

# **New York University**

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

**August 31, 2021**

**Entity Identification Number: 13-5562308**

**New York University**  
**Index**  
**August 31, 2021 and 2020**

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**Part I**  
**Financial Statements**



## Report of Independent Auditors

To the Board of Trustees of  
New York University

### **Report on the Consolidated Financial Statements**

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, 2021 and 2020, 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, 2021 and 2020, 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.

### ***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, 2021 and schedule of financial responsibility ratios as of and for the year ended August 31, 2021 are 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 the Department of Education, respectively, and are 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 and schedule of financial responsibility ratios are 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, 2021, except for Note 20 to the consolidated financial statements and with respect to the opinion on the schedule of financial responsibility ratios, as to which the date is April 28, 2022, 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, 2021. 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.

*PricewaterhouseCoopers LLP*

New York, New York

December 13, 2021, except for Note 20 to the consolidated financial statements and with respect to the opinion on the schedule of financial responsibility ratios, as to which the date is April 28, 2022

**New York University**  
**Consolidated Balance Sheets**  
**August 31, 2021 and 2020**

<i>(in thousands of dollars)</i>	<b>2021</b>	<b>2020</b>
<b>Assets</b>		
Cash and cash equivalents	\$ 3,340,195	\$ 3,220,829
Short-term investments (Note 5)	193,532	2,452
Accounts and loans receivable, net (Note 6)	758,529	703,780
Patient accounts receivable, net (Note 4)	1,059,493	847,254
Contributions receivable, net (Note 7)	638,104	404,050
Other assets (Note 8)	1,075,431	939,943
Deposits with trustees (Note 9)	866,472	991,664
Long-term investments (Note 5)	7,093,866	5,485,673
Operating right to use assets (Note 11)	2,154,999	2,585,113
Assets held for professional liabilities (Note 13)	914,127	788,821
Land, buildings, and equipment, net (Note 10)	<u>12,900,693</u>	<u>11,870,956</u>
Total assets	<u>\$ 30,995,441</u>	<u>\$ 27,840,535</u>
<b>Liabilities and Net Assets</b>		
Liabilities		
Accounts payable and accrued expenses	\$ 2,777,772	\$ 2,403,740
Deferred revenue	1,327,589	1,011,225
Operating lease liability (Note 11)	2,295,086	2,731,283
Professional liabilities (Note 13)	847,910	770,741
Debt and other obligations (Note 12)	9,640,911	9,040,426
Funds held for others (Notes 6 and 8)	533,123	429,438
Accrued benefit obligation (Note 14)	537,447	807,856
Accrued postretirement obligation (Note 14)	632,710	770,560
Asset retirement obligation	<u>353,852</u>	<u>277,003</u>
Total liabilities	<u>18,946,400</u>	<u>18,242,272</u>
Net assets		
Without donor restrictions	6,936,140	5,630,715
With donor restrictions (Note 17)	<u>5,112,901</u>	<u>3,967,548</u>
Total net assets	<u>12,049,041</u>	<u>9,598,263</u>
Total liabilities and net assets	<u>\$ 30,995,441</u>	<u>\$ 27,840,535</u>

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

**New York University**  
**Consolidated Statements of Activities**  
**Years Ended August 31, 2021 and 2020**

<i>(in thousands of dollars)</i>	<b>2021</b>	<b>2020</b>
<b>Changes in net assets without donor restrictions</b>		
Operating revenues		
Tuition and fees (net of financial aid awards of \$825,662 and \$711,990)	\$ 2,107,670	\$ 2,108,565
Grants and contracts (Note 2)	1,132,112	1,077,825
Patient care (Note 4)	8,162,916	7,248,016
Hospital affiliations (Note 15)	415,355	377,169
Insurance premiums earned	106,708	107,149
Contributions	105,084	151,394
Endowment distribution (Note 5)	185,904	174,729
Return on short-term investments (Note 5)	33,452	66,841
Auxiliary enterprises (net of financial aid awards of \$47,077 and \$59,119)	238,627	326,808
Program fees and other	911,827	968,457
Net assets released from restrictions	134,916	160,624
Total operating revenues	<u>13,534,571</u>	<u>12,767,577</u>
Expenses (Note 16)		
Salaries and fringe	7,824,432	7,391,196
Medical and pharmaceutical costs	1,356,236	1,121,406
Professional services	601,242	693,866
Facilities costs	830,384	874,520
Fees, insurance and taxes	411,055	350,658
Depreciation and amortization	902,340	878,063
Interest	368,152	344,438
Other	712,357	934,198
Total expenses	<u>13,006,198</u>	<u>12,588,345</u>
Excess of operating revenues over expenses	528,373	179,232
Nonoperating activities		
Investment return (Note 5)	573,097	204,625
Appropriation of endowment distribution (Note 5)	(59,335)	(55,762)
Pension and postretirement nonservice costs (Note 14)	6,277	(20,373)
Changes in pension and postretirement obligations (Note 14)	399,853	(20,178)
Net assets released from restrictions for capital	19,140	34,217
Non-clinical COVID costs (Note 2)	(110,482)	(16,601)
Other	(51,498)	(5,266)
Increase in net assets without donor restrictions	<u>1,305,425</u>	<u>299,894</u>
<b>Changes in net assets with donor restrictions</b>		
Contributions	606,113	324,599
Investment return (Note 5)	795,379	240,160
Appropriation of endowment distribution (Note 5)	(126,569)	(118,967)
Other	24,486	(12,549)
Net assets released from restrictions	(154,056)	(194,841)
Increase in net assets with donor restrictions	<u>1,145,353</u>	<u>238,402</u>
Increase in net assets	<u>\$ 2,450,778</u>	<u>\$ 538,296</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, 2021 and 2020

(in thousands of dollars)

	2021	2020
<b>Cash flows from operating activities</b>		
Change in net assets	\$ 2,450,778	\$ 538,296
Adjustments to reconcile change in net assets to net cash provided by operating activities		
Depreciation and amortization	902,340	878,064
Loss on sale or disposal of land, buildings and equipment	361	268
Loss on extinguishment of debt	-	8,423
Net gain on investments and deposits with trustees	(1,328,602)	(394,125)
Bad debt expense	21,530	20,145
Pension and postretirement obligation change	(399,853)	20,178
Contributions received for permanent investment and capital	(119,739)	(135,882)
Proceeds from insurance recovery for capital or FEMA award	(4,793)	(28,893)
Amortization of operating right to use assets	267,675	271,733
Changes in operating assets and liabilities		
(Increase) decrease in accounts and loans receivable, net	(94,009)	63,009
(Increase) decrease in patient accounts receivable	(212,239)	125,931
(Increase) decrease in nonendowment and noncapital contributions receivable	(245,500)	65,067
(Increase) decrease in other assets	(30,991)	57,314
Decrease in asset retirement obligation	(980)	(17,177)
Increase in accounts payable and accrued expenses	348,851	474,590
Decrease in operating lease liability	(240,494)	(242,433)
Increase in professional liabilities	77,169	53,460
Increase (decrease) in deferred revenue	316,364	(57,210)
Decrease in accrued benefit obligation	(37,512)	(54,812)
Increase in accrued postretirement obligation	29,105	44,512
Net cash provided by operating activities	<u>1,699,461</u>	<u>1,690,458</u>
<b>Cash flows from investing activities</b>		
Purchases of investments	(4,238,859)	(3,655,751)
Sales and maturities of investments	3,667,095	2,642,196
Drawdowns of unexpended bond proceeds	376,744	383,409
Additions to land, buildings, and equipment	(1,043,429)	(912,103)
Proceeds from sale of building	-	2,704
Proceeds from insurance recovery	100	1,379
Net cash used in investing activities	<u>(1,238,349)</u>	<u>(1,538,166)</u>
<b>Cash flows from financing activities</b>		
Contributions received for permanent investment and capital	119,739	104,982
Proceeds from FEMA award for future mitigation	4,693	27,514
Proceeds from short-term borrowings	200,000	250,000
Proceeds from long-term borrowings	335,302	1,491,914
Principal payments on long-term borrowings	(276,585)	(709,238)
Line of credit repayments	(450,000)	(336,519)
Payments of deferred financing costs	(1,153)	(3,759)
Decrease in funds held for others	(5,983)	(14,890)
Net cash (used in) provided by financing activities	<u>(73,987)</u>	<u>810,004</u>
Net increase in cash	387,125	962,296
<b>Cash, cash equivalents and restricted cash</b>		
Beginning of year	<u>3,543,070</u>	<u>2,580,774</u>
End of year	<u>\$ 3,930,195</u>	<u>\$ 3,543,070</u>
<b>Supplemental disclosure of cash flow information</b>		
Interest paid	\$ 387,066	\$ 347,930
Change in noncash acquisitions of land, buildings, and equipment	(117,929)	18,219
Right-of-use assets obtained		
In exchange for new operating lease obligations	\$ 148,514	\$ 256,153
In exchange for new finance lease obligations	809,818	399,192

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

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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*(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 activities of NYU Langone Health System (Health System) and its two medical schools: the NYU Robert I. Grossman School of Medicine (NYUGSoM) and NYU Long Island School of Medicine (collectively the NYU Schools 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 Langone Hospital-Long Island, a 591-bed acute care facility; 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-University Hospital Services Corp., a real estate holding company, and various faculty, community, and hospital-based physician service organizations.

