93.173	484,574	-			484,574	-
Research Related to Deafness and Communication Disorders	93.173	210,960	-			210,960	-
Research Related to Deafness and Communication Disorders	93.173	190,438	-			190,438	-
Research Related to Deafness and Communication Disorders	93.173	7,143	-			7,143	-
Research Related to Deafness and Communication Disorders	93.173	60,195	-			60,195	-
Research Related to Deafness and Communication Disorders	93.173	78,542	-			78,542	2,452
Research Related to Deafness and Communication Disorders	93.173	553,632	-			553,632	-
Research Related to Deafness and Communication Disorders	93.173	(17,856)	-			(17,856)	-
Research Related to Deafness and Communication Disorders	93.173	22,350	-			22,350	-
Research Related to Deafness and Communication Disorders	93.173	375,115	-			375,115	-
Research Related to Deafness and Communication Disorders	93.173	14,128	-			14,128	-
Research Related to Deafness and Communication Disorders	93.173	107,053	-			107,053	-
Research Related to Deafness and Communication Disorders	93.173	276,893	-			276,893	-
STTR Phase I: staRt: Enhancing speech intervention with smartphone-delivered biofeedback	93.173	-	116,552	Girlfriends Labs LLC	NCE 06022019	116,552	-
Walking exploration and language in high and low risk infants	93.173	-	71,158	University of Pittsburgh	CNVA00059569 (130900-1) Amd 01	71,158	-
		6,679,769	813,540			7,493,309	409,765
National Research Service Award in Primary Care Medicine	93.186	345,158	-			345,158	-
		345,158	-			345,158	-
Research and Training in Complementary and Integrative Health	93.213	407,125	-			407,125	-
Research and Training in Complementary and Alternative Medicine	93.213	1,576,418	-			1,576,418	415,130
Research and Training in Complementary and Alternative Medicine	93.213	-	82,184	Mount Sinai Med Ctr of Florida Inc	AT009149	82,184	-
Research and Training in Complementary and Alternative Medicine	93.213	-	63,265	Mount Sinai Med Ctr of Florida Inc	UH3AT009149	63,265	-
Trauma-Informed Mindfulness-Based Yoga Intervention for Juvenile Justice-Involved Youth	93.213	-	18,004	Georgia State University	SP00013079-05 AMD 1	18,004	-
		1,983,543	163,453			2,146,996	415,130
National Research Service Awards_Health Services Research Training	93.225	178,839	-			178,839	-
		178,839	-			178,839	-
Research on Healthcare Costs, Quality and Outcomes	93.226	(17)	-			(17)	-
Research on Healthcare Costs, Quality and Outcomes	93.226	2,474,862	-			2,474,862	118,879
Research on Healthcare Costs, Quality and Outcomes	93.226	-	964	Albert Einstein College of Med	311229	964	-
Research on Healthcare Costs, Quality and Outcomes	93.226	-	6,400	Weill Cornell Medical College	181549	6,400	-
Research on Healthcare Costs, Quality and Outcomes	93.226	-	93,998	National Committee for Quality Assurance	4040-0001	93,998	-
Research on Healthcare Costs, Quality and Outcomes	93.226	18,999	-			18,999	18,132
		2,493,844	101,362			2,595,206	137,011
National Center on Sleep Disorders Research	93.233	229,778	-			229,778	-
National Center on Sleep Disorders Research	93.233	-	61,341	Columbia University	1 (GG015006-02)	61,341	-
		229,778	61,341			291,119	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Development and Testing of a Just-in-Time Adaptive Smart Phone Intervention to Reduce Drinking among Homeless Adults	93.237	-	36,410	University of North Texas Health Science Center	RF00140-2018-0324 (1R34AA024584-01A1) AMD 1	36,410	-
		-	36,410			36,410	-
Research Education Institute for Diverse Scholars (REIDS)	93.242	-	17,013	Yale University	GR103600 (CON-80001319)	17,013	-
CRCNS: Neural Basis of Planning	93.242	-	64,311	Yale University	GR104389 (CON-80001429) A01	64,311	-
Developing an HIV Prevention Intervention for Young MSM Through Improved Parent-Child Communication	93.242	-	23,753	George Washington University	17-M65 A02	23,753	-
Local mRNA degradation in GluR1 signaling synaptic plasticity and cognitive function	93.242	-	29,161	Weill Medical College of Cornell University	180154	29,161	-
Mental Health Research Grants	93.242	8,794,925	-			8,794,925	1,934,246
Mental Health Research Grants	93.242	-	92,246	Harvard Univ	114202-5095074	92,246	-
Mental Health Research Grants	93.242	-	3,373	Johns Hopkins Univ	2002986208	3,373	-
Mental Health Research Grants	93.242	-	142,832	Massachusetts Inst of Tech	S4714	142,832	-
Mental Health Research Grants	93.242	-	15,436	Princeton University	SUB0000199	15,436	-
Mental Health Research Grants	93.242	-	74,217	Univ of Minnesota	N006784001	74,217	-
Mental Health Research Grants	93.242	-	87,146	University Medical Center Utrecht	5R01MH111417-02-2	87,146	-
Mental Health Research Grants	93.242	-	9,403	University of California, Merced	SA17-0093	9,403	-
Mental Health Research Grants	93.242	-	57,853	Washington Univ	WU-19-144	57,853	-
Mental Health Research Grants	93.242	-	(12,048)	Weill Cornell Medical College	15081421	(12,048)	-
Mental Health Research Grants	93.242	-	113,942	Weill Cornell Medical College	1904154-2	113,942	-
Mental Health Research Grants	93.242	-	32,414	Yale Univ	M17A12650 (A11004)	32,414	-
Mental Health Research Grants	93.242	-	(6,173)	Rsh Fnd for Mental Hygiene Inc	1012489 3 25321	(6,173)	-
Mental Health Research Grants	93.242	-	109,652	Mount Sinai Med Ctr	0255-4091-4609	109,652	-
Mental Health Research Grants	93.242	-	228,766	Max Planck Florida Institute for Neuro	NYU19842RY10	228,766	-
Mental Health Research Grants	93.242	-	13,269	Rand Corporation	9920160098	13,269	-
Mental Health Research Grants	93.242	-	263	Palo Alto Veterans Inst for Rsh & Edu	CLO0001-09	263	-
Mental Health Research Grants	93.242	-	193,152	Research Foundation of the City University of New York (RF CUNY)	CM0000384	193,152	-
Mental Health Research Grants	93.242	-	12,507	Fordham University	FOR00032	12,507	-
Mental Health Research Grants	93.242	-	26,319	Child Mind Institute	1R01MH115363 Sub N1	26,319	-
Mental Health Research Grants	93.242	-	25,599	Child Mind Institute	7R01MH105506 Sub N2	25,599	-
Mental Health Research Grants	93.242	-	(663)	City College of New York (CCNY)	41861-B	(663)	-
Mental Health Research Grants	93.242	5,712	-			5,712	-
Mental Health Research Grants	93.242	44,062	-			44,062	-
Mental Health Research Grants	93.242	430,425	-			430,425	-
Mental Health Research Grants	93.242	14,246	-			14,246	-
Mental Health Research Grants	93.242	137,625	-			137,625	-
Mental Health Research Grants	93.242	(2)	-			(2)	-
Mental Health Research Grants	93.242	25,376	-			25,376	-
Mental Health Research Grants	93.242	643,558	-			643,558	-
Mental Health Research Grants	93.242	26,517	-			26,517	-
Mental Health Research Grants	93.242	379,464	-			379,464	-
Mental Health Research Grants	93.242	(3,567)	-			(3,567)	-
Mental Health Research Grants	93.242	349,438	-			349,438	-
Mental Health Research Grants	93.242	60,633	-			60,633	-
Mental Health Research Grants	93.242	14,291	-			14,291	-
Mental Health Research Grants	93.242	3,689	-			3,689	-
Mental Health Research Grants	93.242	34,756	-			34,756	-
Mental Health Research Grants	93.242	146,149	-			146,149	-
Mental Health Research Grants	93.242	443,015	-			443,015	-
Mental Health Research Grants	93.242	24,870	-			24,870	-
Mental Health Research Grants	93.242	460,859	-			460,859	-
Mental Health Research Grants	93.242	287,256	-			287,256	22,225
Mental Health Research Grants	93.242	235,579	-			235,579	-
Mental Health Research Grants	93.242	30,859	-			30,859	-
Mental Health Research Grants	93.242	433,661	-			433,661	-
Mental Health Research Grants	93.242	19,292	-			19,292	-
Mental Health Research Grants	93.242	18,400	-			18,400	11,404
Mental Health Research Grants	93.242	74,818	-			74,818	-
Mental Health Research Grants	93.242	645	-			645	-
Mental Health Research Grants	93.242	7,935	-			7,935	-
Mental Health Research Grants	93.242	687,543	-			687,543	458,181
Mental Health Research Grants	93.242	133,302	-			133,302	-
Mental Health Research Grants	93.242	59,965	-			59,965	-
Mental Health Research Grants	93.242	(3,786)	-			(3,786)	-
Mental Health Research Grants	93.242	296,774	-			296,774	58,348
Molecular mechanisms of memory maintenance and dysfunction in neural circuits	93.242	-	407,958	Downstate Medical Center	100-1147125-81588 A01	407,958	-
MRI based presymptomatic prediction of ASD	93.242	-	14,045	Washington University in St. Louis (WUISL)	WU-19-413	14,045	-
Multi-Site Non-Invasive Magneto-thermal Excitation and Inhibition of Deep Brain Structures (Supplement for 1R01MH111872)	93.242	-	43,360	Massachusetts Institute of Technology	S4652 PO214971	43,360	-
Neural Dynamics of Human Working Memory Networks	93.242	-	16,605	University of California, Berkeley	9419	16,605	-
Risk of Depression, Neighborhood Characteristics, and Physical Activity	93.242	-	995	New York Academy of Medicine	SUBAWARD NO.1	995	-
Stigma Associated with a High Risk State for Psychosis Among Adolescents	93.242	-	59,555	Columbia University	1(GG011004-01) - AMD 2	59,555	-

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Transgenic Dissection of the Neural Circuitry of the Intact Hippocampal Formation	93.242	-	90,001	University of Oregon	215310A	90,001	-
TYPE A: SUUBIHER: A Combination Intervention Addressing HIV Risk Behaviors Among Older Adolescent Girls Transitioning into Adulthood in Uganda	93.242	-	24,340	Washington University In St. Louis (WUJSL)	WU-19-191-MOD-1	24,340	-
TYPE A: Kyaterekera Project: A Combination Intervention Addressing Sexual Risk-Taking Behaviors Among Vulnerable Women in Uganda	93.242	-	29,413	The Washington University	WU-19-202 MOD 1	29,413	-
Type B: Development and validation of empirical models of the neuronal population activity underlying non-invasive human brain measurements	93.242	-	398,886	Utrecht University	1R01MH111417-01-1 Amd 3 Sup	398,886	-
		14,320,284	2,438,901			16,759,185	2,484,404
Bridging the Gap Program	93.243	-	48,084	Jewish Board of Family and Children's Services	N/A	48,084	-
BTC MAT Project Evaluation	93.243	-	69,354	New York State Unified Court System	C250599 Amendment 2	69,354	-
Substance Abuse and Mental Health Services, Projects of Regional and National Significance	93.243	810,480	-			810,480	-
Substance Abuse and Mental Health Services, Projects of Regional and National Significance	93.243	-	3,082	Amer Psychiatric Assoc	19-A0-00-1002255	3,082	-
Substance Abuse and Mental Health Services, Projects of Regional and National Significance	93.243	-	84,713	Ohel Children'S Home and Family Services	15-A0-00-004643	84,713	-
Substance Abuse and Mental Health Services, Projects of Regional and National Significance	93.243	-	76,310	University of Connecticut	UCHC7-110505269-A2	76,310	-
Substance Abuse and Mental Health Services, Projects of Regional and National Significance	93.243	-	32,541	University of Connecticut	UCHC7-110552839-A2	32,541	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243	-	1,158			1,158	-
		811,638	314,084			1,125,722	-
Advanced Nursing Education Workforce Grant Program	93.247	33,558	-			33,558	-
Advanced Nursing Education Workforce Grant Program	93.247	610,646	-			610,646	148,525
Advanced Nursing Education Workforce Grant Program	93.247	57,555	-			57,555	67,849
		701,759	-			701,759	216,374
NIOSH (Region II) Education Resources Center	93.262	-	4,034	Icahn School of Medicine at Mount Sinai	0253-6538-4609 Amendment 2	4,034	-
Occupational Safety and Health Education & Research Centers (T42)	93.262	-	3,748	Icahn School of Medicine at Mount Sinai	0253-6539-4609 Amendment No. 5	3,748	-
Occupational Safety and Health Program	93.262	6,134,787	-			6,134,787	416,024
Occupational Safety and Health Program	93.262	-	183,570	Mount Sinai School of Med	0253-6538-4609	183,570	-
Occupational Safety and Health Program	93.262	-	56,326	Mount Sinai School of Med	0254-B031-4609	56,326	-
Occupational Safety and Health Program	93.262	-	105,499	Univ of Pittsburgh	0053367 (131632-1)	105,499	-
OEHN PhD training program	93.262	-	(3,881)	Icahn School of Medicine at Mount Sinai	0253-6537-4609 Amendment No.2	(3,881)	-
OEHN Phd Training Program	93.262	-	172,961	Icahn School of Medicine at Mount Sinai	0253-6538-4609 Amendment No.4	172,961	-
		6,134,787	522,237			6,657,044	416,024
Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief	93.266	55,746	-			55,746	-
		55,746	-			55,746	-
Alcohol Research Programs	93.273	(619)	-			(619)	-
Alcohol Research Programs	93.273	42,763	-			42,763	-
Alcohol Research Programs	93.273	152,202	-			152,202	93,538
Alcohol Research Programs	93.273	2,036,051	-			2,036,051	113,177
Alcohol Research Programs	93.273	-	211,282	Columbia University	1 (GG013596-01)	211,282	-
Alcohol Research Programs	93.273	-	(495)	University of Connecticut Health Center	UCHC6-49877151	(495)	-
Alcohol Research Programs	93.273	-	89,918	State University of New York Downstate Medical Center	100-1009153-68005	89,918	-
TYPE C: Calibrated Agent Simulations for Combined Analysis of Drinking Etiologies (CASCADE)	93.273	-	42,151	University of Sheffield	R01AA024443 SUB03 NYU	42,151	-
		2,230,397	342,856			2,573,253	206,715
CHASE: An Innovative County-Level Public Health Response to the Opioid Epidemic in New York State	93.279	-	2,942	Columbia University	1(GG015428)	2,942	-
Cocaine and Material Behavior: Effects in trajectory of infant brain development	93.279	-	135,668	University of North Carolina, Chapel Hill	5104776 Amd 4	135,668	-
Defining the impact of injection drug use on antiretroviral therapy and HIV treatment outcomes: an (epi)genomic approach	93.279	-	76,941	Yale University	GR104754 (CON-80001624) Amendment 1	76,941	-
Drug Abuse and Addiction Research Programs	93.279	13,120,672	-			13,120,672	3,808,685
Drug Abuse and Addiction Research Programs	93.279	-	(3,983)	Children'S Hospital Los Angeles	RGF009146-C	(3,983)	-
Drug Abuse and Addiction Research Programs	93.279	-	17,775	Columbia University	1(GG011547)	17,775	-
Drug Abuse and Addiction Research Programs	93.279	-	6,237	Mount Sinai School of Med	0255-7641-4609	6,237	-
Drug Abuse and Addiction Research Programs	93.279	-	79,820	National Development Research Institute	654A	79,820	-