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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(in thousands of dollars)

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 July 2021, the Health System entered into an Affiliation Agreement with Brookhaven Memorial Medical Center Inc., d/b/a Long Island Community Hospital (LICH), a 306-bed acute care hospital located in Suffolk County, Long Island. The proposed affiliation with LICH is subject to customary closing conditions, including completion of satisfactory due diligence and receipt of regulatory approvals, which have not been finalized.

## 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 Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 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 return 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 contributions that are also subject to purpose restrictions.

### Activities

Revenues and expenses related to conducting programmatic activities and provision of services by NYU are classified as operating in the consolidated statements of activities. Investment return relating to board-designated endowment funds and the related endowment appropriation, as well as pension and postretirement nonservice costs, changes in pension and postretirement obligations, net assets released from restriction for capital purposes, incremental non-clinical COVID-19 related expenses, and other activity that is not part of NYU's core activities, are classified as nonoperating in the consolidated statements of activities.

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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*(in thousands of dollars)*

#### **Tuition and Fees**

Tuition and fees are derived from degree-granting programs as well as executive and continuing education programs. Tuition and fee revenue is recognized within the fiscal year in which the related 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 statements 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. Student housing and dining services are delivered over the academic terms and revenues are recognized ratably as the performance obligation is satisfied. Student housing and dining services are presented net of financial aid on the consolidated statements 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 \$1,172,400 and \$689,495 at August 31, 2021 and 2020, respectively. Revenues from unconditional non-exchange transactions are recognized in the period awarded.

In 2021 and 2020, grants and contracts revenue recognized from U.S. governmental sources totaled \$585,304 and \$523,845 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 \$198,327 and \$173,851, 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 damages and hazard mitigation projects as a result of Superstorm Sandy. The hazard mitigation project portion of the award was recognized as a contribution with donor restriction (Note 17), with a corresponding FEMA receivable (Note 6). The net assets are released from restriction as the costs are incurred and totaled \$8,126 and \$12,179 for the years ended August 31, 2021 and 2020, respectively.

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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(in thousands of dollars)

#### **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 (1.87% in 2021 and 1.47% in 2020). 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 820, *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.

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, 2021 and 2020.

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.

**New York University**  
**Notes to Consolidated Financial Statements**  
**August 31, 2021 and 2020**

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*(in thousands of dollars)*

**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.

All short-term, highly liquid investments, which would otherwise qualify as cash equivalents that are included in NYU's investment pool within long-term investments, are treated as investments and are therefore excluded from cash and cash equivalents in the consolidated statements of cash flows. The following table provides a reconciliation of cash and cash equivalents reported within the consolidated balance sheets to the amounts reported in the consolidated statements of cash flows:

	<b>2021</b>	<b>2020</b>
Cash and cash equivalents	\$ 3,340,195	\$ 3,220,829
Cash in long-term investment pool (Note 5)	177,070	140,305
Cash in other long-term investments (Note 5)	4,078	3,443
Cash in other assets (Note 8)	332	8,796
Cash in deposits with trustees (Note 9)	382,923	141,731
Cash in assets held for professional liabilities (Note 13)	25,597	27,966
	<u>3,930,195</u>	<u>3,543,070</u>
Cash, cash equivalents and restricted cash	<u>\$ 3,930,195</u>	<u>\$ 3,543,070</u>

**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. Repairs and maintenance expenditures are expensed when incurred.

**Leases**

NYU leases certain academic spaces, medical offices, administrative offices, and equipment under finance and operating leases. Operating lease right-of-use (ROU) assets and operating lease obligations are recognized based on the present value of lease payments over the lease term, where the initial term of the lease exceeds 12 months. NYU uses its incremental borrowing rate to calculate the present value of lease payments because the leases do not have a readily determinable implicit discount rate. As a practical expedient, NYU elected to include both lease and non-lease components in the calculation of the operating lease ROU asset and operating lease obligation. Variable lease payments are excluded for purposes of calculating the operating ROU asset and operating lease obligation unless the variable lease payments depend on an index or rate or are in substance fixed payments. Lease payments related to periods subject to renewal options are also excluded for purposes of calculating the operating ROU asset and operating lease obligation unless NYU is reasonably certain to exercise the option to extend the lease.

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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*(in thousands of dollars)*

Lease expense for operating leases is recognized on a straight-line basis over the term of the lease. Deferred rent liability is reported as a reduction to the ROU assets within the consolidated balance sheets.

#### **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 student 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.

#### **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.

#### **Reclassifications**

Certain amounts in the 2020 consolidated financial statements have been reclassified to conform to the current year's presentation. These reclassifications have no impact on the net assets or changes in net assets previously reported.

#### **Authoritative Pronouncements Adopted**

In February 2016, the FASB issued ASU 2016-02, *Leases*. Under the new guidance, lessees are required to recognize the following for all leases with a term of twelve months or greater 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 ROU asset, representing the lessee's right to use, or control the use of, a specified asset for the lease term. Leases are classified as either operating or finance leases (formerly referred to as capital leases). Recognition, measurement, and presentation of expenses and cash flows arising from a lease are determined by a lease's classification. NYU adopted the new standard on September 1, 2019 using the modified retrospective transition method that allows for application of the standard at the adoption date rather than at the beginning of the earliest comparative period presented in the

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consolidated financial statements. As permitted under the transition guidance, NYU elected a package of practical expedients which, among other provisions, allowed NYU to carry forward historical lease classifications. Upon adoption, NYU recognized \$2,718,449 of operating lease obligations in the consolidated balance sheet.

In August 2016, the FASB issued ASU 2016-15, *Classification of Certain Cash Receipts and Cash Payments*. ASU 2016-15 includes guidance on eight specific cash flow issues in an effort to reduce diversity in practice with the presentation or classification of certain transactions within the statements of cash flows. The standard is effective for fiscal years beginning after December 15, 2018. NYU adopted this standard in fiscal year 2020 using a retrospective approach. Adoption did not have an impact on the consolidated statements of cash flows.

In November 2016, the FASB issued ASU 2016-18, *Restricted Cash*, which addresses the presentation, disclosure, and cash flow classification of restricted cash and requires that the statements of cash flows explain the change during the period in the total of cash, cash equivalents, and amounts generally described as restricted cash or restricted cash equivalents. Entities are required to reconcile these amounts on the consolidated balance sheets to the consolidated statements of cash flows and disclose the nature of the restrictions. The standard is effective for fiscal years beginning after December 15, 2018. NYU adopted this standard in fiscal year 2020 using a retrospective approach and included the required reconciliation and disclosures in the Cash and Cash Equivalents section of Note 2.

In August 2018, the FASB issued ASU 2018-14, *Compensation-Retirement Benefits-Defined Benefit Plans*, which addresses changes to the disclosure requirements for employers that sponsor defined benefit pension or other postretirement plans. The amendments in the update remove disclosures that no longer are considered cost beneficial, clarify the specific requirements of disclosures, and add disclosure requirements identified as relevant. The standard is effective for fiscal years beginning after December 15, 2019. NYU adopted this standard in fiscal year 2021 using a retrospective approach and updated the disclosures in Note 14.