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Drug Abuse and Addiction Research Programs	93.279	-	54,497	National Development Research Institute	NDRI PROJECT #660	54,497	-
Drug Abuse and Addiction Research Programs	93.279	-	9,896	Rutgers Univ	258	9,896	-
Drug Abuse and Addiction Research Programs	93.279	-	20,744	Univ of California Los Angeles	18-A1-00-1000106	20,744	-
Drug Abuse and Addiction Research Programs	93.279	-	20,285	University of California, Davis	A18-0560-S002	20,285	-
Drug Abuse and Addiction Research Programs	93.279	-	42,646	Rsh Fnd for Mental Hygiene Inc	10117541-5-25987	42,646	-
Drug Abuse and Addiction Research Programs	93.279	-	76,741	Nathan S. Kline Inst for Psychiatric Rsh	26746	76,741	-
Drug Abuse and Addiction Research Programs	93.279	-	(4,325)	Children's Research Institute	30003671-02	(4,325)	-
Drug Abuse and Addiction Research Programs	93.279	381	-			381	2,104
Drug Abuse and Addiction Research Programs	93.279	99,410	-			99,410	94,985
Drug Abuse and Addiction Research Programs	93.279	(5,000)	-			(5,000)	-
Drug Abuse and Addiction Research Programs	93.279	441,353	-			441,353	31,472
Drug Abuse and Addiction Research Programs	93.279	56,272	-			56,272	-
Drug Abuse and Addiction Research Programs	93.279	18,435	-			18,435	6,516
Drug Abuse and Addiction Research Programs	93.279	(2,181)	-			(2,181)	(7,181)
Drug Abuse and Addiction Research Programs	93.279	246,191	-			246,191	250,020
Drug Abuse and Addiction Research Programs	93.279	75,599	-			75,599	-
Drug Abuse and Addiction Research Programs	93.279	269,724	-			269,724	-
Drug Abuse and Addiction Research Programs	93.279	1,388,425	-			1,388,425	83,874
Drug Abuse and Addiction Research Programs	93.279	29,694	-			29,694	-
Drug Abuse and Addiction Research Programs	93.279	885,904	-			885,904	213,018
Drug Abuse and Addiction Research Programs	93.279	219,926	-			219,926	1,470
Drug Abuse and Addiction Research Programs	93.279	170,305	-			170,305	-
Drug Abuse and Addiction Research Programs	93.279	717,289	-			717,289	51,013
Drug Abuse and Addiction Research Programs	93.279	6,089	-			6,089	-
Drug Abuse and Addiction Research Programs	93.279	22,553	-			22,553	-
Drug Abuse and Addiction Research Programs	93.279	195,650	-			195,650	-
Drug Abuse and Addiction Research Programs	93.279	716,828	-			716,828	172,561
Drug Abuse and Addiction Research Programs	93.279	12,155	-			12,155	13,925
Drug Abuse and Addiction Research Programs	93.279	729,759	-			729,759	199,977
Drug Abuse and Addiction Research Programs	93.279	32,286	-			32,286	-
Drug Abuse and Addiction Research Programs	93.279	469,842	-			469,842	-
Drug Abuse and Addiction Research Programs	93.279	65,164	-			65,164	42,393
Drug Abuse and Addiction Research Programs	93.279	36,118	-			36,118	-
Drug Abuse and Addiction Research Programs	93.279	331	-			331	-
Drug Abuse and Addiction Research Programs	93.279	588,387	-			588,387	253,368
Drug Abuse and Addiction Research Programs	93.279	6,834	-			6,834	-
Drug Abuse and Addiction Research Programs	93.279	326,078	-			326,078	-
Drug Abuse and Addiction Research Programs	93.279	39,251	-			39,251	-
Drug Abuse and Addiction Research Programs	93.279	359,921	-			359,921	147,914
Drug Abuse and Addiction Research Programs	93.279	100,227	-			100,227	-
Drug Abuse and Addiction Research Programs	93.279	27,864	-			27,864	-
Drug Abuse and Addiction Research Programs	93.279	4,076	-			4,076	-
Drug Abuse and Addiction Research Programs	93.279	72,039	-			72,039	-
Feature selection of DNA methylation biosignatures for neuropathy with comorbid drug abuse in the setting of HIV infection	93.279	-	76,688	Yale University	GR104440 (CON-80001625) Amd 1	76,688	-
HIV/Drug Abuse Prevention Research Ethics Training Institute	93.279	-	1,056	Fordham University	FORD0031 Amd 1	1,056	-
Host Genetics of HIV: Enhancing Discovery through Study	93.279	-	43,229	RTI International	4-312-0214454-52251L Mod 3	43,229	-
Migrant Puerto Rican PWID: The Influence of Acculturation and Enculturation on HIV Risk Behaviors	93.279	-	5,080	National Development and Research Institutes	#656A	5,080	-
Rural Comorbidity and HIV Consequences of Opioid Use Research and Treatment Initiative (Rural Cohort)	93.279	-	34,177	University of Washington	UWSC11152	34,177	-
Syndemic Production in Emergent Adult Men	93.279	-	158,589	Rutgers University	0457 (3R01DA025537-11S1)	158,589	-
Syndemic Production in Emergent Adult Men	93.279	-	1,828	Rutgers University	0259 (7R01DA025537-10)	1,828	-
TYPE A: Maternal HIV/Alcohol effect on neonatal immune development	93.279	-	8,825	Emory University	A148892	8,825	-
Using Omics to Understand the Effects of Drug Abuse on HIV Latent Reservoir	93.279	-	301,410	RTI International	3-312-0216573-65366L Mod No. 2	301,410	-
		21,543,851	1,166,766			22,710,617	5,366,114

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.283	(104,788)	-			(104,788)	-
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.283	-	(69,057)	Rhode Island Hospital	7017137227	(69,057)	-
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.283	-	14,198	Research Foundation of the State University of New York	77598	14,198	-
		<u>(104,788)</u>	<u>(54,859)</u>			<u>(159,647)</u>	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	5,134,460	-			5,134,460	824,146
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	112,862	Regents of The University of Minnesota	N006269303	112,862	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	246,221	Riverside Rah Inst	NYO.1187.00057.16	246,221	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	147,609	-			147,609	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	51,460	-			51,460	-
Field Shaping Scintillator-Coupled High-Gain Avalanche Rushing Photoconductor (SHARP) For Active Matrix Flat							
Panel Imager (AMFPI): Towards Large-Area High-Efficiency and Low-Dose X-RAY Imaging	93.286	-	3,932	Stony Brook University	80396/2/1144497 Amendment 1	3,932	-
In utero mouse embryo phenotyping with high-frequency ultrasound	93.286	-	136,643	Riverside Research Institute	NYO.1187.00058.16 Amd #2	136,643	-
In utero mouse embryo phenotyping with high-frequency ultrasound	93.286	-	8,877	Riverside Research Institute	NYO.1187.00058.16 Amd 4	8,877	-
In utero mouse embryo phenotyping with high-frequency ultrasound	93.286	-	(19,005)	Riverside Research Institute	NYO.1187.00058.16	(19,005)	-
Shape Analysis Toolbox for Medical Image Computing Projects	93.286	-	139,164	Kilware Inc.	K001687-00-S02 Mod 3	139,164	-
		<u>5,333,529</u>	<u>628,694</u>			<u>5,962,223</u>	<u>824,146</u>
Racial and Ethnic Approaches to Community Health	93.304	-	24,995	Asian/Pac Islander Amer Hlt forum	19-A0-00-1002513	24,995	-
		<u>-</u>	<u>24,995</u>			<u>24,995</u>	<u>-</u>
Improving Risk Prediction for Type II Diabetes Mellitus (T2D) Using Behavioral Metabolomic and Microbial Biomarkers	93.307	-	19,266	Yale University	GR102563 (CON-80001215) Amendment 1	19,266	-
Improving Risk Prediction for Type II Diabetes Mellitus (T2D) Using Behavioral Metabolomic and Microbial Biomarkers	93.307	-	4,830	Yale University	GR107368(CON-80001890) Amendment 2	4,830	-
Mechanisms of Health Promotion in Diverse Youth Through Gay-Straight Alliances	93.307	-	25,478	Boston College	5102111-01 Amd 04	25,478	-
Minority Health and Health Disparities Research	93.307	389,917	-			389,917	4,715
Minority Health and Health Disparities Research	93.307	5,735	-			5,735	-
Minority Health and Health Disparities Research	93.307	4,865,956	-			4,865,956	912,592
Minority Health and Health Disparities Research	93.307	-	409,582	Univ of California Los Angeles	1557 G UB690	409,582	-
Minority Health and Health Disparities Research	93.307	-	62,512	Rand Corporation	9920180013	62,512	-
Racial and Ethnic Disparities in Chronic Disease Outcomes and Nurse Practitioner	93.307	-	28,701	Columbia University	1(GG012238-01)	28,701	-
		<u>5,261,608</u>	<u>550,369</u>			<u>5,811,977</u>	<u>917,307</u>
Trans-NIH Research Support	93.310	(5,002)	-			(5,002)	(10,003)
Trans-NIH Research Support	93.310	15,682,189	-			15,682,189	1,012,990
Trans-NIH Research Support	93.310	-	19,994	Asian/Pac Islander Amer Hlt forum	HCM-CSAAH-2018	19,994	-
Trans-NIH Research Support	93.310	-	6,527	Duke Clinical Research Institute	203-7965	6,527	-
Trans-NIH Research Support	93.310	-	122,910	Narrows Inst for Biomed Rah	19-A0-00-1002521	122,910	-
Trans-NIH Research Support	93.310	-	4,466	Health Research, Inc.	5365-01	4,466	-
Trans-NIH Research Support	93.310	3,160,172	-			3,160,172	2,043,933
Trans-NIH Research Support	93.310	65,478	-			65,478	-
Trans-NIH Research Support	93.310	826,593	-			826,593	544,582
Trans-NIH Research Support	93.310	668	-			668	-
Trans-NIH Research Support	93.310	337,336	-			337,336	87,681
Trans-NIH Research Support	93.310	71	-			71	-
Trans-NIH Research Support	93.310	759,939	-			759,939	-
PROJECT ASAP-NYI: A Campaign to End Health Inequity and Invisibility in the Asian American Community	93.310	-	6,580	American Association of Colleges of Nursing	OT20D023206	6,580	-
		<u>20,827,444</u>	<u>160,477</u>			<u>20,987,921</u>	<u>3,679,183</u>
Validity and Utility of the National Health Security Index for Public Health Preparedness	93.317	-	84,368	The University of Kentucky Research Foundation	3200002270-19-181	84,368	-
		<u>-</u>	<u>84,368</u>			<u>84,368</u>	<u>-</u>
Family Burden and Expenditures in Hospice	93.341	-	9,462	Icahn School of Medicine at Mount Sinai	0255-C121-4609	9,462	-
		<u>-</u>	<u>9,462</u>			<u>9,462</u>	<u>-</u>

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
National Center for Advancing Translational Sciences	93.350	1,209,417	-			1,209,417	404,431
National Center for Advancing Translational Sciences	93.350	-	184,575	Rockefeller University	5U18TR0002312-02	184,575	-
National Center for Advancing Translational Sciences	93.350	-	45,885	Univ of Pittsburgh	AWD00000243 (152627-28)	45,885	-
National Center for Research Resources	93.350	1,072,349	-			1,072,349	-
SBIR Phase II: Instrument for Holographic Characterization of Protein Aggregates	93.350	-	37,693	Spheryx, Inc.	2R44TR001590-02	37,693	-
		<u>2,281,766</u>	<u>268,153</u>			<u>2,549,919</u>	<u>404,431</u>
Research Infrastructure Programs	93.351	<u>299,927</u>	-			<u>299,927</u>	-
		<u>299,927</u>	-			<u>299,927</u>	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	(20)	Fred Hutchinson Cancer Rsh Ctr	926110	(20)	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	251,803	Dana-Farber Cancer Ctr	1244307	251,803	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	426,585	Dana-Farber Cancer Ctr	1205901	426,585	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	303,127	University of Utah	10048536-01	303,127	-
		-	<u>981,495</u>			<u>981,495</u>	-
Nursing Research	93.361	882,893	-			882,893	225,334
Nursing Research	93.361	-	43,669	Columbia University	2(GG010995-01)	43,669	-
Nursing Research	93.361	-	2,528	Univ of Florida	UFDSP00012171	2,528	-
Nursing Research	93.361	653,492	-			653,492	-
Nursing Research	93.361	252,788	-			252,788	-
Nursing Research	93.361	259,350	-			259,350	-
Nursing Research	93.361	83,902	-			83,902	-
Nursing Research	93.361	35,358	-			35,358	-
Nursing Research	93.361	48,783	-			48,783	-
Nursing Research	93.361	640,021	-			640,021	240,143
Nursing Research	93.361	103,420	-			103,420	-
Severe Maternal Morbidity: An Investigation of Racial-Ethnic Disparities		-	-			-	-
Social Disadvantage & Maternal Weight	93.361	-	21,648	Stanford University	62080080-125082 Future Funding	21,648	-
		<u>2,960,007</u>	<u>67,845</u>			<u>3,027,852</u>	<u>465,477</u>
Cancer Cause and Prevention Research	93.393	8,715,072	-			8,715,072	654,280
Cancer Cause and Prevention Research	93.393	-	48,043	Case Western Reserve University	RES513827	48,043	-
Cancer Cause and Prevention Research	93.393	-	12,792	Duke Univ	2036489	12,792	-
Cancer Cause and Prevention Research	93.393	-	38,997	Fred Hutchinson Cancer Rsh Ctr	974953	38,997	-
Cancer Cause and Prevention Research	93.393	-	194,949	Georgetown Univ	410965_GR410907	194,949	-
Cancer Cause and Prevention Research	93.393	-	42,043	Harvard Univ	117202-5104484	42,043	-
Cancer Cause and Prevention Research	93.393	-	62,752	Johns Hopkins Univ	2003033859	62,752	-
Cancer Cause and Prevention Research	93.393	-	32,971	Memorial Sloan-Kettering Cancer Ctr	BD521545A	32,971	-
Cancer Cause and Prevention Research	93.393	-	126,866	Sloan Kettering Inst for Cancer Rsch	BD519869A	126,866	-
Cancer Cause and Prevention Research	93.393	-	321,896	Univ of New Mexico	3RCQ4	321,896	-
Cancer Cause and Prevention Research	93.393	-	130,172	The Jackson Laboratory	210255	130,172	-
A novel point of care test for oral and oropharyngeal cancer risk	93.393	-	42,941	University of California, San Diego	86288856 (MP invoice # S9001612) Amend 002	42,941	-
Beyond demographics: Mixed-methods research for effective communication tools to prevent tobacco use in Hispanic adolescents and young adults	93.393	-	3,918	Johns Hopkins University	2004278503	3,918	-
Cancer Cause and Prevention Research	93.393	129,757	-			129,757	-
Cancer Cause and Prevention Research	93.393	75,875	-			75,875	-
Cancer Cause and Prevention Research	93.393	(1,001)	-			(1,001)	-
Chemoprevention by black raspberries in oral cancer induced by DB(a)P in mice	93.393	-	10,215	Pennsylvania State University	NYUCA173465 Amendment No.8	10,215	-
		<u>8,919,703</u>	<u>1,068,555</u>			<u>9,988,258</u>	<u>654,280</u>
Cancer Detection and Diagnosis Research	93.394	3,838,312	-			3,838,312	475,333
Cancer Detection and Diagnosis Research	93.394	-	9,956	Boston University	4500002916	9,956	-
Cancer Detection and Diagnosis Research	93.394	-	6,606	City University of New York	CM00000839	6,606	-
Cancer Detection and Diagnosis Research	93.394	-	21,638	H Lee Moffitt Cancer Ctr & Rsh Inst	10-18020-99-01-S1	21,638	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Cancer Detection and Diagnosis Research	93.394	-	43,670	Johns Hopkins Univ	2002983896	43,670	-
Cancer Detection and Diagnosis Research	93.394	-	13,999	Johns Hopkins Univ	2004249337	13,999	-
Cancer Detection and Diagnosis Research	93.394	-	158,612	University of Michigan	SUBK00007717	158,612	-
Cancer Detection and Diagnosis Research	93.394	-	25,412	Wistar Institute	25262-05-336	25,412	-
		<u>3,838,312</u>	<u>279,893</u>			<u>4,118,205</u>	<u>475,333</u>
Cancer Initiating Cells and Treatment Resistance	93.395	-	81,045	Case Western Reserve University	RESS13824	81,045	-
Cancer stem cells and treatment resistance	93.395	-	(6,448)	Ohio State University	60045269 A03	(6,448)	-
Cancer Treatment Research	93.395	4,553,130	-			4,553,130	808,302
Cancer Treatment Research	93.395	-	50,203	Case Western Reserve University	27469-123	50,203	-
Cancer Treatment Research	93.395	-	(7)	Cynwec LLC	16-A0-00-005424	(7)	-
Cancer Treatment Research	93.395	-	2,967	Fred Hutchinson Cancer Rsh Ctr	811768	2,967	-
Cancer Treatment Research	93.395	-	406,729	Massachusetts General Hospital	233272	406,729	-
Cancer Treatment Research	93.395	-	366,109	Medical University of South Carolina	MUSC18-047-8D170	366,109	-
Cancer Treatment Research	93.395	-	2,240	Research Foundation of the City University of New York (RF CUNY)	02-WU-CN-100032	2,240	-
Cancer Treatment Research	93.395	-	6,737	The Children'S Hospital of Philadelphia	FP00017458_SUB47_01	6,737	-
Cancer Treatment Research	93.395	-	24,639	The Children'S Hospital of Philadelphia	FP15221_SUB851_01	24,639	-
Cancer Treatment Research	93.395	-	30,010	The Children'S Hospital of Philadelphia	15221_SUB868_01	30,010	-
Cancer Treatment Research	93.395	-	(15,690)	The Children'S Hospital of Philadelphia	BIQSFP-AALL1131 11XS	(15,690)	-
Cancer Treatment Research	93.395	-	32,081	The Children'S Hospital of Philadelphia	FP00013087_SUB209_01	32,081	-
Cancer Treatment Research	93.395	-	8,690	Dana-Farber Cancer Ctr	1273104	8,690	-
Cancer Treatment Research	93.395	-	73,189	Dana-Farber Cancer Ctr	1238005	73,189	-
Cancer Treatment Research	93.395	-	257,213	Dana-Farber Cancer Ctr	1288101	257,213	-
Cancer Treatment Research	93.395	-	263,114	Md anderson Cancer Ctr	3001163724	263,114	17,449
Cancer Treatment Research	93.395	-	32,670	Seven Bridges Genomics Inc.	17X146	32,670	-
Cancer Treatment Research	93.395	-	185,969	Eastern Cooperative Oncology Group Ecog	U10CA180820-01-NYU1	185,969	-
Cancer Treatment Research	93.395	-	469,063	Children'S Hospital/Boston	GENFD0001507771	469,063	-
Cancer Treatment Research	93.395	<u>454,583</u>	<u>-</u>			<u>454,583</u>	<u>227,214</u>
		<u>5,007,713</u>	<u>2,270,523</u>			<u>7,278,236</u>	<u>1,052,965</u>
Cancer Biology Research	93.396	241,547	-			241,547	-
Cancer Biology Research	93.396	8,627,497	-			8,627,497	696,020
Cancer Biology Research	93.396	-	18,912	Johns Hopkins Univ	2003133697	18,912	-
Cancer Biology Research	93.396	-	368,789	Memorial Sloan-Kettering Cancer Ctr	BD523773	368,789	-
Cancer Biology Research	93.396	-	57,520	Mount Sinai School of Med	0255-1661-4609	57,520	-
Cancer Biology Research	93.396	-	232,055	Sloan Kettering Inst for Cancer Rsch	BD520651A	232,055	-
Cancer Biology Research	93.396	-	27,682	Univ of Miami Miller School of Med	SPC-000637	27,682	-
Cancer Biology Research	93.396	-	175,385	Univ of Pennsylvania	565016	175,385	-
Cancer Biology Research	93.396	-	228,736	Dana-Farber Cancer Ctr	1298608	228,736	-
Cancer Biology Research	93.396	-	45,695	Dana-Farber Cancer Ctr	1298607	45,695	-
Cancer Biology Research	93.396	-	200,573	Md anderson Cancer Ctr	5152	200,573	-
Cancer Biology Research	93.396	-	136,018	Georgia Tech Research Corporation (GTRC)	RH889-G1	136,018	-
Cancer Biology Research	93.396	<u>233,768</u>	<u>-</u>			<u>233,768</u>	<u>-</u>
		<u>9,302,812</u>	<u>1,491,365</u>			<u>10,794,177</u>	<u>696,020</u>
Cancer Centers Support Grants	93.397	3,530,164	-			3,530,164	-
Multi-scale Complex Systems Transdisciplinary Analysis of Response to Therapy (MC-START)	93.397	-	7,627	University of Southern California	H50591	7,627	-
Multi-Scale Complex Systems Transdisciplinary Analysis of Response to Therapy (MC-START)	93.397	-	2,975	University of Southern California	44732077	2,975	-
Topology of Cancer Evolution and Heterogeneity	93.397	-	65,837	Columbia University	3(GG10188-41) - Math Core	65,837	-
		<u>3,530,164</u>	<u>76,439</u>			<u>3,606,603</u>	<u>-</u>
Cancer Research Manpower	93.398	2,061,673	-			2,061,673	-
Cancer Research Manpower	93.398	-	33,542	H Lee Moffitt Cancer Ctr & Rsh Inst	10-18711-03-01-G3	33,542	-
		<u>2,061,673</u>	<u>33,542</u>			<u>2,095,215</u>	<u>-</u>