In August 2018, the FASB issued ASU 2018-13, *Fair Value Measurement: Disclosure Framework – Changes to the Disclosure Requirements for Fair Value Measurement*, which eliminates, adds and modifies certain disclosure requirements related to fair value measurement. The standard is effective for fiscal years beginning after December 15, 2019, with early adoption permissible. NYU adopted this standard in fiscal year 2021 using a retrospective approach. Adoption did not have a material impact on NYU's consolidated financial statements.

#### **New Authoritative Pronouncements not yet Adopted**

In June 2016, the FASB issued ASU 2016-13, *Financial Instruments-Credit Losses: Measurement of Credit Losses on Financial Instruments*. The new standard removes the previous requirement that a credit loss be probable of occurring for it to be recognized, and requires entities to use historical experience, current conditions, and reasonable and supportable forecasts to estimate their future expected credit losses. The standard is required to be applied using the modified retrospective approach with a cumulative-effect adjustment to net assets, if any, upon adoption. This ASU is effective for fiscal years beginning after December 15, 2022. NYU is currently evaluating the impact of the new standard on the consolidated financial statements.

In August 2018, the FASB issued ASU 2018-15, *Intangibles – Goodwill and Other – Internal Use Software*. The new standard amends aligns the requirements for capitalizing implementation costs



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incurred in a hosting arrangement that is a service contract with the requirements for capitalizing implementation costs incurred to develop or obtain internal use software. This ASU is effective for fiscal years beginning after December 15, 2020. NYU is evaluating the impact of the new standard on NYU's consolidated financial statements.

In March 2020, the FASB issued ASU 2020-04, *Reference Rate Reform, Facilitation of the Effects of Reference Rate Reform on Financial Reporting*. The standard provides temporary optional guidance to ease the potential burden in accounting for reference rate reform due to the risk of cessation of the London Interbank Offered Rate ("LIBOR"). The amendments apply only to contracts, hedging relationships, and other transactions that reference LIBOR or another reference rate expected to be discontinued because of reference rate reform. This standard is effective immediately and can be applied through December 31, 2022. NYU does not expect the adoption to have a material impact on the NYU's consolidated financial statements.

#### **Impact of COVID-19**

In January 2020, the World Health Organization declared the outbreak of the novel coronavirus (COVID-19) to be a pandemic. On March 7, 2020, the Governor of New York declared a state of emergency, and the Mayor of New York City made a similar emergency declaration on March 13, 2020. The pandemic impacted NYU's activities with Executive Orders issued by the Governor of New York State and related federal, state, and city law, regulations, and guidance resulting in the cancellation of elective procedures at NYU Langone Health, the transition to remote learning and closure of student residences at the campuses in New York, Abu Dhabi and Shanghai, and the discontinuance of activities at each of the global academic centers. As of August 31, 2020, NYU Langone Health has re-opened all service lines and patient service revenue has returned to pre-COVID-19 levels. For the year ended August 31, 2021, NYU's New York campus offered courses using a hybrid model with sections conducted partly or fully in-person or remote. For Fall 2021, NYU's New York campus resumed fully in-person instruction with many classes also offering remote sections.

The University incurred expenses relating to COVID-19 testing, incremental space for social distancing, and other pandemic related expenses supporting student instruction, research, and pandemic related campus services. These expenses have been recorded as non-clinical COVID costs in non-operating activity for the years ended August 31, 2021 and 2020, respectively.

#### *Coronavirus Aid, Relief and Economic Security Act*

On March 27, 2020, the Coronavirus Aid, Relief and Economic Security Act (CARES Act) was enacted. The CARES Act impacted NYU as follows for the year ended August 31, 2021 and 2020:

- The Provider Relief Fund (PRF) appropriated funding to reimburse eligible healthcare providers for expenses attributable to COVID-19 and lost revenues. NYU Langone Health received payments totaling \$570,200 which were recognized in program fees and other revenues in the consolidated statements of activities for the year ended August 31, 2020.

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- NYU Langone Health received \$441,276 in advanced payments from the Centers for Medicare and Medicaid Services (CMS) (\$432,800 in April 2020 and \$8,476 in September 2020), for which repayment began in April 2021. As of August 31, 2021 and 2020, NYU Langone Health has a remaining Medicare advance of \$317,099 and \$432,800, respectively, which is reported in accounts payable and accrued expenses on the consolidated balance sheets.
- The Higher Education Emergency Relief Fund (HEERF) appropriated funding to the Office of Postsecondary Education. The U.S. Department of Education (DOE) awarded HEERF funds based on an institution of higher education's Pell Grant recipients and full-time enrollment. Based on these criteria, DOE awarded \$104,407 and \$25,626 to NYU for the years ended August 31, 2021 and 2020, respectively. The University recognized \$121,414 and \$6,158 in program fees and other revenues in the consolidated statement of activities for the years ended August 31, 2021 and 2020, respectively. Financial aid awards include \$69,899 and \$7,272 of COVID-related emergency grants to students supported by University funds, HEERF funds, and donations for the years ended August 31, 2021 and 2020, respectively.
- NYU deferred the deposit and payment of \$181,950 and \$116,190 related to the employer's share of Social Security taxes which are reported in accounts payable and accrued expenses on the consolidated balance sheet as of August 31, 2021 and 2020, respectively. These deferred payments are due to be paid in two equal installments on December 31, 2021 and December 31, 2022.

#### *Federal Emergency Management Agency*

For the year ended August 31, 2021, NYU Langone Health recognized \$199,661 as program fees and other in the consolidated statement of activities for reimbursement of eligible operating expenses related to NYU Langone Health's submission of COVID-19 reimbursement claims to FEMA and \$4,305 in nonoperating activities in the consolidated statement of activities related to FEMA reimbursement of capital expenditures. NYU Langone Health recognizes revenue as expenses are incurred and determined to be eligible for FEMA reimbursement. For the year ended August 31, 2021, NYU Langone Health received payments totaling \$151,475 as expedited payments from the New York State Division of Homeland Security and Emergency Services related to NYU Langone Health's submission of COVID-19 reimbursement claims to FEMA. As of August 31, 2021, NYU Langone Health has a balance due from FEMA of \$54,358 in accounts and loans receivable on the consolidated balance sheet.

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**3. Financial Assets and Liquidity Resources**

As of August 31, 2021 and 2020, financial assets and liquidity resources available within one year for general expenditure, such as operating expenses, scheduled principal payments on debt, and capital costs not financed with debt, were as follows:

	<b>2021</b>	<b>2020</b>
<b>Financial assets</b>		
Cash and short-term investments	\$ 3,533,727	\$ 3,223,281
Investments available for general purposes	1,273,620	743,208
Accounts receivable, net	236,143	188,011
Grants and contracts receivable, net	153,773	115,562
Insurance premiums receivable	105,457	114,290
Patient accounts receivable, net	1,059,493	847,254
Non-endowment pledge payments due within one year	182,239	140,741
Other assets	44,725	19,746
Subsequent year endowment distribution	198,428	188,448
Total financial assets available within one year	<u>6,787,605</u>	<u>5,580,541</u>
<b>Liquidity resources</b>		
Undrawn bank lines of credit (Note 12)	1,355,600	1,405,600
Funds functioning as endowment available for operations	1,849,753	1,593,729
Total liquidity resources	<u>3,205,353</u>	<u>2,999,329</u>
Total financial assets and liquidity resources available within one year	<u>\$ 9,992,958</u>	<u>\$ 8,579,870</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 board of trustees 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, 2021 and 2020 is as follows:

	<b>2021</b>	<b>2020</b>
NYU Langone Health gross charges	\$ 43,372,657	\$ 36,148,464
NYU Langone Health contractual adjustments and implicit price concessions	(35,253,304)	(28,936,898)
University patient care	<u>43,563</u>	<u>36,450</u>
Total patient care revenue	<u>\$ 8,162,916</u>	<u>\$ 7,248,016</u>

The University's College of Dentistry provides dental clinic 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* which removes the requirement 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. For the years ended August 31, 2021 and

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2020, NYU Langone Health recorded \$154,642 and \$103,211, respectively, of implicit price concessions as a direct reduction to patient care revenue.