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Cancer Control	93.399	-	8,770	Oregon Hlt & Science Univ	CA037429	8,770	-
		-	8,770			8,770	-
ACL National Institute on Disability, Independent Living, and Rehabilitation Research	93.433	808,778	-			808,778	27,248
Barriers to ADA Implementation in Emergency Management.	93.433	-	78,842	Public Health Institute	00622 (90DP0081-01-01) Amd 3	78,842	-
		808,778	78,842			887,620	27,248
The New York City Collaborative Regional Coordinating Stroke Center	93.583	-	85,765	Icahn School of Medicine At Mount Sinai	0255-6585-4609 Amendment 7	85,765	-
The New York City Collaborative Regional Coordinating Stroke Center (NYCCRCC)	93.583	-	5,050	Icahn School of Medicine At Mount Sinai	0255-6585-4609 Amendment 5	5,050	-
		-	90,815			90,815	-
Head Start	93.600	3,534	-			3,534	-
Head Start	93.600	(71)	-			(71)	-
		3,463	-			3,463	-
Assistance for Torture Victims	93.604	44,878	-			44,878	-
		44,878	-			44,878	-
ACA-Transforming Clinical Practice Initiative: Practice Transformation Networks (PTNs)	93.638	2,400,827	-			2,400,827	607,963
		2,400,827	-			2,400,827	607,963
Illuminate, Inform, Inspire: Building upon ACT's Strengths to Support Hispanic Children and Families	93.647	-	41,670	Child Trends	90PH0025-02-00 Mod # 007	41,670	-
National Research Center on Hispanic Children and Families	93.647	-	4,312	Child Trends	1602 mod # 001	4,312	-
Social Services Research and Demonstration	93.647	12,300	-			12,300	-
		12,300	45,982			58,282	-
Adoption Opportunities	93.652	(7,137)	-			(7,137)	-
		(7,137)	-			(7,137)	-
Unaccompanied Alien Children Program	93.676	-	1,809	The Center for Victims of Torture	90ZT0142-01-01	1,809	-
		-	1,809			1,809	-
ARRA - Calcium Sulphate Based Bioactive Bone Graft	93.701	-	(3,799)	Biolog International-Orthogen Corp	3R44DE015703-03S1	(3,799)	-
ARRA - Epidemiology of Drugs and HIV Sex Risk Among Latino Migrants	93.701	-	5,215	Tulane University	TUL-HSC-150-08/09	5,215	-
		-	1,416			1,416	-
PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds	93.738	78,813	-			78,813	50,934
		78,813	-			78,813	50,934
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	5	-			5	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	-	51,784	Yale New Haven Health System	HHSM-500-2013-130181	51,784	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	-	10,338	Yale Univ	18-A0-00-1000761	10,338	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	-	86,413	NYS Dept of Hlt	C028950	86,413	-
		5	148,535			148,540	-
Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities	93.817	-	54,307	Public Hltsolutions	15-NYULS-01	54,307	-
		-	54,307			54,307	-
Assessment of Policies/Programs through Prediction of Long-term Effects on Cardiovascular Disease Using Simulation (APPLE CDS)	93.837	-	87,486	New York Academy of Medicine	GT002661_NYU_GPH	87,486	-
Cardiovascular Diseases Research	93.837	3,323	-			3,323	-
Cardiovascular Diseases Research	93.837	282,973	-			282,973	-
Cardiovascular Diseases Research	93.837	37,226,138	-			37,226,138	10,430,657
Cardiovascular Diseases Research	93.837	-	27,636	Brigham & Women'S Hospital	17-A0-00-1000330	27,636	-
Cardiovascular Diseases Research	93.837	-	38,482	Brigham & Women'S Hospital	110015	38,482	-
Cardiovascular Diseases Research	93.837	-	4,638	Brigham & Women'S Hospital	114117	4,638	-
Cardiovascular Diseases Research	93.837	-	2,263	Case Western Reserve University	RES551863	2,263	-
Cardiovascular Diseases Research	93.837	-	1,398	Cincinnati Children'S Hospital	138511	1,398	-
Cardiovascular Diseases Research	93.837	-	125,080	Columbia University	1(GG012712-01)	125,080	-
Cardiovascular Diseases Research	93.837	-	8,030	Columbia University	1(GG010203)	8,030	-
Cardiovascular Diseases Research	93.837	-	32,428	Mayo Clinic	NYU-215432	32,428	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Cardiovascular Diseases Research	93.837	-	3,540	Mayo Clinic	WIN-215432-03	3,540	-
Cardiovascular Diseases Research	93.837	-	527,226	Mount Sinai School of Med	0254-3895-4609	527,226	-
Cardiovascular Diseases Research	93.837	-	1,337	Mount Sinai School of Med	0255-0112-4605	1,337	-
Cardiovascular Diseases Research	93.837	-	332,402	NY Academy of Med	GT002661_NYU_SOM	332,402	-
Cardiovascular Diseases Research	93.837	-	46,325	Ohio State University	60071075	46,325	-
Cardiovascular Diseases Research	93.837	-	145,603	Rutgers Univ	5808	145,603	-
Cardiovascular Diseases Research	93.837	-	203,428	Univ of Alabama at Birmingham	000515198-001	203,428	-
Cardiovascular Diseases Research	93.837	-	8,330	Univ of Pennsylvania	567703	8,330	-
Cardiovascular Diseases Research	93.837	-	27,378	Univ of Pennsylvania	576593	27,378	-
Cardiovascular Diseases Research	93.837	-	404,306	Univ of Washington	UWSC8388	404,306	-
Cardiovascular Diseases Research	93.837	-	65	University of Virginia School of Medicine	2222/0003	65	-
Cardiovascular Diseases Research	93.837	-	(1,226)	Yale Univ	15-A0-00-004791	(1,226)	-
Cardiovascular Diseases Research	93.837	-	(61)	Yale University, School of Medicine	Site Number 150	(61)	-
Diabetes Self-Management & Support LIVE (Learning in Virtual Environments)	93.837	-	50,591	Duke University	2033274 Amendment 5	50,591	-
Economic Analyses of Policy Strategies to Improve Diet and Reduce CVD	93.837	-	51,128	Tufts University	101147-00003	51,128	-
Economic Analyses of Policy Strategies to Improve Diet and Reduce CVD	93.837	-	(76)	Tufts University	101147-0001 AMD 2	(76)	-
SF Bay Area MACS-WIHS Combined Cohort Study	93.837	-	74,559	The University of California, San Francisco	11294sc	74,559	-
		37,512,434	2,202,296			39,714,730	10,430,657
Lung Diseases Research	93.838	821,834	-			821,834	-
Lung Diseases Research	93.838	-	32,624	Columbia University	2(GG012240-01)	32,624	-
Lung Diseases Research	93.838	-	26,872	Northshore Univ HealthSystem	EH17-325-S2	26,872	-
		821,834	59,496			881,330	-
Blood Diseases and Resources Research	93.839	407,352	-			407,352	-
Blood Diseases and Resources Research	93.839	-	5,511	Rutgers Univ	SSA0148	5,511	-
Blood Diseases and Resources Research	93.839	-	21,840	Washington Univ	WU-18-220-MOD-1	21,840	-
Blood Diseases and Resources Research	93.839	-	8,849	Washington Univ	WU-18-273-MOD-1	8,849	-
		407,352	36,200			443,552	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	38,307	Boston University	4500002994	38,307	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	37,317	Case Western Reserve University	RESS13344	37,317	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	287,855	Kwame Nkrumah Univ of Science and Tech	819CHSD0507	287,855	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	24,211	Moi University School of Medicine	19-A0-00-1002675	24,211	-
		-	387,690			387,690	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	11,511,666	-			11,511,666	874,211
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	15,458	Brigham & Women'S Hospital	008262	15,458	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	43,137	Brigham & Women'S Hospital	119899	43,137	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	37,131	Univ of Pennsylvania	572080	37,131	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	127,302	Univ of Pennsylvania	567119	127,302	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	13,339	Univ of Southern California	112334270	13,339	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	120,169	-			120,169	-
		11,631,835	236,367			11,868,202	874,211
Cardiovascular Health in Emerging Adults with Type 1 Diabetes: Identifying Targets for Early Intervention	93.847	-	2,784	Albert Einstein College of Medicine	31180E NCE	2,784	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	136,893	-			136,893	51,889
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	379,895	-			379,895	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	75,959	-			75,959	11,138
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	11,378,305	-			11,378,305	1,265,862
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	19,073	Albert Einstein College of Med	31119F	19,073	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	2,242	Albert Einstein College of Med	332061	2,242	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	(5,870)	Mayo Clinic	63351113	(5,870)	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	(8,321)	Mayo Clinic	64110190	(8,321)	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	26,170	Mayo Clinic	NSM-182824-04	26,170	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	(52,503)	Mayo Clinic	NUM-182824-03	(52,503)	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	102,696	Mayo Clinic	NUS-182824-05	102,696	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	100	Montana State University	G197-19-W7522	100	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	39,331	Rush University Medical Center	16091506-Sub01	39,331	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	8,672	Univ of Ghana	5U54DK116913-08	8,672	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	29,902	Univ of Michigan	3003480339	29,902	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	27,099	Univ of Michigan	3005143863	27,099	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	24,610	Univ of Pennsylvania	572700	24,610	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	247,968	Univ of Pennsylvania	574238	247,968	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	25,187	University of Memphis	A19-0037-001	25,187	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	4,189	Univ of South Florida	#3732	4,189	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	124,479	George Washington University	18-B04	124,479	-
L-Cystine Diamides as Inhibitors of L-Cystine Stone Formation in Cystinuria	93.847	-	42,155	Rutgers University	0113 Modification No. 2	42,155	-
New York Regional Center for Diabetes Translation Research	93.847	-	11,771	Albert Einstein College of Medicine	311490	11,771	-
Nutrition Obesity Research Center at Harvard	93.847	-	22,020	The General Hospital Corp DBA Massachusetts General Hospital	231130 - AMD 1	22,020	-
Trafficking-Dependent Signaling of Pain by Protease-Activated Receptors	93.847	-	241,888	Columbia University	1(GG013586-01) Amendment 2	241,888	-
		11,971,052	935,642			12,906,694	1,328,889
(R25 BP-ENDURE) Blueprint Program for Enhancing Neuroscience Diversity through Undergraduate Research Education Experiences	93.853	-	91,549	Research Foundation of the City University of New York (RF CUNY)	CM00001407-01 Amd 1	91,549	-
An open source wireless miniature microscope for monitoring neuronal activity	93.853	-	305	University of California, Los Angeles	2000 G WM035	305	-
Atrial Cardiopathy and Antithrombotic Drugs in prevention after cryptogenic stroke (ARCADIA)	93.853	-	8,136	University of Cincinnati	010785-133474	8,136	-
Carotid Revascularization Endarterectomy versus Stenting Trial (CREST) Supplement	93.853	-	67,765	Mayo Clinic	NEW-238655-01	67,765	-
Computational and Circuit Mechanisms Underlying Rapid Learning	93.853	-	242,587	University of Washington	UWSC10761	242,587	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	21,027,806	-			21,027,806	2,395,873
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	283,868	Boston University	4500002997	283,868	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	6,258	Case Western Reserve University	RES513485	6,258	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	3,727	Columbia University	1(GG011777-01)	3,727	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(1,514)	Columbia University	3(GG010432)	(1,514)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	117,942	Columbia University	761(GG012971-01)	117,942	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	69,809	Columbia University	1 (GG014507)	69,809	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	41,671	Epilnet, Inc	19-A0-00-1002620	41,671	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	20,471	Massachusetts General Hospital	231373	20,471	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	25,217	Massachusetts General Hospital	233102	25,217	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	78,790	New Jersey Institute of Technology	996837	78,790	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	54,724	Stanford Univ	61869960-125439	54,724	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	608,489	Stanford Univ	61752758-128582	608,489	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	8,295	Univ of Minnesota	N004688402	8,295	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	16,054	Univ of Pittsburgh	0042669 (125250-1)	16,054	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	169,406	Univ of Southern California	107627696	169,406	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	342,177	University of Chicago	FP066214-02-PR-C	342,177	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	363,006	University of Chicago	FP066214-02-PR-F	363,006	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	89,963	University of London	519723	89,963	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	325,259	Vanderbilt Univ Med Ctr	VJMC96980	325,259	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	6,213	Univ of Massachusetts School of Medicine	WA00356659 / OSP2016079	6,213	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	26,733	-			26,733	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	19,759	-			19,759	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	88,726	-			88,726	27,185
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	24,456	-			24,456	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	12,017	-			12,017	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	112,412	-			112,412	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	332,575	-			332,575	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	785,478	-			785,478	347,974
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	110,334	-			110,334	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	596,643	-			596,643	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	629,064	-			629,064	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	492,452	-			492,452	3,804