NYU's patient accounts receivable, after contractual adjustments and implicit price concessions is \$1,059,493 and \$847,254 at August 31, 2021 and 2020, 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 \$149,883 and \$146,837 at August 31, 2021 and 2020, 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' Medicare cost reports have been audited by the Medicare fiscal intermediary through August 31, 2015; however, final settlements are pending for 2003 and 2004. Prior to their merger into NYU Langone Hospitals' Medicare cost report, NYU Langone Hospital-Brooklyn and NYU Langone Hospital-Long Island filed separate stand-alone Medicare cost reports through December 31, 2015 and July 31, 2019, respectively. NYU Langone Hospital-Brooklyn's Medicare 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. NYU Langone Hospital-Long Island's Medicare cost reports have been audited by the Medicare fiscal intermediary through August 31, 2018 and there are no final settlements pending.

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The mix of patient care revenue for the years ended August 31, 2021 and 2020 are as follows:

	2021		2020	
	Health System	NYUGSoM	Health System	NYUGSoM
Medicare	18 %	18 %	17 %	17 %
Medicaid	2	1	2	1
Medicare and Medicaid managed care	20	14	18	14
Blue Cross	26	18	26	17
Managed care and other	34	49	37	51
	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>

The mix of patient accounts receivable, net from patients and third party payors at August 31, 2021 and 2020 are as follows:

	2021		2020	
	Health System	NYUGSoM	Health System	NYUGSoM
Medicare	9 %	13 %	10 %	13 %
Medicaid	1	1	2	1
Medicare and Medicaid managed care	19	15	18	13
Blue Cross	28	19	27	18
Managed care and other	43	52	43	55
	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>	<u>100 %</u>

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 Health's 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 \$101,318 and \$102,569 for the years ended August 31, 2021 and 2020, respectively. This equated to an approximate cost of \$19,297 and \$22,103 for the years ended August 31, 2021 and 2020, 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 patient methodology. Subsidy payments recognized as revenue amounted to approximately \$49,408 and \$43,554 for the years ended August 31, 2021 and 2020, respectively, and are included in patient care revenue in the consolidated statements of activities. NYU Langone Health paid \$63,004 and \$61,545 into the indigent care pool for the years ended August 31, 2021 and 2020, 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

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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.

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.

#### **Real Assets**

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

#### **Cash and Other**

Cash and other predominantly includes cash and cash equivalents.

#### **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.

#### **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.

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The following tables summarize the fair value of investments at August 31, 2021 and 2020:

	2021			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
<b>Long-term investments-investment pool</b>				
Public equity	\$ 1,442,361	\$ -	\$ -	\$ 1,442,361
Fixed income	-	377,629	-	377,629
Real assets	23,483	-	-	23,483
Cash and other	177,070	-	-	177,070
	<u>1,642,914</u>	<u>377,629</u>	<u>-</u>	<u>2,020,543</u>
Alternative investments measured at NAV as a practical expedient				<u>3,757,891</u>
Subtotal investment pool				<u>5,778,434</u>
<b>Other long-term investments</b>				
Public equity	805,368	2,780	-	808,148
Fixed income	499,746	-	-	499,746
Cash and other	4,078	-	3,460	7,538
Subtotal other long-term investments	<u>1,309,192</u>	<u>2,780</u>	<u>3,460</u>	<u>1,315,432</u>
Total long-term investments	<u>\$ 2,952,106</u>	<u>\$ 380,409</u>	<u>\$ 3,460</u>	<u>\$ 7,093,866</u>
<b>Short-term investments</b>				
Cash and other	\$ 193,532	\$ -	\$ -	\$ 193,532
Total short-term investments	<u>\$ 193,532</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 193,532</u>
<b>2020</b>				
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	Total
<b>Long-term investments-investment pool</b>				
Public equity	\$ 1,140,750	\$ -	\$ -	\$ 1,140,750
Fixed income	-	358,733	-	358,733
Real assets	17,302	-	-	17,302
Cash and other	140,305	-	-	140,305
	<u>1,298,357</u>	<u>358,733</u>	<u>-</u>	<u>1,657,090</u>
Alternative investments measured at NAV as a practical expedient				<u>3,048,508</u>
Subtotal investment pool				<u>4,705,598</u>
<b>Other long-term investments</b>				
Public equity	468,752	2,744	-	471,496
Fixed income	302,201	-	-	302,201
Cash and other	3,443	-	2,935	6,378
Subtotal other long-term investments	<u>774,396</u>	<u>2,744</u>	<u>2,935</u>	<u>780,075</u>
Total long-term investments	<u>\$ 2,072,753</u>	<u>\$ 361,477</u>	<u>\$ 2,935</u>	<u>\$ 5,485,673</u>
<b>Short-term investments</b>				
Cash and other	\$ 2,452	\$ -	\$ -	\$ 2,452
Total short-term investments	<u>\$ 2,452</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 2,452</u>



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Level 3 activity was not significant for either of the years ended August 31, 2021 or 2020.

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, 2021 and 2020:

<b>2021</b>				
<b>Asset category</b>	<b>Redemption Frequency</b>		<b>Redemption</b>	<b>Fair Value</b>
<b>Redeemable alternative investments</b>	<b>(if currently eligible)</b>		<b>Notice Period</b>	
Public equity	Daily, Weekly, Monthly, Quarterly, Annually		1 to 180 days	\$ 1,733,289
Hedge funds	Monthly, Quarterly, Semi-Annual, Annual, Bi-Annual		15 to 100 days	980,005
				<u>2,713,294</u>
<b>Nonredeemable alternative investments</b>	<b>Remaining Life</b>	<b>Time to draw Commitment</b>	<b>Unfunded Commitments</b>	<b>Fair Value</b>
Private equity	Up to 10 years	7-14 days	\$ 517,673	\$ 579,211
Credit	Up to 8 years	7-14 days	159,553	170,280
Real assets	Up to 4 years	7-14 days	3,538	55,242
Real estate	Up to 12 years	7-14 days	157,165	239,864
			<u>\$ 837,929</u>	<u>1,044,597</u>
				<u>\$ 3,757,891</u>

<b>2020</b>				
<b>Asset category</b>	<b>Redemption Frequency</b>		<b>Redemption</b>	<b>Fair Value</b>
<b>Redeemable alternative investments</b>	<b>(if currently eligible)</b>		<b>Notice Period</b>	
Public equity	Daily, Weekly, Monthly, Quarterly, Annually		1 to 180 days	\$ 1,336,315
Hedge funds	Monthly, Quarterly, Semi-Annual, Annual, Bi-Annual		15 to 100 days	884,783
Credit	Quarterly		60 days	15,746
				<u>2,236,844</u>
<b>Nonredeemable alternative investments</b>	<b>Remaining Life</b>	<b>Time to draw Commitment</b>	<b>Unfunded Commitments</b>	<b>Fair Value</b>
Private equity	Up to 11 years	7-14 days	\$ 449,058	\$ 369,481
Credit	Up to 9 years	7-14 days	129,487	162,105
Real assets	Up to 13 years	7-14 days	30,111	75,843
Real estate	Up to 13 years	7-14 days	159,156	204,235
			<u>\$ 767,812</u>	<u>811,664</u>
				<u>\$ 3,048,508</u>

Total investment return for the years ended August 31, 2021 and 2020 is as follows:

	<b>2021</b>	<b>2020</b>
Dividends and interest	\$ 74,506	\$ 125,436
Realized and unrealized gains, net	<u>1,327,422</u>	<u>386,190</u>
Total investment return, net	<u>\$ 1,401,928</u>	<u>\$ 511,626</u>
Endowment distribution approved for spending	\$ 185,904	\$ 174,729
Return on short-term investments	33,452	66,841
Investment return without donor restriction, net of spending	513,762	148,863
Investment return with donor restrictions, net of spending	<u>668,810</u>	<u>121,193</u>
Total investment return, net	<u>\$ 1,401,928</u>	<u>\$ 511,626</u>

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*(in thousands of dollars)*

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 statements 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 statements 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 activities. Distributions from the endowment to support activities (approximately 4.5% in 2021 and 2020) 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 activities 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, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Students and other	\$ 208,719	\$ 218,858
Grants and contracts	163,745	126,676
Student loans	84,278	91,262
FEMA award receivable	97,188	32,786
Housing loans and other loans to employees	67,202	67,502
Insurance premiums and recoveries (note 13)	202,568	220,282
	<u>823,700</u>	<u>757,366</u>
Allowance for uncollectible amounts	<u>(65,171)</u>	<u>(53,586)</u>
Accounts and loans receivable, net	<u>\$ 758,529</u>	<u>\$ 703,780</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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(in thousands of dollars)