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	133,179	-			133,179	66,030
Optimizing flexible active electrode arrays for chronic large-scale recording and stimulation on the scale of 100000 electrodes	93.853	-	180,352	Duke University	A03-0339 A01	180,352	-
Optimizing flexible, active electrode arrays for chronic, large-scale recording and stimulation on the scale of 100,000 electrodes	93.853	-	658	Duke University	203-6432	658	-
Psychosocial Impact of Genetics in Epilepsy	93.853	-	23,848	Columbia University	1(GG013374-01) AMD 1	23,848	-
		<u>24,391,634</u>	<u>3,245,025</u>			<u>27,636,659</u>	<u>2,840,866</u>
(A1) Functional Interplay between Brugia and its Wolbachia symbiont	93.855	-	57,549	New York Blood Center	NIH000418 A02	57,549	-
Allergy and Infectious Diseases Research	93.855	20,172,453	-			20,172,453	2,174,396
Allergy and Infectious Diseases Research	93.855	-	50,983	Aaron Diamond Aids Research Center	A09-200-NYU-Duerr	50,983	-
Allergy and Infectious Diseases Research	93.855	-	66,316	Aaron Diamond Aids Research Center	A09-200-NYU-Kong	66,316	-
Allergy and Infectious Diseases Research	93.855	-	(31,515)	Benaroya Research Institute at Virginia	FY18ITN127	(31,515)	-
Allergy and Infectious Diseases Research	93.855	-	370,699	Columbia University	3(GG012754-13)	370,699	-
Allergy and Infectious Diseases Research	93.855	-	15,493	Columbia University	1(GG013000-01)	15,493	-
Allergy and Infectious Diseases Research	93.855	-	7	Duke Clinical Research Institute	189925/218470	7	-
Allergy and Infectious Diseases Research	93.855	-	(507)	Emory Univ	1863390	(507)	-
Allergy and Infectious Diseases Research	93.855	-	(29,557)	Fisher Bioservices	FBS-0022C-05-7/2014	(29,557)	-
Allergy and Infectious Diseases Research	93.855	-	13,655	Harvard Med School	109752-5110920	13,655	-
Allergy and Infectious Diseases Research	93.855	-	15,225	Id Genomics	IDG_NYUSM_03	15,225	-
Allergy and Infectious Diseases Research	93.855	-	143,143	Ingenious Targeting Laboratory	R43A1136141	143,143	-
Allergy and Infectious Diseases Research	93.855	-	1,978	Johns Hopkins Univ	18-A0-00-1001680	1,978	-
Allergy and Infectious Diseases Research	93.855	-	27,672	Johns Hopkins Univ	2003746449	27,672	-
Allergy and Infectious Diseases Research	93.855	-	18,595	Johns Hopkins Univ	2002655897	18,595	-
Allergy and Infectious Diseases Research	93.855	-	(797)	Luna, Inc.	3483-NIH-1S NYU	(797)	-
Allergy and Infectious Diseases Research	93.855	-	26,270	Mount Sinai School of Med	0253-6449-4609	26,270	-
Allergy and Infectious Diseases Research	93.855	-	(1,844)	Mount Sinai School of Med	0255-0621-4609	(1,844)	-
Allergy and Infectious Diseases Research	93.855	-	136,049	Mount Sinai School of Med	0255-8673-4609	136,049	-
Allergy and Infectious Diseases Research	93.855	-	50,299	Princeton University	SUB0000173	50,299	-
Allergy and Infectious Diseases Research	93.855	-	(57,461)	Quality Biological, Inc.	19-A0-00-1002861	(57,461)	-
Allergy and Infectious Diseases Research	93.855	-	(7,770)	Quality Biological, Inc.	TOASNHP035_PO#41950	(7,770)	-
Allergy and Infectious Diseases Research	93.855	-	3,226	Quality Biological, Inc.	TONYUSAMP001-PO#43317	3,226	-
Allergy and Infectious Diseases Research	93.855	-	146,451	Rutgers Univ	8039	146,451	-
Allergy and Infectious Diseases Research	93.855	-	431	Stellenbosch Univ, South Africa	S006234	431	-
Allergy and Infectious Diseases Research	93.855	-	69,000	The Regents of The Univ of California	9881SC	69,000	-
Allergy and Infectious Diseases Research	93.855	-	(1,132)	Tufts University	H50021	(1,132)	-
Allergy and Infectious Diseases Research	93.855	-	1,477	Univ of California San Francisco	9232SC	1,477	-
Allergy and Infectious Diseases Research	93.855	-	39,332	Univ of Florida	SUB00001704	39,332	-
Allergy and Infectious Diseases Research	93.855	-	27,324	Zymeron Corporation	NIAID050-1/NYU	27,324	-
Allergy and Infectious Diseases Research	93.855	-	(1,319)	Dana-Farber Cancer Ctr	1006719	(1,319)	-
Allergy and Infectious Diseases Research	93.855	584,496	-			584,496	113,346
Allergy and Infectious Diseases Research	93.855	337,299	-			337,299	-
Allergy and Infectious Diseases Research	93.855	1,214,516	-			1,214,516	824,316
Allergy and Infectious Diseases Research	93.855	166,599	-			166,599	67,094
Allergy and Infectious Diseases Research	93.855	18,640	-			18,640	-
Allergy and Infectious Diseases Research	93.855	5,972	-			5,972	457
Allergy and Infectious Diseases Research	93.855	100	-			100	-
Allergy and Infectious Diseases Research	93.855	91,122	-			91,122	-
Allergy and Infectious Diseases Research	93.855	1,111,747	-			1,111,747	798,524
Allergy and Infectious Diseases Research	93.855	378,447	-			378,447	222,927
Allergy and Infectious Diseases Research	93.855	30,887	-			30,887	30,986
Alternative Formulations of Tenofovir and UC781 - Core B	93.855	-	6,225	Magee-women's Research Institute & Foundation	4646	6,225	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Examination of Autonomy Support on Prep Use in Black MSM: A Quantitative Analysis	93.855	-	15,325	HIV Prevention Trials Network	PO19002396	15,325	-
Film Antiretroviral Microbicide Evaluation	93.855	-	5,913	Magee-women's Research Institute & Foundation	4677 year 3	5,913	-
Film Antiretroviral Microbicide Evaluation	93.855	-	97,103	Magee-women's Research Institute & Foundation	4685_NYU	97,103	-
Film Antiretroviral Microbicide Evaluation	93.855	-	42,846	Magee-women's Research Institute & Foundation	4692_NYU	42,846	-
The Connie Wolfsoy Women's HIV Study	93.855	-	643,882	The University of California, San Francisco	8845SC Amendment 9	643,882	-
		<u>24,112,278</u>	<u>1,960,566</u>			<u>26,072,844</u>	<u>4,232,046</u>
Biomedical Research and Research Training	93.859	8,211	-			8,211	-
Biomedical Research and Research Training	93.859	12,931,213	-			12,931,213	350,621
Biomedical Research and Research Training	93.859	-	39,842	Mount Sinai School of Med	0255-B161-4609	39,842	-
Biomedical Research and Research Training	93.859	-	48,506	Protein Metrics Inc.	17-A1-00-007274	48,506	-
Biomedical Research and Research Training	93.859	-	74,984	Rockefeller Univ	5P41GM109824-05	74,984	-
Biomedical Research and Research Training	93.859	-	33,577	Rockefeller Univ	5P4GM109824-04	33,577	-
Biomedical Research and Research Training	93.859	-	73,929	Rockefeller Univ	1R01GM126170-01	73,929	-
Biomedical Research and Research Training	93.859	-	63,423	Univ of Delaware	41230	63,423	-
Biomedical Research and Research Training	93.859	-	131,207	University of Mississippi	19-07-006	131,207	-
Biomedical Research and Research Training	93.859	-	60,047	The President and Fellows of Harvard Col	152719-5101604.0004	60,047	-
Biomedical Research and Research Training	93.859	-	(18,355)	Pharmaseq, Inc	17-A1-00-007252	(18,355)	-
Biomedical Research and Research Training	93.859	311,126	-			311,126	93,032
Biomedical Research and Research Training	93.859	300,466	-			300,466	-
Biomedical Research and Research Training	93.859	746	-			746	-
Biomedical Research and Research Training	93.859	493,608	-			493,608	-
Biomedical Research and Research Training	93.859	51,312	-			51,312	-
Biomedical Research and Research Training	93.859	296,816	-			296,816	-
Biomedical Research and Research Training	93.859	404,929	-			404,929	-
Biomedical Research and Research Training	93.859	411,003	-			411,003	-
Biomedical Research and Research Training	93.859	26,925	-			26,925	-
Biomedical Research and Research Training	93.859	49,999	-			49,999	-
Biomedical Research and Research Training	93.859	414,965	-			414,965	40,099
Biomedical Research and Research Training	93.859	(721)	-			(721)	(17,590)
Biomedical Research and Research Training	93.859	75,973	-			75,973	-
Biomedical Research and Research Training	93.859	64,852	-			64,852	-
Biomedical Research and Research Training	93.859	53,591	-			53,591	-
Biomedical Research and Research Training	93.859	247,499	-			247,499	-
Biomedical Research and Research Training	93.859	310,885	-			310,885	-
Biomedical Research and Research Training	93.859	2,780	-			2,780	-
Biomedical Research and Research Training	93.859	345,404	-			345,404	(1)
Biomedical Research and Research Training	93.859	253,902	-			253,902	-
Biomedical Research and Research Training	93.859	589,429	-			589,429	-
Biomedical Research and Research Training	93.859	45,759	-			45,759	-
Biomedical Research and Research Training	93.859	298,126	-			298,126	-
Biomedical Research and Research Training	93.859	45,217	-			45,217	-
Biomedical Research and Research Training	93.859	292,139	-			292,139	3,217
Biomedical Research and Research Training	93.859	(113)	-			(113)	-
Biomedical Research and Research Training	93.859	155,727	-			155,727	-
Biomedical Research and Research Training	93.859	184,101	-			184,101	-
Biomedical Research and Research Training	93.859	98,172	-			98,172	18,881
Biomedical Research and Research Training	93.859	450,657	-			450,657	-
Biomedical Research and Research Training	93.859	187,736	-			187,736	-
Biomedical Research and Research Training	93.859	945	-			945	-
Biomedical Research and Research Training	93.859	117,603	-			117,603	-
Biomedical Research and Research Training	93.859	4,455	-			4,455	-
Biomedical Research and Research Training	93.859	244,882	-			244,882	-
Biomedical Research and Research Training	93.859	(6,665)	-			(6,665)	-
Biomedical Research and Research Training	93.859	327,523	-			327,523	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Biomedical Research and Research Training	93.859	423,188	-			423,188	-
Biomedical Research and Research Training	93.859	(132)	-			(132)	-
Biomedical Research and Research Training	93.859	(42)	-			(42)	-
Biomedical Research and Research Training	93.859	384,726	-			384,726	87,147
Biomedical Research and Research Training	93.859	431,361	-			431,361	-
Biomedical Research and Research Training	93.859	442,246	-			442,246	-
Biomedical Research and Research Training	93.859	441,175	-			441,175	-
Biomedical Research and Research Training	93.859	(87)	-			(87)	-
SBIR: Accessible and robust Tools for Glycosaminoglycan Profiling (NDA 18-1252)	93.859	-	28,360	Echelon Biosciences	Subaward for Grant 1R43GM131444-01	28,360	-
Sizing and Scaling in Functional Muscle Cells	93.859	-	77,081	Memorial Sloan-Kettering Cancer Center	BD522499B Amd 2	77,081	-
Transition Path Theory and Markovian Milestoning for Predicting Protein-Ligand Binding Kinetics	93.859	-	60,682	Drexel University	800120	60,682	-
		22,213,612	673,283			22,886,895	575,406
Emerging Infections Sentinel Networks	93.860	-	8,263	Olive View-Ucla Education & Research Ins	#16-21 (R1)	8,263	-
Emerging Infections Sentinel Networks	93.860	216,145	-			216,145	-
		216,145	8,263			224,408	-
Dynamic Socioeconomic Disadvantage: Children in Family and School Contexts	93.864	-	(2,349)	University of Texas, Austin	UTA09-001143	(2,349)	-
		-	(2,349)			(2,349)	-
A Longitudinal MRI Study Characterizing in Very Early Brain Development in Infants with Down Syndrome	93.865	-	2,875	Washington University in St. Louis (WUSTL)	WU-19-419-MOD-1 - PO #2940098H	2,875	-
Brain and Behavior Study of Autism from Infancy through School Age	93.865	-	24,234	University of North Carolina, Chapel Hill	5109090 Amd 2	24,234	-
Child Health and Human Development Extramural Research	93.865	5,600,685	-			5,600,685	545,154
Child Health and Human Development Extramural Research	93.865	-	69,577	Princeton University	SUB0000200	69,577	-
Child Health and Human Development Extramural Research	93.865	-	4,370	Rutgers Univ	924	4,370	-
Child Health and Human Development Extramural Research	93.865	-	21,342	Saint Louis University	21612-43391	21,342	-
Child Health and Human Development Extramural Research	93.865	-	36,371	Univ of California Los Angeles	2000 G XA415	36,371	-
Child Health and Human Development Extramural Research	93.865	-	137,969	Univ of Michigan	3003809042	137,969	-
Child Health and Human Development Extramural Research	93.865	-	15,208	Univ of Pennsylvania	572620	15,208	-
Child Health and Human Development Extramural Research	93.865	-	37,316	University of Michigan	SUBK00009880	37,316	-
Child Health and Human Development Extramural Research	93.865	-	(85)	University of Pittsburgh Medical Center	0051592 (128416-2)	(85)	-
Child Health and Human Development Extramural Research	93.865	-	52,439	Vanderbilt Univ Med Ctr	VUMC 35299	52,439	-
Child Health and Human Development Extramural Research	93.865	-	(3,864)	Weill Cornell Medical College	161040536-01	(3,864)	-
Child Health and Human Development Extramural Research	93.865	-	571,917	Harvard School of Public Health	114205-1114-5096794	571,917	-
Child Health and Human Development Extramural Research	93.865	-	213,920	The President and Fellows of Harvard Col	114205-1480-5104815	213,920	-
Child Health and Human Development Extramural Research	93.865	75,099	-			75,099	75,099
Child Health and Human Development Extramural Research	93.865	186,453	-			186,453	27,785
Child Health and Human Development Extramural Research	93.865	261,450	-			261,450	-
Child Health and Human Development Extramural Research	93.865	1,122,108	-			1,122,108	487,150
Child Health and Human Development Extramural Research	93.865	12,648	-			12,648	-
Child Health and Human Development Extramural Research	93.865	205,265	-			205,265	3
Child Health and Human Development Extramural Research	93.865	9,509	-			9,509	-
Child Health and Human Development Extramural Research	93.865	542,544	-			542,544	-
Child Health and Human Development Extramural Research	93.865	950,767	-			950,767	807,558
Child Health and Human Development Extramural Research	93.865	418	-			418	-
Child Health and Human Development Extramural Research	93.865	(5,127)	-			(5,127)	-
Child Health and Human Development Extramural Research	93.865	2,872	-			2,872	-
Child Health and Human Development Extramural Research	93.865	14,482	-			14,482	-
Child Health and Human Development Extramural Research	93.865	88,244	-			88,244	-
Child Health and Human Development Extramural Research	93.865	237,770	-			237,770	-
Child Health and Human Development Extramural Research	93.865	25,506	-			25,506	-
Child Health and Human Development Extramural Research	93.865	83	-			83	-
Child Health and Human Development Extramural Research	93.865	692,839	-			692,839	-
Child Health and Human Development Extramural Research	93.865	17,263	-			17,263	-
Child Health and Human Development Extramural Research	93.865	310,612	-			310,612	-
Child Health and Human Development Extramural Research	93.865	256,461	-			256,461	2,292

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Child Health and Human Development Extramural Research	93.865	539,410	-			539,410	-
Child Health and Human Development Extramural Research	93.865	(2,984)	-			(2,984)	-
Child Health and Human Development Extramural Research	93.865	36,543	-			36,543	-
Child Health and Human Development Extramural Research	93.865	256,012	-			256,012	56,159
Child Health and Human Development Extramural Research	93.865	507,140	-			507,140	138,932
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	(755)	Tulane University	TUL-HSC-554775-16/17 (RP-2 AMD 1)	(755)	-
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	450	Tulane University	TUL-HSC-555500-17/18 (CoreB)	450	-
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	280,541	Tulane University	TUL-HSC-557474-19/20 (RP-2 Y15)	280,541	53,653
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	2,649	Tulane University	TUL-HSC-555501-17/18 (RP-2 Y13)	2,649	2,649
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	139,228	Tulane University	TUL-HSC-557473-19/20 (CoreB)	139,228	-
Household Income and Child Development in the First Three Years of Life	93.865	-	69,108	The Regents of the University of California	2017-3510 Amd 01	69,108	-
MEGA: FSX Center Grant with UMMS (Project 3)	93.865	-	16,698	University of Massachusetts, Worcester	WA00236688/RFS2015092	16,698	-
MEGA: Rescuing the Fragile X Syndrome by resetting translational homeostasis	93.865	-	24,024	University of Massachusetts, Worcester	OSP2017009 A01	24,024	-
MEGA:FSX Center Grant with UMMS	93.865	-	136,644	University of Massachusetts, Worcester	OSP2017010 A02	136,644	-
Reproductive Health Decisions and HIV Infection Risk	93.865	-	23	University of Nairobi	1R01HD058363-01	23	-
Rescuing the Fragile X Syndrome by Resetting Translational Homeostasis - Core C	93.865	-	10,797	University of Massachusetts, Worcester	OSP2017010 A01	10,797	-
Rescuing the Fragile X Syndrome by Resetting Translational Homeostasis - Project 3	93.865	-	1,306	University of Massachusetts, Worcester	WA00441544/OSP2017009	1,306	-
Rescuing the Fragile X Syndrome by Resetting Translational Homeostasis (Core C)	93.865	-	2,589	University of Massachusetts, Worcester	WA00337033/RFS2016044 A01	2,589	-
Rescuing the fragile X syndrome by resetting translational homeostasis	93.865	-	333,137	University of Massachusetts, Worcester	OSP2017009 A02	333,137	-
Temporal connectomics for infant brain: neurodevelopment modulated by pathology	93.865	-	(3,035)	University of Pennsylvania	571036	(3,035)	-
Temporal connectomics for infant brain: neurodevelopment modulated by pathology	93.865	-	19,674	University of Pennsylvania	HD089390-01A1	19,674	-
Temporal connectomics for infant brain: neurodevelopment modulated by pathology	93.865	-	5,523	University of Pennsylvania	571036 Amd 1	5,523	-
		11,944,072	2,222,190			14,166,262	2,196,434
Consortium to Study the Genetics of Longevity	93.866	-	78,960	Translational Genomics Research Institute	SCHORK-19-01 Mod. 01	78,960	-
A Daily Self-Regulation Intervention for Persons with Early Stage Alzheimer's Disease and Related Dementias and their Spouses	93.866	-	42,742	Yale University	GR103233 (CON-80001326) A01	42,742	-
Aging Research	93.866	271,443	-			271,443	-
Aging Research	93.866	267,319	-			267,319	3,555
Aging Research	93.866	941,973	-			941,973	336,544
Aging Research	93.866	656,120	-			656,120	10,105
Aging Research	93.866	148,313	-			148,313	-
Aging Research	93.866	8,157	-			8,157	-
Aging Research	93.866	7,292	-			7,292	7,292
Aging Research	93.866	14,387,293	-			14,387,293	1,861,972
Aging Research	93.866	-	38,829	Columbia University	2(GG01242-01)	38,829	-
Aging Research	93.866	-	(617)	Columbia University	1(GG011968-01)	(617)	-
Aging Research	93.866	-	59,361	Massachusetts General Hospital	227350	59,361	-
Aging Research	93.866	-	190,293	Memorial Sloan-Kettering Cancer Ctr	BD524387	190,293	-
Aging Research	93.866	-	29,862	Mount Sinai School of Med	0255-3651-4609	29,862	-
Aging Research	93.866	-	72,008	Northern Ca Inst of Rsh Edu (NCIRE)	79634841	72,008	-
Aging Research	93.866	-	(78,453)	Rush University Medical Center	1R01AG043375-01A1	(78,453)	-
Aging Research	93.866	-	(1,018)	Rush University Medical Center	P01AG014449-16	(1,018)	-
Aging Research	93.866	-	23,044	Rutgers Univ	875	23,044	-
Aging Research	93.866	-	158,523	Univ of California Irvine	2018-3569	158,523	-
Aging Research	93.866	-	4,001	Univ of California San Diego	110038908	4,001	-
Aging Research	93.866	-	47,846	Univ of Massachusetts, Worcester	OSP2018113	47,846	-
Aging Research	93.866	-	62,017	Univ of Pittsburgh	0662031 (131850-1)	62,017	-
Aging Research	93.866	-	2,770	Univ of Southern California	75680997	2,770	-
Aging Research	93.866	-	6,810	Univ of Southern California	81622917	6,810	-
Aging Research	93.866	-	26,125	Univ of Washington	UWSC7727	26,125	-
Aging Research	93.866	-	6,396	Healthcare Interactive, Inc.	20121030	6,396	-
Aging Research	93.866	-	76,459	Healthcare Interactive, Inc.	20151119	76,459	-
Aging Research	93.866	-	139,772	St. Joseph'S Hospital & Medical Center	1023114-NYUMC	139,772	-
Aging Research	93.866	-	202,175	St. Joseph'S Hospital & Medical Center	1032146-NYUMC	202,175	47,981