Student loans consist primarily of Federal advances to the University under Perkins and other Federal loan programs which totaled \$48,226 and \$53,016 at August 31, 2021 and 2020, respectively. NYU records a liability on its consolidated balance sheets 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, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
<b>Amounts expected to be collected in</b>		
Less than one year	\$ 274,933	\$ 226,929
One to five years	349,259	212,507
More than five years	128,984	65,664
	<u>753,176</u>	<u>505,100</u>
Discount	(27,073)	(18,879)
Allowance for uncollectible amounts	(87,999)	(82,171)
	<u>(115,072)</u>	<u>(101,050)</u>
Contributions receivable, net	<u>\$ 638,104</u>	<u>\$ 404,050</u>

Contributions receivable activity for the years ended August 31, 2021 and 2020 is as follows:

	<b>2021</b>	<b>2020</b>
<b>Contributions receivable, gross, beginning of year</b>	\$ 505,100	\$ 574,755
New pledges received	477,173	134,910
Adjustments and write-offs	(10,490)	(8,845)
Pledge payments received	(218,607)	(195,720)
	<u>753,176</u>	<u>505,100</u>
Contributions receivable, gross, end of year	753,176	505,100
Discount and allowance for uncollectible amounts	(115,072)	(101,050)
	<u>(115,072)</u>	<u>(101,050)</u>
<b>Contributions receivable, net, end of year</b>	<u>\$ 638,104</u>	<u>\$ 404,050</u>

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Conditional promises to give are not reported in the consolidated balance sheets and consist of the following as of August 31, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Bequests	\$ 748,154	\$ 685,411
Intentions to give	103,893	88,456
Conditional promises to give	331,861	269,285
	<u>\$ 1,183,908</u>	<u>\$ 1,043,152</u>

Expenses related to fundraising activities are \$52,175 and \$55,690 for the years ended August 31, 2021 and 2020, respectively.

**8. Other Assets**

Other assets consist of the following at August 31, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Deferred compensation plan assets held for others	\$ 486,090	\$ 376,422
Prepaid expenses and deferred charges	195,761	198,905
Inventory	168,571	167,412
Intangible assets and goodwill	51,293	51,387
Third-party payor receivables	53,856	21,663
Split-interest agreements	43,008	38,131
Other	76,852	86,023
Other assets	<u>\$ 1,075,431</u>	<u>\$ 939,943</u>

Deferred compensation plan assets held for others represent employee contributions and investment return 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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(in thousands of dollars)

The following tables summarize the fair value of other assets at August 31, 2021 and 2020:

	2021			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
<b>Other financial instruments</b>				
Split-interest agreements	\$ -	\$ -	\$ 43,008	\$ 43,008
<b>Deferred compensation plan held for others</b>				
Variable annuities	\$ 142,935	\$ 63,539	\$ -	\$ 206,474
Fixed income annuity	24,037	7,825	41,675	73,537
Public equity	204,991	1,088	-	206,079
Total deferred compensation plan assets held for others	\$ 371,963	\$ 72,452	\$ 41,675	\$ 486,090

  

	2020			Total
	Active Markets (Level 1)	Observable Inputs (Level 2)	Unobservable Inputs (Level 3)	
<b>Other financial instruments</b>				
Split-interest agreements	\$ -	\$ -	\$ 38,131	\$ 38,131
<b>Deferred compensation plan held for others</b>				
Variable annuities	\$ 82,142	\$ 49,110	\$ -	\$ 131,252
Fixed income annuity	26,431	7,066	34,987	68,484
Public equity	175,970	716	-	176,686
Total deferred compensation plan assets held for others	\$ 284,543	\$ 56,892	\$ 34,987	\$ 376,422

Level 3 activity was not significant for either of the years ended August 31, 2021 or 2020.

**9. 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, 2021 and 2020:

	2021	2020
Construction funds held by DASNY	\$ 849,197	\$ 970,363
Debt service funds	48	284
Debt service reserve funds	15,885	19,910
Other	1,342	1,107
	<u>\$ 866,472</u>	<u>\$ 991,664</u>

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(in thousands of dollars)

The following tables summarize the fair value of deposits with trustees at August 31, 2021 and 2020 according to the asset categories defined in Note 5.

	<b>2021</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Fixed income	\$ 483,549	\$ -	\$ -	\$ 483,549
Cash and other	382,923	-	-	382,923
Total deposits with trustees	<u>\$ 866,472</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 866,472</u>

  

	<b>2020</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Fixed income	\$ 849,933	\$ -	\$ -	\$ 849,933
Cash and other	141,731	-	-	141,731
Total deposits with trustees	<u>\$ 991,664</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 991,664</u>

**10. Land, Buildings, and Equipment**

Land, buildings, and equipment consist of the following at August 31, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Land	\$ 384,458	\$ 384,470
Buildings and building improvements	14,137,946	13,428,981
Equipment	2,983,769	2,714,783
Finance leases	1,632,225	882,309
Construction in progress	1,429,112	1,211,399
	<u>20,567,510</u>	<u>18,621,942</u>
Less: Accumulated depreciation	<u>(7,666,817)</u>	<u>(6,750,986)</u>
Land, buildings, and equipment, net	<u>\$ 12,900,693</u>	<u>\$ 11,870,956</u>

Depreciation expense is \$924,444 and \$800,746 for the years ended August 31, 2021 and 2020, respectively.

In September 2020, NYUGSoM extended an existing lease in Manhattan for 30 years, resulting in a reclassification of the lease from an operating lease to a finance lease totaling \$743,300.

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(in thousands of dollars)

**11. Leases**

The components of lease expense included in the statements of activities consist of the following for the years ended August 31, 2021 and 2020:

<b>Lease Cost</b>	<b>2021</b>	<b>2020</b>
Finance lease cost		
Amortization of right-of-use assets	\$ 89,283	\$ 55,833
Interest on finance lease obligations	<u>61,976</u>	<u>32,738</u>
Total finance lease cost	<u>151,259</u>	<u>88,571</u>
Operating lease cost	306,142	333,693
Short-term and variable lease costs	<u>54,248</u>	<u>60,694</u>
Total operating lease cost included in facilities costs	<u>360,390</u>	<u>394,387</u>
Total lease cost	<u>\$ 511,649</u>	<u>\$ 482,958</u>
<b>Other Information</b>		
Cash paid for amounts included in the measurement of lease obligations		
Operating cash flows for operating leases	\$ 290,549	\$ 304,482
Operating cash flows for finance leases	59,728	23,340
Financing cash flows for finance leases	69,735	52,883
Right-of-use assets obtained		
In exchange for new operating lease obligations	\$ 148,514	\$ 256,153
In exchange for new finance lease obligations (Note 10)	809,818	399,192
Weighted-average remaining lease term		
Operating leases	18.7 years	17.8 years
Operating leases excluding ground lease through 2087	11.2 years	11.7 years
Finance leases	26.6 years	26.7 years
Weighted-average discount rate		
Operating leases	2.71 %	2.66 %
Finance leases	3.83 %	4.07 %

Aggregate future minimum lease payments under operating leases as of August 31, 2021 are as follows:

2022	\$ 281,452
2023	257,221
2024	242,134
2025	234,185
2026	203,082
Thereafter	<u>2,016,672</u>
Total minimum lease payments	3,234,746
Less: Imputed interest	<u>(939,660)</u>
Total operating lease obligation	<u>2,295,086</u>
Less: Deferred rent liability	<u>(140,087)</u>
Total operating right-to-use asset	<u>\$ 2,154,999</u>

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(in thousands of dollars)

**12. 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 consist of the following at August 31, 2021 and 2020:

	<b>2021</b>				
	<b>University</b>	<b>NYU Schools of Medicine</b>	<b>Total Obligated Group</b>	<b>Health System</b>	<b>Consolidated NYU</b>
<b>Issuer</b>					
Dormitory Authority of the State of New York (DASNY)	\$ 3,811,174	\$ 831,736	\$ 4,642,910	\$ 820,457	\$ 5,463,367
New York University	256,431	61,350	317,781	-	317,781
NYU Langone Hospitals	-	-	-	2,039,298	2,039,298
Nassau County Local Economic Assistance Corporation	-	-	-	33,078	33,078
Other obligations	169,410	1,281,990	1,451,400	335,987	1,787,387
Debt and other obligations	<u>\$ 4,237,015</u>	<u>\$ 2,175,076</u>	<u>\$ 6,412,091</u>	<u>\$ 3,228,820</u>	<u>\$ 9,640,911</u>
	<b>2020</b>				
	<b>University</b>	<b>NYU Schools of Medicine</b>	<b>Total Obligated Group</b>	<b>Health System</b>	<b>Consolidated NYU</b>
<b>Issuer</b>					
Dormitory Authority of the State of New York (DASNY)	\$ 3,715,509	\$ 809,663	\$ 4,525,172	\$ 845,900	\$ 5,371,072
New York University	266,981	65,395	332,376	-	332,376
NYU Langone Hospitals	-	-	-	2,039,267	2,039,267
Nassau County Local Economic Assistance Corporation	-	-	-	37,733	37,733
Other obligations	419,685	482,582	902,267	357,711	1,259,978
Debt and other obligations	<u>\$ 4,402,175</u>	<u>\$ 1,357,640</u>	<u>\$ 5,759,815</u>	<u>\$ 3,280,611</u>	<u>\$ 9,040,426</u>

In July 2021, DASNY issued \$212,695 of revenue bonds (Series 2021A) on behalf of the Obligated Group, with interest rates ranging from 0.66% to 2.23%, maturing serially through July 2041 and payable thereafter in annual sinking fund installments to maturity in 2051. The 2021A bonds maturing in July 2046 are payable in annual sinking fund installments from July 2042 to maturity. The 2021A bonds maturing in July 2051 are payable in annual sinking fund installments from July 2047 to maturity. In July 2021, DASNY issued \$37,305 of taxable bonds (Series 2021B) on behalf of the Obligated Group with interest rates ranging from 0.25% to 2.02%. The Series 2021B bonds mature serially from July 2022 through July 2031. The proceeds from the DASNY Series 2021A and Series 2021B were used to fund improvements on the Manhattan and Brooklyn campuses and repay certain lines of credit that were incurred to refund a portion of Series 2016A.

In February 2020, DASNY issued \$424,480 of taxable revenue bonds (Series 2020B) on behalf of the Obligated Group with interest rates ranging from 1.29% to 2.77%. The Series 2020B bonds mature serially from July 2021 through July 2030. The 2020B bonds maturing in July 2035 are payable in annual sinking fund installments from July 2031 to maturity. The 2020B bonds maturing in July 2040 are payable in annual sinking fund installments from July 2036 to maturity. The 2020B



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*(in thousands of dollars)*

bonds maturing in July 2043 are payable in annual sinking fund installments from July 2041 to maturity. The proceeds for the Series 2020B bonds were used to advance refund Series 2012A, 2012B, and 2013A bonds and a portion of Series 2015A.

In February 2020, DASNY issued \$466,305 of revenue bonds (Series 2020A) on behalf of NYU Langone Hospitals with interest rates ranging from 3.00% to 4.00%. The Series 2020A bonds mature serially from July 2048 through July 2053. The series 2020A bonds are payable at various dates through their maturity. The proceeds of the Series 2020A bonds were used to fund construction of and improvements to various Health System facilities.

In February 2020, NYU Langone Hospitals issued \$551,025 of taxable bonds (Series 2020B) with an interest rate of 3.38%. The Series 2020B bonds mature in July 2055 and are payable in full at maturity. A portion of the proceeds of the Series 2020B bonds were used to advance refund a portion of the Nassau County Local Economic Assistance Corporation Series 2012 bonds.

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

(in thousands of dollars)

The principal amounts outstanding for debt and other obligations consist of the following at August 31, 2021 and 2020:

	2021				
	University	NYU Schools of Medicine	Total Obligated Group	Health System	Consolidated NYU
<b>DASNY</b>					
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 \$1,560)	\$ 92,335	\$ -	\$ 92,335	\$ -	\$ 92,335
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 \$1,676 and \$2,007)	54,378	45,126	99,504	-	99,504
Series 2012C taxable bonds, with interest rates ranging from 1.93% to 3.62%, maturing serially through July 2027	13,590	-	13,590	-	13,590
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	22,845	-	22,845	-	22,845
Series 2014 bonds, with interest rate ranging from 2.00% to 5.00%, maturing serially through July 2032 and July 2036 (including premium of \$6,626)	-	-	-	70,001	70,001
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 \$12,547)	-	-	-	96,107	96,107
Series 2014A taxable bonds, with an interest rate of 2.59% maturing in July 2034, payable in annual sinking fund installments through July 2034	46,365	-	46,365	-	46,365
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 \$57,212)	627,887	-	627,887	-	627,887
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 \$58,361 and \$19,689)	465,701	141,899	607,600	-	607,600
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	152,000	29,970	181,970	-	181,970
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 \$18,546)	-	-	-	140,276	140,276
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 \$32,654 and \$19,089)	305,108	165,565	470,673	-	470,673
Series 2017B taxable bonds, with interest rates ranging from 1.60% to 4.15%, maturing serially to maturity in July 2032	167,299	50,406	217,705	-	217,705
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 \$30,940 and \$8,780)	298,075	78,716	376,791	-	376,791
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 \$6,301 and \$2,624)	146,440	102,053	248,493	-	248,493
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 \$76,182 and \$11,786)	595,287	87,591	682,878	-	682,878
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	33,580	170,085	-	170,085
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

# New York University

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(in thousands of dollars)

	2021				
	University	NYU Schools of Medicine	Total Obligated Group	Health System	Consolidated NYU
Series 2020A bonds, with interest rates ranging from 3.00% to 4.00% maturing serially through July 2053 (including net premiums of \$54,070)	-	-	-	520,374	520,374
Series 2020B taxable bonds, with interest rates ranging from 1.29% to 2.77%, maturing serially through July 2030 and payable thereafter in annual sinking fund installments to maturity in 2043	375,060	37,830	412,890	-	412,890
Series 2021A bonds, with interest rates ranging from 0.66% to 2.23%, maturing serially through July 2041 and payable thereafter in annual sinking fund installments to maturity in 2051 (including premiums of \$41,737 and \$10,295)	214,797	49,930	264,727	-	264,727
Series 2021B taxable bonds, with interest rates ranging from 0.25% to 2.02%, maturing serially through July 2031	31,965	5,340	37,305	-	37,305
Deferred financing costs	(12,388)	(1,515)	(13,903)	(6,301)	(20,204)
Subtotal of DASNY bonds	<u>3,811,174</u>	<u>831,736</u>	<u>4,642,910</u>	<u>820,457</u>	<u>5,463,367</u>
<b>NYU</b>					
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	11,842	61,778	73,620	-	73,620
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	18,085	-	18,085	-	18,085
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	227,335	-	227,335	-	227,335
Deferred financing costs	(831)	(428)	(1,259)	-	(1,259)
Subtotal of NYU bonds	<u>256,431</u>	<u>61,350</u>	<u>317,781</u>	<u>-</u>	<u>317,781</u>
<b>NYU Langone Hospitals</b>					
Series 2012 taxable bonds, with an interest rate of 4.40%, maturing in July 2042 (including discount of \$724)	-	-	-	249,276	249,276
Series 2013 taxable bonds, with an interest rate of 5.75%, maturing in July 2043 (including discount of \$1,051)	-	-	-	348,949	348,949
Series 2014 taxable bonds, with an interest rate of 4.78%, maturing in July 2044 (including discount of \$963)	-	-	-	299,037	299,037
Series 2017A taxable bonds, with an interest rate ranging from 4.17% to 4.37%, maturing in August 2047	-	-	-	600,000	600,000
Series 2020B taxable bonds, with a fixed interest rate of 3.38% to maturity in July 2055 (including a discount of \$2,594)	-	-	-	548,431	548,431
Deferred financing costs	-	-	-	(6,395)	(6,395)
Subtotal of NYU Langone Hospitals bonds	<u>-</u>	<u>-</u>	<u>-</u>	<u>2,039,298</u>	<u>2,039,298</u>
<b>Nassau County Local Economic Assistance Corporation</b>					
Series 2012 taxable bonds with varying interest rates of 3.00% to 5.00%, maturing in July 2042	-	-	-	3,260	3,260
Series 2014 taxable bonds, with an interest rate of 2.99%, maturing in July 2036	-	-	-	29,818	29,818
Subtotal of Nassau County Local Economic Assistance Corporation bonds	<u>-</u>	<u>-</u>	<u>-</u>	<u>33,078</u>	<u>33,078</u>
<b>Other obligations</b>					
Mortgage loans	-	40,730	40,730	11,562	52,292
Commercial loans	-	-	-	24,081	24,081
Lines of credit	-	44,400	44,400	-	44,400
Finance leases (Note 10)	169,410	1,196,860	1,366,270	300,344	1,666,614
Subtotal of other obligations	<u>169,410</u>	<u>1,281,990</u>	<u>1,451,400</u>	<u>335,987</u>	<u>1,787,387</u>
Total amounts outstanding	<u>\$ 4,237,015</u>	<u>\$ 2,175,076</u>	<u>\$ 6,412,091</u>	<u>\$ 3,228,820</u>	<u>\$ 9,640,911</u>