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Aging Research	93.866	-	26,076	Regents of The University of Minnesota	P007400703	26,076	-
Aging Research	93.866	-	60,477	Diamir, LLC	17-A0-00-006660	60,477	-
Aging Research	93.866	-	213,107	Wayne State Univ	WSU19043	213,107	-
Aging Research	93.866	-	79,996	Nathan Kline Institute (NKI)	PTA: 1014685/126991	79,996	-
Aging Research	93.866	-	673,820	Brown University	974	673,820	-
Aging Research	93.866	-	20,160	Minneapolis Med Rsh Fnd	ASPRE-XT	20,160	-
Asian RCMAR	93.866	-	10,690	Rutgers University	1(GG011938-01) A05	10,690	-
Hippocampal neurogenesis pattern separation & age-related cognitive impairments	93.866	-	(27)	Columbia University	1(GG011938-01) A05	(27)	-
Home-based Primary Care for Homebound Seniors: a Randomized Controlled Trial	93.866	-	21,753	Icahn School of Medicine At Mount Sinai	0255-1211-4609 Amendment 3	21,753	-
Home-based Primary Care for Homebound Seniors: a Randomized Controlled Trial	93.866	-	6,841	Icahn School of Medicine At Mount Sinai	0255-1211-4609 Amendment 4	6,841	-
Impact of Amyloid and Tau on the Aging Brain: The Harvard Aging Brain Study - Core D	93.866	-	10,295	The General Hospital Corp Dbm Massachusetts General Hospital	226523	10,295	-
Implementing Evidence-based Informed Consent Practices to Address the Risk of Alzheimer's	93.866	-	38,430	Washington University	WU-19-57 MOD 1	38,430	-
Dementia and Cognitive Impairment in Clinical Trials	93.866	-	29,403	University of Massachusetts Amherst	17-009565 B01	29,403	-
Treatment of Randomly Censored Covariates in Alzheimer's Disease Studies	93.866	-	6,142	University of Southern California	95862033 Amd 2	6,142	-
Type A: Identifying modifiable aspects of gene-by-environment interplay in later-life cognitive decline	93.866	-	16,687,910	2,385,068		19,072,978	2,267,449
A hyperspectral approach to RPE fluorophores in health and disease	93.867	-	38,380	University of Alabama at Birmingham	000513702-003 A02	38,380	-
Attention-driven enhancement of visual training in cortical blindness	93.867	-	49,036	University of Rochester	416987G / UR FAO 510575 Yr 4	49,036	-
Endogenous neural activity: neurophysiology, optical imaging, fMRI, and behavior	93.867	-	200,836	Columbia University	1(GG011726) Amendment # 4	200,836	-
Probabilistic coding in cortical populations	93.867	-	210,721	Baylor College of Medicine	7000000348 A02	210,721	-
Vision Research	93.867	6,538,246	-			6,538,246	670,964
Vision Research	93.867	-	25,881	Massachusetts Eye and Ear Infirmary	530066	25,881	-
Vision Research	93.867	-	94,907	Massachusetts Inst of Tech	5710004247	94,907	-
Vision Research	93.867	-	22,929	Mount Sinai School of Med	0255-A701-4609	22,929	-
Vision Research	93.867	-	28,162	The Children'S Hospital of Philadelphia	3201580224	28,162	-
Vision Research	93.867	-	119,871	Univ of Pittsburgh	0046809 (126654-1)	119,871	-
Vision Research	93.867	-	98,315	University of Michigan	3004206297	98,315	-
Vision Research	93.867	-	33,001	University of Pittsburgh Medical Center	0042871 (125706-1)	33,001	-
Vision Research	93.867	149,987	-			149,987	-
Vision Research	93.867	51,316	-			51,316	-
Vision Research	93.867	349,852	-			349,852	170,554
Vision Research	93.867	4,115	-			4,115	-
Vision Research	93.867	2,798	-			2,798	-
Vision Research	93.867	(2,007)	-			(2,007)	-
Vision Research	93.867	87,132	-			87,132	-
Vision Research	93.867	119,901	-			119,901	-
Vision Research	93.867	180,761	-			180,761	-
Vision Research	93.867	94,372	-			94,372	-
Vision Research	93.867	256,248	-			256,248	7,560
Vision Research	93.867	(10,435)	-			(10,435)	-
Vision Research	93.867	269,819	-			269,819	-
Vision Research	93.867	25,530	-			25,530	-
Vision Research	93.867	326,915	-			326,915	-
Vision Research	93.867	20,880	-			20,880	-
Vision Research	93.867	189,941	-			189,941	-
Vision Research	93.867	446,406	-			446,406	-
Vision Research	93.867	170,776	-			170,776	-
Vision Research	93.867	32,101	-			32,101	-
Vision Research	93.867	494,022	-			494,022	-
Vision Research	93.867	338,558	-			338,558	-
Vision Research	93.867	13,501	-			13,501	-
Vision Research	93.867	463,809	-			463,809	-
Vision Research	93.867	98,020	-			98,020	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Vision Research	93.867	107,386	-			107,386	-
Vision Research	93.867	449	-			449	-
Vision Research	93.867	41,186	-			41,186	-
Vision Research	93.867	509,106	-			509,106	-
Vision Research	93.867	243,447	-			243,447	-
Vision Research	93.867	16,226	-			16,226	-
Vision Research	93.867	255,409	-			255,409	-
Vision Research	93.867	46,768	-			46,768	-
		11,932,541	922,039			12,854,580	849,078
Medical Library Assistance	93.879	-	71,500	ICF Incorporated, LLC	171691	71,500	-
Medical Library Assistance	93.879	-	12,742	Medical University of South Carolina	A00-3641-S0003	12,742	-
Medical Library Assistance	93.879	-	10,812	Medical University of South Carolina	MUSC19-039-8D366	10,812	-
Medical Library Assistance	93.879	-	24,878	New York-Presbyterian/Weill Cornell Medi	182509-2	24,878	-
		-	119,932			119,932	-
Grants for Primary Care Training and Enhancement	93.884	50,609	-			50,609	-
Grants for Primary Care Training and Enhancement	93.884	514,160	-			514,160	-
		564,769	-			564,769	-
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	607,752	-			607,752	262,245
		607,752	-			607,752	262,245
HIV Demonstration, Research, Public and Professional Education Projects	93.941	271,710	-			271,710	185,728
HIV Demonstration, Research, Public and Professional Education Projects	93.941	58,746	-			58,746	-
HIV Demonstration, Research, Public and Professional Education Projects	93.941	144,669	-			144,669	-
		475,125	-			475,125	185,728
Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs	93.946	21,966	-			21,966	-
Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs	93.946	(290)	-			(290)	-
		21,676	-			21,676	-
PPHF Geriatric Education Centers	93.969	(821)	-			(821)	-
PPHF Geriatric Education Centers	93.969	283,837	-			283,837	281,828
		283,016	-			283,016	281,828
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards Program	93.976	11,493	-			11,493	-
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards Program	93.976	572	-			572	-
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards Program	93.976	153,896	-			153,896	-
		165,961	-			165,961	-
International Research and Research Training	93.989	171,433	-			171,433	47,444
International Research and Research Training	93.989	480,432	-			480,432	65,616
International Research and Research Training	93.989	-	17,205	The University of the West Indies	1D71TW011196-01	17,205	-
International Research and Research Training	93.989	-	5,893	University of Chicago	FP056723-B	5,893	-
		651,865	23,098			674,963	113,060
HIV Oral Testing Infographic Experiment (HOTIE)	93.RD	-	9,147	Yale University	GR102086 (CON-80001149) Amendment 02	9,147	-
IPA: Ghedin (Roder) Centers for Disease Control and Prevention (CDC) IPA Agreement	93.RD	64,197	-			64,197	-
Population Assessment of Tobacco and Health (PATH) Study II	93.RD	-	10,415	Westat	6410-S-03 MOD 5	10,415	-
Promoting and Supporting Innovation in TANF Data	93.RD	-	169,422	MDRC	HHSP233201500059I	169,422	-
		64,197	188,964			253,161	-
Total US Department of Health and Human Services		334,119,904	32,667,771			366,787,675	47,545,063
Social Security Administration							
Incentives for home and community based care under the affordable care act: Implications for supplement Sec	96.007	-	67,449	University of Wisconsin, Madison	862K385	67,449	-
		-	67,449			67,449	-
Total Social Security Administration		-	67,449			67,449	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Department of Homeland Security							
Assistance to Firefighters Grant	97.044	-	-			-	(1,885)
		-	-			-	(1,885)
Dynamic Resilient Network Planning for Interdependent Critical Infrastructures	97.061	-	103,890	University of Illinois, Urbana-champaign	077083-16373 Mod 04	103,890	-
Dynamic Resilient Network Planning for Interdependent Critical Infrastructures	97.061	-	67,063	University of Illinois, Urbana-champaign	077083-16373 Mod 04	67,063	-
		-	170,953			170,953	-
MEGA: PANYNJ Regional Emergency Preparedness Initiative	97.075	-	397,919	Port Authority of New York New Jersey	EMW-2011-RA-K00060-S01	397,919	-
		-	397,919			397,919	-
Text-Enabled CVE Gatekeeper Intervention Help-Line & Referral System	97.RD	-	(196)	Georgia State University	SP00012590-01	(196)	-
		-	(196)			(196)	-
Total Department of Homeland Security		-	568,676			568,676	(1,885)
U.S. Agency for International Development							
USAID Foreign Assistance for Programs Overseas	98.001	2,679	-			2,679	-
		2,679	-			2,679	-
(Type A): Assets & Market Access Collaborative Research Support Program	98.RD	-	18,136	University of California, Davis	201121454-27 Amd 03	18,136	-
		-	18,136			18,136	-
Total U.S. Agency for International Development		2,679	18,136			20,815	-
Total Research and Development Cluster		405,803,399	46,313,881			452,117,280	53,783,710
Highway Planning and Construction Cluster							
U.S. Department of Transportation							
CIDNY Task 2 Phase 2: Develop a Multi-agency/Multimodal Construction Management Tool to Enhance Coordination Projects City-wide During Planning and Operation	20.205	-	119,159	City College (CUNY)	RF# 57315-01-28 NCE	119,159	-
Phases to Improve Highway Mobility and Drivers Experience	20.205	-	59,904	City College (CUNY)	RF# 573015-03-28 NCE	59,904	-
CIDNY Task 7: Research on Pedestrian Safety Using ITS Technology in NYC Year 2	20.205	-	1,557	Research Foundation of the City University of New York (RF CUNY)	55505-05-03	1,557	-
Mobile Source Air Toxics Mitigation Measures		-	180,620			180,620	-
		-	180,620			180,620	-
Total U.S. Department of Transportation		-	180,620			180,620	-
		-	180,620			180,620	-
Total Highway Planning and Construction Cluster		-	180,620			180,620	-
TRIO Cluster							
U.S. Department of Education							
TRIO Student Support Services	84.042	309,971	-			309,971	-
Total U.S. Department of Education		309,971	-			309,971	-
Total TRIO Cluster		309,971	-			309,971	-
Student Financial Aid Cluster							
U.S. Department of Education							
Federal Supplemental Educational Opportunity Grants	84.007	3,815,880	-			3,815,880	-
Federal Supplemental Educational Opportunity Grants	84.007	759,226	-			759,226	-
Total Federal Supplemental Educational Opportunity Grants		4,575,106	-			4,575,106	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Federal Work-Study Program							
Federal Work-Study Program	84.033	612,159	-			612,159	-
Federal Work-Study Program	84.033	(4,570)	-			(4,570)	-
Federal Work-Study Program	84.033	5,918,974	-			5,918,974	-
Total Federal Work-Study Program		6,526,563	-			6,526,563	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)							
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379	(34,500)	-			(34,500)	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379	140,879	-			140,879	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379	(30)	-			(30)	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379	34,500	-			34,500	-
Total Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)		140,849	-			140,849	-
Federal Direct Loan Program							
Federal Direct Student Loans	84.268	640,280,391	-			640,280,391	-
Total Federal Direct Student Loans		640,280,391	-			640,280,391	-
Federal Pell Grant Program							
Federal Pell Grant Program	84.063	26,107,836	-			26,107,836	-
Total Federal Pell Grant Program		26,107,836	-			26,107,836	-
Federal Perkins Loan Program							
Federal Perkins Loan Program	84.038						
• Outstanding loans at September 1, 2018		104,000,925	-			104,000,925	-
Total Federal Perkins Loan Program		104,000,925	-			104,000,925	-
Total U.S. Department of Education		781,631,670	-			781,631,670	-
U.S. Department of Health and Human Services							
Health Professions Student Loan Program							
Health Professions Student Loan Program/Loans to Disadvantaged Students	93.342						
• Outstanding loans at September 1, 2018		10,073,875	-			10,073,875	-
• New loans issued during fiscal year 2019		4,713,040	-			4,713,040	-
Total Health Professions Student Loan Program		14,786,915	-			14,786,915	-
Nursing Student Loans							
Undergraduate Nursing Student Loans	93.364						
• Outstanding loans at September 1, 2018		1,842,695	-			1,842,695	-
• New loans issued during fiscal year 2019		216,095	-			216,095	-
Total Nursing Student Loan Program		2,058,790	-			2,058,790	-
Graduate Nursing Loans							
Graduate Nursing Student Loans	93.364						
• Outstanding loans at September 1, 2018		171,862	-			171,862	-
• New loans issued during fiscal year 2019		-	-			-	-
Total Graduate Nursing Loan Program		171,862	-			171,862	-
Nursing Faculty Loans							
Faculty Nursing Student Loans	93.264						
• Outstanding loans at September 1, 2018		1,334,178	-			1,334,178	-
• New loans issued during fiscal year 2019		89,000	-			89,000	-
Total Nursing Faculty Loans		1,423,178	-			1,423,178	-
Total U.S. Department of Health and Human Services		18,440,745	-			18,440,745	-
Total Student Financial Aid Cluster		800,072,415	-			800,072,415	-