# New York University

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(in thousands of dollars)

	2020				
	University	NYU Schools of Medicine	Total Obligated Group	Health System	Consolidated NYU
<b>DASNY</b>					
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 \$2,044)	\$ 105,209	\$ -	\$ 105,209	\$ -	\$ 105,209
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 \$1,826 and \$2,114)	56,083	46,506	102,589	-	102,589
Series 2012C taxable bonds, with interest rates ranging from 1.93% to 3.62%, maturing serially through July 2027	15,685	-	15,685	-	15,685
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	24,165	-	24,165	-	24,165
Series 2014 bonds, with interest rate ranging from 2.00% to 5.00%, maturing serially through July 2032 and July 2036 (including premium of \$7,070)	-	-	-	73,530	73,530
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 \$13,444)	-	-	-	110,849	110,849
Series 2014A taxable bonds, with an interest rate of 2.59% maturing in July 2034, payable in annual sinking fund installments through July 2034	49,330	-	49,330	-	49,330
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 \$61,356)	647,961	-	647,961	-	647,961
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 \$63,513 and \$20,481)	510,168	156,701	666,869	-	666,869
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	165,690	30,235	195,925	-	195,925
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 \$19,535)	-	-	-	146,105	146,105
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 \$36,511 and \$19,828)	320,421	169,303	489,724	-	489,724
Series 2017B taxable bonds, with interest rates ranging from 1.60% to 4.15%, maturing serially to maturity in July 2032	170,730	50,406	221,136	-	221,136
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 \$33,553 and \$9,112)	307,968	80,827	388,795	-	388,795
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 \$6,572 and \$2,722)	146,712	103,692	250,404	-	250,404
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 \$81,195 and \$12,282)	608,850	88,087	696,937	-	696,937
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
Series 2020A bonds, with interest rates ranging from 3.00% to 4.00% maturing serially through July 2053 (including net premiums of \$53,781)	-	-	-	520,084	520,084
Series 2020B taxable bonds, with interest rates ranging from 1.29% to 2.77%, maturing serially through July 2030 and payable thereafter in annual sinking fund installments to maturity in 2043	384,355	40,125	424,480	-	424,480
Deferred financing costs	(12,248)	(1,084)	(13,332)	(4,668)	(18,000)
Subtotal of DASNY bonds	<u>3,715,509</u>	<u>809,663</u>	<u>4,525,172</u>	<u>845,900</u>	<u>5,371,072</u>

# New York University

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(in thousands of dollars)

	2020				
	University	NYU Schools of Medicine	Total Obligated Group	Health System	Consolidated NYU
<b>NYU</b>					
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	12,624	65,861	78,485	-	78,485
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	19,280	-	19,280	-	19,280
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	235,990	-	235,990	-	235,990
Deferred financing costs	(913)	(466)	(1,379)	-	(1,379)
Subtotal of NYU bonds	<u>266,981</u>	<u>65,395</u>	<u>332,376</u>	<u>-</u>	<u>332,376</u>
<b>NYU Langone Hospitals</b>					
Series 2012 taxable bonds, with an interest rate of 4.40%, maturing in July 2042 (including discount of \$793)	-	-	-	249,241	249,241
Series 2013 taxable bonds, with an interest rate of 5.75%, maturing in July 2043 (including discount of \$1,147)	-	-	-	348,901	348,901
Series 2014 taxable bonds, with an interest rate of 4.78%, maturing in July 2044 (including discount of \$1,046)	-	-	-	298,996	298,996
Series 2017A taxable bonds, with an interest rate ranging from 4.17% to 4.37%, maturing in August 2047	-	-	-	600,000	600,000
Series 2020B taxable bonds, with a fixed interest rate of 3.38% to maturity in July 2055 (including a discount of \$2,179)	-	-	-	548,846	548,846
Deferred financing costs	-	-	-	(6,717)	(6,717)
Subtotal of NYU Langone Hospitals bonds	<u>-</u>	<u>-</u>	<u>-</u>	<u>2,039,267</u>	<u>2,039,267</u>
<b>Nassau County Local Economic Assistance Corporation</b>					
Series 2012 taxable bonds with varying interest rates of 3.00% to 5.00%, maturing in July 2042	-	-	-	6,365	6,365
Series 2014 taxable bonds, with an interest rate of 2.99%, maturing in July 2036	-	-	-	31,368	31,368
Subtotal of Nassau County Local Economic Assistance Corporation bonds	<u>-</u>	<u>-</u>	<u>-</u>	<u>37,733</u>	<u>37,733</u>
<b>Other obligations</b>					
Mortgage loans	-	41,469	41,469	16,008	57,477
Commercial loans	-	-	-	27,491	27,491
Lines of credit	250,000	44,400	294,400	-	294,400
Finance leases (Note 10)	169,685	396,713	566,398	314,212	880,610
Subtotal of other obligations	<u>419,685</u>	<u>482,582</u>	<u>902,267</u>	<u>357,711</u>	<u>1,259,978</u>
Total amounts outstanding	<u>\$ 4,402,175</u>	<u>\$ 1,357,640</u>	<u>\$ 5,759,815</u>	<u>\$ 3,280,611</u>	<u>\$ 9,040,426</u>

Interest expense on debt and other obligations totaled \$368,152 and \$344,438 for the years ended August 31, 2021 and 2020, respectively. This excludes \$14,516 and \$9,478 of interest capitalized (net of income earned on deposits with bond trustees) for the years ended August 31, 2021 and 2020, 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, 2021 and 2020, NYU is compliant with all financial and administrative covenants.

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(in thousands of dollars)

**Obligations with Financial Institutions**

At August 31, 2021 and 2020, the Obligated Group has three contractually committed bank credit agreements which total \$800,000. As of August 31, 2021, these agreements expire from May 2022 to August 2024. The interest is accrued at rates based on LIBOR and the Bloomberg Short-Term Bank Yield Index. The amounts outstanding under these agreements are \$44,400 and \$294,400 as of August 31, 2021 and 2020, respectively.