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Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Other Programs							
U.S. Department of Agriculture Food and Nutrition Service							
Research Innovation and Development Grants in Economic (RIDGE)	10.255	253,271	-			253,271	-
		253,271	-			253,271	-
		253,271	-			253,271	-
Total U.S. Department of Agriculture Food and Nutrition Service							
U.S. Department of Commerce							
Marine Debris Program	11.U01	114,146	-			114,146	(2,068)
Project Management on PatentsView IV	11.U01	-	(1,712)	American Institutes for Research (AIR)	D141010702 MOD1	(1,712)	-
		114,146	(1,712)			112,434	(2,068)
		114,146	(1,712)			112,434	(2,068)
Total U.S. Department of Commerce							
U.S. Department of Defense							
Basic Scientific Research	12.431	9,500	-			9,500	-
		9,500	-			9,500	-
Language Grant Program	12.900	52,844	-			52,844	17,600
Language Grant Program	12.900	40,646	-			40,646	26,648
		93,490	-			93,490	44,248
Information Security Grants	12.902	75,885	-			75,885	-
		75,885	-			75,885	-
CyberSecurity Core Curriculum	12.905	94,506	-			94,506	-
		94,506	-			94,506	-
Total U.S. Department of Defense		273,381	-			273,381	44,248
U.S. Department of Justice							
Creating Juvenile Drug Court Communities of Practice	16.585	-	1,504	National Council of Juvenile and Family Court Judges	32516 -SVU Amendment No.1	1,504	-
		-	1,504			1,504	-
Implementing Task Force Data Collection Recommendations in California	16.710	-	3,350	State of California office of the Attorney General	2016-CK-WX-K016 A01	3,350	-
		-	3,350			3,350	-
Evaluation of the New York State Permanent Judicial Commission on Justice for Children	16.830	-	37,628	New York State Unified Court System	C250563 Renewal #2	37,628	-
		-	37,628			37,628	-
Strengthening Police-Community Relations in Tampa	16.U01	-	14,219	Tampa Police Department	N/A	14,219	-
		-	14,219			14,219	-
Total U.S. Department of Justice		-	56,701			56,701	-
U.S. Department of State							
Investing in People in The Middle East and North Africa	19.021	10,377	-			10,377	-
Investing in People in The Middle East and North Africa	19.021	8,755	-			8,755	-
Investing in People in The Middle East and North Africa	19.021	17,195	-			17,195	-
Type A: Supporting Youth Peacebuilding at Al Anbar University	19.021	-	38,971	International Research and Exchange Board	FY19-HEP-NYU-01	38,971	-
		36,327	38,971			75,298	-
International Programs to Support Democracy, Human Rights and Labor	19.345	(1,993)	-			(1,993)	-
		(1,993)	-			(1,993)	-
Total U.S. Department of State		34,334	38,971			73,305	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
U.S. Department of Transportation							
Engineering Design and Inspection Services Citywide for Intelligent Transportation (ITS) Related and Planning Projects	20.200	-	32,370	City College (CUNY)	70025-01-28 NCE No. 3	32,370	-
		-	32,370			32,370	-
Total U.S. Department of Transportation		-	32,370			32,370	-
NSF Workshop on Programmable Networks	47.070	40,675	-			40,675	-
		40,675	-			40,675	-
Total U.S. Department of Transportation		40,675	-			40,675	-
Library Of Congress							
Preserving Terrorists in Love and The Golden Bowl or Repression; Small-Gauge Feminist Works of the 1980s	42.U01	-	13,748	National Film Preservation Foundation	FED18-014	13,748	-
		-	13,748			13,748	-
Total Library Of Congress		-	13,748			13,748	-
Federal Council on the Arts and The Humanities							
Promotion of the Arts Grants to Organizations and Individuals	45.024	20,000	-			20,000	-
Promotion of the Arts Grants to Organizations and Individuals	45.024	(20,000)	-			(20,000)	-
Promotion of the Arts Grants to Organizations and Individuals	45.024	15,000	-			15,000	-
Promotion of the Arts Grants to Organizations and Individuals	45.024	10,000	-			10,000	-
		25,000	-			25,000	-
Education in Intellectual Property and Tribal Governance For Negotiating With Cultural Institution	45.311	-	25,593	Penobscot Nation	NG-03-18-0183-18	25,593	-
		-	25,593			25,593	-
Total Federal Council on the Arts and The Humanities		25,000	25,593			50,593	-
Institute of Museum and Library Services							
National Leadership Grants	45.312	49,557	-			49,557	-
		49,557	-			49,557	-
Laura Bush 21st Century Librarian Program	45.313	127,407	-			127,407	92,307
		127,407	-			127,407	92,307
Total Institute of Museum and Library Services		176,964	-			176,964	92,307
National Endowment for the Humanities							
Promotion of the Humanities Division of Preservation and Access	45.149	30,897	-			30,897	-
Promotion of the Humanities Division of Preservation and Access	45.149	13,771	-			13,771	-
Promotion of the Humanities Division of Preservation and Access	45.149	106,000	-			106,000	-
Promotion of the Humanities Division of Preservation and Access	45.149	16,955	-			16,955	-
Promotion of the Humanities Division of Preservation and Access	45.149	79,971	-			79,971	-
Promotion of the Humanities Division of Preservation and Access	45.149	843	-			843	-
		248,437	-			248,437	-
Promotion of the Humanities Office of Digital Humanities	45.169	15,804	-			15,804	-
		15,804	-			15,804	-
Total National Endowment for the Humanities		264,241	-			264,241	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Department of Veterans Affairs							
Burial Expenses Allowance for Veterans	64.101	(874)	-			(874)	-
		(874)	-			(874)	-
A multi-modal physician-centered intervention to improve guideline-concordant prostate cancer imaging	64.U01	25,375	-			25,375	-
IPA Agreement - Cinyee Cai	64.U01	64,525	-			64,525	-
IPA Agreement for Chao Liu - PI Alesha Castillo	64.U01	40,302	-			40,302	-
Testing the efficacy of a technology-assisted intervention to improve weight management of obese patients within Patient Aligned Care Teams at the VA	64.U01	6,980	-			6,980	-
		137,182	-			137,182	-
Vocational Rehabilitation for Disabled Veterans	64.116	(548)	-			(548)	-
		(548)	-			(548)	-
		135,760	-			135,760	-
Total Department of Veterans Affairs							
U.S. Department of Education							
(NRC) National Resource Center Program	84.015	-	17,059	Columbia University	1(GG009734-04) Amd 01	17,059	-
(FLAS) Foreign Language and Area Studies Fellowships	84.015	-	(638)	Columbia University	1(GG009722-04) Amd 01	(638)	-
		-	16,421			16,421	-
Rehabilitation Services_Vocational Rehabilitation Grants to States	84.126	-	100,257	NYS Dept of Education	C011518	100,257	-
		-	100,257			100,257	-
Research and Data Support for MDRC'S PTECH Study	84.305	-	29,391	MDRC	Mod #1 (Yr 3)	29,391	-
		-	29,391			29,391	-
Creativity in Engineering Science and Technology (CREST)	84.411	-	29,876	Expanded Schools	U411C180023	29,876	-
		-	29,876			29,876	-
Wisconsin PROMISE	84.418	-	1,469	University of Wisconsin, Madison	809K034	1,469	-
Wisconsin PROMISE	84.418	-	23,531	University of Wisconsin, Madison	879K421	23,531	-
		-	25,000			25,000	-
New York State UPK Expansion: Authentic Assessment Training & Coaching Project	84.U01	-	24	Research Foundation of the City University of New York (RF CUNY)	50137-B Amd 2	24	-
Regional Educational Laboratory - Northeast and Islands - 2017-2022	84.U01	-	1,400	Education Development Center	15607	1,400	-
		-	1,424			1,424	-
		-	202,369			202,369	-
Total U.S. Department of Education							
US Department of Health and Human Services							
Training in General, Pediatric, and Public Health Dentistry	93.059	(2,455)	-			(2,455)	-
Training in General, Pediatric, and Public Health Dentistry	93.059	186,471	-			186,471	-
		184,016	-			184,016	-
Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements	93.074	-	21,700	Health Research, Inc.	5323-03	21,700	-
Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements	93.074	-	30,537	Public Hitsolutions	17-NYULH-01	30,537	-
		-	52,237			52,237	-
Healthy Marriage and Relationship Education Grants	93.086	-	29,619	Phoenix House	N/A	29,619	-
		-	29,619			29,619	-
SAMHSA Grant SM08785-01 and the Central East MHTTC Danya Institute Inc.	93.243	-	2,484	The Danya Institute, Inc.	SM08785-01	2,484	-
		-	2,484			2,484	-

New York University

Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

Federal Program	CFDA	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Advanced Nursing Education Workforce Grant Program	93.247	(16)	-			(16)	-
Advanced Nursing Education Workforce Grant Program	93.247	(15)	-			(15)	-
		(33)	-			(33)	-
Type A: Resilient and Responsive Health Systems (RRHS) Initiative	93.266	-	242,827	Brigham and Women's Hospital	116337 Amendment 4	242,827	-
Type A: Resilient and Responsive Health Systems (RRHS) Initiative	93.266	-	147,504	Brigham and Women's Hospital	116337 Amendment 2	147,504	-
		-	390,331			390,331	-
Essentials of Addiction to Opioids & Other Drugs: Impacts of Women Who Use Drugs	93.788	-	10,026	New York State Department of Health	6037-01	10,026	-
		-	10,026			10,026	-
Grants for Primary Care Training and Enhancement	93.884	293,168	-			293,168	-
		293,168	-			293,168	-
Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants	93.924	(339,610)	-			(339,610)	-
		(339,610)	-			(339,610)	-
PPHF Geriatric Education Centers	93.969	403,553	-			403,553	355,843
PPHF Geriatric Education Centers	93.969	780,761	-			780,761	346,554
		1,184,314	-			1,184,314	702,397
Preventive Health and Health Services Block Grant	93.991	-	173,103	NYS Dept of Health	C-028946	173,103	-
		-	173,103			173,103	-
Maternal and Child Health Services Block Grant to the States	93.994	-	10,744	NYS Dept of Health	DOH01-C32428GG-3450000	10,744	-
		-	10,744			10,744	-
Senior Policy Advisor for Early Childhood Policy in the Division of Children and Youth Policy, Office of Human Services Policy	93.U01	27,055	-			27,055	-
		27,055	-			27,055	-
Total US Department of Health and Human Services		1,348,910	668,544			2,017,454	702,397
Corporation For National and Community Service							
Evaluation and Research Services Relating to the Connections to Care Initiative	94.019	-	144,003	Rand Corporation	9920160047 A06	144,003	-
Evaluation of the Corporation for Supportive Housing's Social Innovation Fund Initiative	94.019	-	118,835	Corporation for Supportive Housing Social Innovati	12-042-C	118,835	-
		-	262,838			262,838	-
Total Corporation For National and Community Service		-	262,838			262,838	-
Department of Homeland Security							
Capped Grant	97.036	-	44,106,448	NYS Division of Homeland Security and Emergency Management	PW4005	44,106,448	-
Project Worksheets	97.036	-	2,581,065	NYS Division of Homeland Security and Emergency Management	PW 00006, PW 00007, PW04619	2,581,065	-
		-	46,687,513			46,687,513	-
Assistance to Firefighters Grant	97.044	515,992	-			515,992	-
		515,992	-			515,992	-
Total Department of Homeland Security		515,992	46,687,513			47,203,505	-
Total Other Programs		3,182,674	47,986,935			51,169,609	836,884
Total Expenditures of Federal Awards		\$ 1,209,368,459	\$ 94,481,436			\$ 1,303,849,895	\$ 54,620,594

New York University

Notes to Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

1. Basis of Presentation

The accompanying schedule of expenditures of federal awards ("the Schedule") presents the federal grant activity of New York University ("NYU") and is presented on the accrual basis of accounting.

The information in this Schedule is presented in accordance with the requirements of the Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) and therefore, some amounts may differ from amounts presented in, or used in the preparation of NYU's consolidated financial statements. Negative amounts represent adjustments or credits to amounts reported as expenditures in prior years arising out of the normal course of business. CFDA numbers and pass-through numbers are provided when available.

The research expenditures for direct costs are recognized using the cost accounting principles contained in OMB Circular A-21, *Cost Principles for Educational Institutions*, and OMB Uniform Guidance, where applicable. Under those cost principles, certain types of expenditures are not allowed for reimbursement. In addition, expenditures include a portion of costs associated with general School activities (facilities and administrative) which are allocated to federal awards under negotiated formulas commonly referred to as facilities and administrative rates (also under the provisions of OMB Circular A-21 and OMB Uniform Guidance, where applicable).

NYU does not use the 10% de-minimis indirect cost rate for sponsored programs.

2. Superstorm Sandy

As described in Note 2 to the accompanying consolidated financial statements, as a result of Superstorm Sandy, NYU Langone Health sustained widespread damage to the main campus facilities including NYU Langone Hospital's inpatient and outpatient facilities and the NYUGSoM research, faculty group clinical practice and education facilities, all of which were temporarily closed. Under Federal Emergency Management Agency ("FEMA") regulations, NYU Langone Health qualified for funding as a private non-profit facility that supplies critical services to the community. For Superstorm Sandy, FEMA (through the U.S. Department of Homeland Security) reimburses eligible entities at 90% of all eligible costs awarded.

In 2014, FEMA awarded NYU Langone Health a fixed, capped Public Assistance Grant ("Capped Grant") totaling \$1,088,252,436, which includes a reduction of \$3,383,139 due to a commercial insurance claim recovery. The award is to be spent over a 7 year performance period for activities covered in the agreed upon scopes of work. The \$1,088,252,436 will be subject to offset for future commercial insurance recoveries related to property damage. All reimbursement under the Capped Grant is passed through from New York State to the University, to NYU Langone Health. Included in the Schedule are \$44,106,448 of NYU Langone Health expenditures under the Capped Grant.

In 2013, NYU Langone Health received \$179,394,000 of expedited funding under their initial FEMA Project Worksheet applications, which is separate funding from the FEMA Capped Grant. These Project Worksheets are subject to review and finalization by FEMA. The expenses associated with these Project Worksheets are included in the Schedule in the year the Project Worksheets are approved. Included in the Schedule are \$2,581,065 of NYU Langone Health expenditures related to these Project Worksheets, of which \$2,209,849 were incurred in prior fiscal years but approved in 2019.

New York University

Notes to Schedule of Expenditures of Federal Awards

Year Ended August 31, 2019

3. Facilities and Administrative Cost Rates

The University had predetermined facilities and administrative cost rates for the fiscal year ended 2019, under a rate agreement with the Department of Health and Human Services ("DHHS"), the University's federal cognizant agency. The base rate for on-campus research was 58.5% for fiscal 2019. The base rate for off-campus research was 26% for fiscal 2019.

NYU Langone Health had predetermined facilities and administrative cost rates for the fiscal year ended 2019, under a rate agreement with the DHHS, NYU Langone Health's federal cognizant agency. The base rate for on-campus research was 69.5% for fiscal 2019. The base rate for off-campus research was 26% for fiscal 2019.

NYU Winthrop, which was merged into NYU Langone Hospitals on August 1, 2019 as described in Note 1 of the accompanying consolidated financial statements, had a predetermined facilities and administrative cost rate for the fiscal year ended 2019, under a rate agreement with DHHS, NYU Winthrop's federal cognizant agency. The base rate for all research was 53.6% in fiscal 2019.

4. Federal Student Loan Programs

NYU administers and accounts for all aspects of the campus-based student loan programs. Accordingly, NYU's consolidated financial statements include all activity related to these programs. The amount of loans outstanding under each of these programs at August 31, 2019 are presented below.

Program	CFDA	Amount Outstanding at August 31, 2019
Federal Perkins Loan	84.038	\$ 56,898,579
Health Professions Student Loans - Loans to Disadvantaged Students	93.342	2,890,240
Health Professions Student Loans	93.342	15,066,216
Nursing Student Loans	93.364	1,252,556
Graduate Nursing Loans	93.364	51,691
Nursing Faculty Loans	93.264	808,303
Nursing Faculty Loans - ARRA	93.264	73,841
		<u>\$ 77,041,426</u>

With respect to the Federal Direct Loan Program, NYU is only responsible for the performance of certain administrative duties. Therefore, the transactions and the balances of loans outstanding related to this program are not included in NYU's consolidated financial statements. The Schedule includes the loans issued to NYU students during the year ended August 31, 2019.

The administrative cost allowance for the Pell Grant Program of \$28,685 and for the College Work Study Program of \$487,644 have been included in the schedule of expenditures of federal awards.

NYU did not receive an administrative cost allowance from the Perkins Loan Program (CFDA #84.038) for the year ended August 31, 2019.

Part III
Reports on Internal Control and Compliance



**Report of Independent Auditors on Internal Control Over Financial Reporting and on Compliance
and Other Matters Based on an Audit of Financial Statements Performed in Accordance with
*Government Auditing Standards***

To The Board of Trustees of
New York University

We have audited in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the consolidated financial statements of New York University and its subsidiaries ("NYU"), which comprise the consolidated balance sheet as of August 31, 2019, and the related consolidated statements of activities and of cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated December 13, 2019, which includes an emphasis of matter paragraph regarding NYU's change in the manner in which it presents net assets and reports certain aspects of its financial statements as a not-for-profit entity in 2019. Our opinion is not modified with respect to this matter.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered NYU's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of NYU's internal control. Accordingly, we do not express an opinion on the effectiveness of NYU's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.



Compliance and Other Matters

As part of obtaining reasonable assurance about whether NYU's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in dark ink, appearing to read "Picciurrohouse Cooper LLP".

New York, New York
December 13, 2019



Report of Independent Auditors on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control Over Compliance in Accordance with the Uniform Guidance

To The Board of Trustees of
New York University

Report on Compliance for Each Major Federal Program

We have audited New York University and its subsidiaries' ("NYU") compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of NYU's major federal programs for the year ended August 31, 2019. NYU's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of NYU's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about NYU's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of NYU's compliance.

Opinion on Each Major Federal Program

In our opinion, NYU complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended August 31, 2019.



Other Matters

As indicated in Part I to the accompanying Schedule of Findings and Questioned Costs, we have audited the Student Financial Assistance cluster as a major program. Also, as indicated in the first paragraph of this report, we performed our audit of compliance using the compliance requirements contained in the OMB Compliance Supplement, including those contained in Part V 5.3, Compliance Requirement N, Special Tests and Provisions, Section 10 “Gramm-Leach-Bliley Act-Student Information Security.” This section includes three suggested audit procedures with respect to verification that the institution (1) designated an individual to coordinate the information security program, (2) performed a risk assessment that addresses the three required areas in 16 CFR 314.4(b), and (3) documented a safeguard for each risk identified. Our procedures in relation to these three items were limited to inquiry of and obtaining written representation from management and obtaining and reading management’s documentation related to these three items. Our procedures did not include an analysis of the adequacy or completeness of the risk assessment performed or the safeguards for each risk identified by management.

The results of our auditing procedures disclosed an instance of noncompliance, which is required to be reported in accordance with the Uniform Guidance and which is described in the accompanying Schedule of Findings and Questioned Costs as item 2019-001. Our opinion on each major federal program is not modified with respect to this matter.

NYU’s response to the noncompliance finding identified in our audit is described in the accompanying management’s views and corrective action plan. NYU’s response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

Report on Internal Control Over Compliance

Management of NYU is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered NYU’s internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of NYU’s internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.



Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

A handwritten signature in black ink, appearing to read "Picuratorelli".

New York, New York
March 10, 2020

Part IV

Findings

New York University
Schedule of Findings and Questioned Costs
August 31, 2019

Section I – Summary of Auditor’s Results

Financial Statements

Type of auditor’s report issued:

Unmodified

Internal control over financial reporting:

- | | | |
|---|-----------|-----------------------|
| • Material weakness(es) identified? | _____ Yes | ___X___ No |
| • Significant deficiency(ies) identified that are not considered to be material weaknesses? | _____ Yes | ___X___ None reported |
| • Noncompliance material to financial statements noted? | _____ Yes | ___X___ No |

Federal Awards

Internal control over major programs:

- | | | |
|---|-----------|-----------------------|
| • Material weakness(es) identified? | _____ Yes | ___X___ No |
| • Significant deficiency(ies) identified that are not considered to be material weaknesses? | _____ Yes | ___X___ None reported |

Type of auditor’s report issued on compliance for major programs:

Unmodified

Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a)?

___X___ Yes _____ No

Identification of major programs:

CFDA Number(s)

Various
97.036

Name of Federal Program or Cluster

Student Financial Assistance Cluster
Capped Grant & Project Worksheets

Dollar threshold used to distinguish between type A and type B programs:

\$3,911,550

Auditee qualified as low-risk auditee?

___X___ Yes _____ No

New York University

Schedule of Findings and Questioned Costs

August 31, 2019

Section II - Financial Statement Findings

As a result of our audit, no instances of noncompliance related to the financial statements that are required to be reported in accordance with *Government Auditing Standards* were identified.

Section III - Federal Award Findings and Questioned Costs

2019-001: Fringe Benefit Expense Duplication

Federal Agency: Department of Homeland Security

Pass-through Entity: New York State Division of Homeland Security and Emergency Management

Program: Capped Grant

CFDA #: 97.036

Criteria

In accordance with 2 CFR section 200.431, the cost of fringe benefits is allowable provided that the benefits are reasonable and are required by law, non-Federal entity employee agreement, or an established policy of the non-Federal entity. Fringe benefits may be assigned to cost objectives by identifying specific benefits to specific individual employees or by allocating on the basis of entity-wide salaries and wages of the employees receiving the benefits.

Condition

NYU Langone Health has a predetermined facilities and administrative cost rate under rate agreements with the federal cognizant agency which is used to charge fringe benefit expense to grants, which are established in written policies and reassessed annually. This rate is used to automatically charge fringe to all salaries and wages charged to grants. During 2019, the Information Technology (IT) department directly charged fringe benefit expense for ten employees, thus duplicating the amount of fringe benefit expense charged to the Capped Grant.

Cause

The IT department incorrectly charged fringe benefit expense to the Capped Grant as the department was not aware that the general ledger system automatically charges fringe expense to Federal projects.

Effect

The result of the condition caused a duplication of the fringe expense charged to the Capped Grant.

Questioned Costs

The questioned cost associated with this finding is \$36,804, which represents the amount of duplicated fringe benefits expense charged to the grant related to the ten IT Department employees during fiscal year 2019.

Recommendation

We recommend NYU Langone Health perform a thorough review of any fringe expenses directly charged to Federal grants.

Management's Views and Corrective Action Plan

Refer to Management's Views and Corrective Action Plan at the end of the report.

New York University

Summary Schedule of Status of Prior Audit Findings

August 31, 2019

2018-001: Federal Work Study Program Disbursements

Federal Agency: Department of Education

Program: Student Financial Aid Cluster

CFDA #: 84.033

Summary of Finding:

The University's timekeeping and payroll systems are configured such that if a supervisor does not approve a student's timesheet by the date that payroll disbursements are set to occur, the timesheet automatically "locks" and calculates the amount to be disbursed to the student based on the submitted hours and the student's pay rate in order to ensure the student is paid timely. The amount is then disbursed to the student utilizing FWS funds without this approval, and the timesheets may, but are not required to be retroactively certified by the supervisor. 6 of the 25 timesheets tested were not approved by a supervisor prior to disbursement of FWS funds, nor were they retroactively reviewed subsequent to the disbursement.

Current Year Status:

During 2019, the University updated its timekeeping and payroll systems to automatically utilize institutional funds for payments to students with unapproved timesheets.

There was no similar finding in 2019. Management considers this matter addressed and closed.

2018-002: Omission of Expenditures from the 2013-2017 Schedules of Expenditures of Federal Awards

Federal Agency: All

Program: All

CFDA #: All

Award #: All

Summary of Finding:

The SEFA and Data Collection Form (DCF) for fiscal years 2013-2017 did not include \$1,759,939 of federal expenditures incurred by NYU under various awards. The awards are administered by personnel at the University's Abu Dhabi campus, rather than central Sponsored Programs Administration (SPA), and were recorded to a different fund number in the University's general ledger than federal programs administered by SPA.

Current Year Status:

During 2019, management updated its controls to ensure the SEFA reflects all applicable Federal awards.

There was no similar finding in 2019. Management considers this matter addressed and closed.

Management's Views and Corrective Action Plan
August 31, 2019

2019-001: Fringe Benefit Expense Duplication

Management Views and Opinion

NYU Langone Health management agrees that expenditures for fringe benefits charged to the FEMA Cap Grant were overstated by \$36,803.70. A blended average hourly rate was calculated inclusive of a fringe component for ten internal IT employees. An automatic fringe charge levied by the ERP system on all compensation was subsequently applied thus duplicating the fringe charged on the Cap Grant for these employees.

Corrective Action Plan

All duplicative fringe benefit charges will be removed from the grant. Communications will be provided to all departments and staff responsible for overseeing compensation expenses on grants to ensure any blended hourly rate calculation excludes fringe benefits. Further, the research compliance group will closely monitor all compensation charges where blended rates are used to ensure an accurate application of fringe benefit costs.

Timeline for Action Plan

The corrective action plan will be implemented as follows:

Research compliance will immediately begin to monitor all compensation charges where blended rates are used. The duplicate fringe charges will be removed from the grant by February 28, 2020, and departmental communication will be made by May 31, 2020.

Responsible Individual: Timothy Fitzsimmons, Assistant Director Research Finance Operations

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Signature: Timothy Fitzsimmons