At August 31, 2021, the Health System has three unsecured lines of credit which total \$600,000 and expire from August 2023 to May 2024. At August 31, 2020, the Health System had six unsecured lines of credit which totaled \$900,000 with expiration dates from April 2021 to May 2022. The interest is accrued at rates based on LIBOR. There were no amounts outstanding as of August 31, 2021 and 2020, 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	Finance Leases	Total
2022	\$ 164,149	\$ 74,281	\$ 238,430
2023	161,715	121,730	283,445
2024	169,374	94,383	263,757
2025	210,299	91,772	302,071
2026	176,780	92,436	269,216
Thereafter	<u>6,652,488</u>	<u>2,401,787</u>	<u>9,054,275</u>
	7,534,805	2,876,389	10,411,194
Unamortized premiums and discounts, net	465,175	-	465,175
Unamortized deferred financing costs	(25,683)	-	(25,683)
Less: Imputed interest	-	(1,209,775)	(1,209,775)
	<u>\$ 7,974,297</u>	<u>\$ 1,666,614</u>	<u>\$ 9,640,911</u>

**13. 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, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
CCC550 professional liabilities	\$ 723,868	\$ 630,843
Self-insured liabilities	70,541	65,165
Commercially insured liabilities	53,501	74,733
Professional liabilities	<u>\$ 847,910</u>	<u>\$ 770,741</u>

NYU Langone Hospitals is self-insured for professional and general liabilities on an occurrence basis through CCC550. Beginning July 1, 2017, NYU Langone Hospital-Long Island and certain of its physicians are also self-insured through CCC550. Prior to July 1, 2017, NYU Langone Hospital-Long Island 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 and other non-employed physicians 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, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Assets held by CCC550	\$ 858,650	\$ 732,975
Self-insurance trust	55,477	55,846
Assets held for professional liabilities	<u>\$ 914,127</u>	<u>\$ 788,821</u>

The following tables summarize the fair value of assets held for professional liabilities at August 31, 2021 and 2020 according to the asset categories defined in Note 5:

	<b>2021</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Fixed income	\$ 55,477	\$ 833,053	\$ -	\$ 888,530
Cash and other	25,597	-	-	25,597
Total assets held for professional liabilities	<u>\$ 81,074</u>	<u>\$ 833,053</u>	<u>\$ -</u>	<u>\$ 914,127</u>

	<b>2020</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Fixed income	\$ 55,846	\$ 705,009	\$ -	\$ 760,855
Cash and other	27,966	-	-	27,966
Total assets held for professional liabilities	<u>\$ 83,812</u>	<u>\$ 705,009</u>	<u>\$ -</u>	<u>\$ 788,821</u>

# New York University

## Notes to Consolidated Financial Statements

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*(in thousands of dollars)*

Commercially insured liabilities primarily relate to policies purchased by NYU Langone Hospital-Brooklyn and NYU Langone Hospital-Long Island (for certain of its physicians) covering periods prior to October 1, 2015 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 sheets (Note 6).

#### **14. 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 three 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 \$262,571 and \$259,985 in 2021 and 2020, 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 \$199,920 and \$196,708 in 2021 and 2020, 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 three 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 \$63,001 and \$100,549 in 2021 and 2020, respectively, are reported as a reduction in the accrued benefit obligation on the consolidated balance sheets for these plans.

##### **Postretirement Benefits**

NYU has three defined benefit 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 \$26,133 and \$16,217 in 2021 and 2020, respectively, are reported as a reduction in the accrued postretirement obligation on the consolidated balance sheets for these plans.



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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	
	2021	2020	2021	2020
<b>Change in benefit obligation</b>				
Benefit obligation as of beginning of year	\$ 2,806,713	\$ 2,675,658	\$ 943,159	\$ 840,698
Service cost	57,693	57,763	29,326	28,023
Interest cost	67,737	76,950	23,635	27,277
Actuarial loss (gain)	55,281	82,069	(57,811)	67,763
Benefits paid	(93,203)	(84,889)	(31,789)	(27,732)
Participant contributions	-	-	7,333	6,093
Retiree drug subsidy receipts	-	-	1,772	1,037
Administrative expenses	(1,325)	(838)	-	-
Plan amendments	-	-	(65,571)	-
Benefit obligation as of end of year	2,892,896	2,806,713	850,054	943,159
<b>Change in fair value of plan assets</b>				
Fair value of plan assets as of beginning of year	1,998,857	1,790,917	172,599	156,901
Actual return on plan assets	388,119	193,118	41,296	20,083
Employer contributions	63,001	100,549	26,133	16,217
Benefits paid	(93,203)	(84,889)	(31,789)	(27,732)
Participant contributions	-	-	7,333	6,093
Retiree drug subsidy receipts	-	-	1,772	1,037
Administrative expenses	(1,325)	(838)	-	-
Fair value of plan assets, end of year	2,355,449	1,998,857	217,344	172,599
Accrued benefit obligation	\$ 537,447	\$ 807,856	\$ 632,710	\$ 770,560
<b>Benefit obligation range of assumptions as of August 31</b>				
Discount rate	2.87% - 3.15%	2.81% - 3.06%	2.80% - 2.95%	2.75% - 2.89%
Rate of increase in compensation levels	2.91% - 5.00%	2.91% - 3.00%	N/A	N/A

The accumulated benefit obligation for the defined benefit pension plans is \$2,681,560 and \$2,623,658 at August 31, 2021 and 2020, respectively.

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(in thousands of dollars)

**Net Periodic Benefit Cost**

	<b>Defined Benefit Pension Plans</b>		<b>Postretirement Benefit Plans</b>	
	<b>2021</b>	<b>2020</b>	<b>2021</b>	<b>2020</b>
<b>Components of net periodic benefit cost</b>				
Operating expense				
Service cost in salary and fringe	\$ 57,693	\$ 57,763	\$ 29,326	\$ 28,023
Nonoperating expense				
Interest cost	67,737	76,950	23,635	27,277
Expected return on plan assets	(137,365)	(131,654)	(10,329)	(9,420)
Amortization of prior service cost (credit)	2	2	92	(324)
Amortization of actuarial loss	37,422	42,677	10,768	14,865
One-time curtailment loss	-	-	1,761	-
Total non-service costs	(32,204)	(12,025)	25,927	32,398
Net periodic benefit cost	\$ 25,489	\$ 45,738	\$ 55,253	\$ 60,421
<b>Other changes recognized in net assets without donor restrictions</b>				
Actuarial net (gain) loss arising during period	\$ (195,473)	\$ 20,606	\$ (88,778)	\$ 56,792
Amortization of prior service (cost) credit	(2)	(2)	(2,174)	324
Amortization of actuarial loss	(37,422)	(42,677)	(10,768)	(14,865)
Prior service credit	-	-	(65,236)	-
Total changes in pension and postretirement obligations	\$ (232,897)	\$ (22,073)	\$ (166,956)	\$ 42,251
<b>Net periodic benefit cost range of assumptions</b>				
Discount rate	2.32% - 3.27%	2.74% - 3.25%	2.75% - 2.89%	3.09% - 3.15%
Rate of increase in compensation levels	2.91% - 3.00%	2.91% - 3.50%	N/A	N/A
Expected long-term rate of return on plan assets	6.00% - 7.00%	6.00% - 7.75%	6.00% - 7.00%	6.00% - 7.00%
Initial healthcare cost trend	N/A	N/A	4.75% - 7.80%	5.00% - 13.64%
Ultimate retiree health-care cost trend	N/A	N/A	4.50%	4.50%
Year ultimate trend rate is achieved	N/A	N/A	2024-2031	2024-2031

Actuarial gains were the result of asset returns in excess of planned return as well as changes in discount rates and plan experience for the year ended August 31, 2021. Actuarial losses were the result of changes in discount rates and plan experience for the year ended August 31, 2020.

Amounts not yet reflected in net periodic benefit cost and included in net assets without donor restrictions for the defined benefit pension plans totaled \$429,266 and \$740,384 for the years ended August 31, 2021 and 2020, respectively. Amounts not yet reflected in net periodic benefit cost and included in net assets without donor restrictions for the postretirement benefit plans totaled \$83,528 and \$250,163 for the years ended August 31, 2021 and 2020, respectively.

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**Plan Assets**

The following table presents the fair value of the defined benefit plan investments at August 31, 2021 and 2020 according to the asset categories defined in Note 5:

	<b>2021</b>			
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	<b>Total</b>
Public equity	\$ 1,037,161	\$ 339,858	\$ -	\$ 1,377,019
Fixed income	521,732	326,417	-	848,149
Real estate	20,865	-	-	20,865
Cash and other	108,076	-	-	108,076
	<u>\$ 1,687,834</u>	<u>\$ 666,275</u>	<u>\$ -</u>	<u>2,354,109</u>
Alternative investments measured at NAV as a practical expedient				<u>1,340</u>
				<u>\$ 2,355,449</u>

	<b>2020</b>			
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	<b>Total</b>
Public equity	\$ 939,266	\$ -	\$ -	\$ 939,266
Fixed income	448,639	159,249	-	607,888
Real estate	33,720	-	-	33,720
Cash and other	414,296	-	-	414,296
	<u>\$ 1,835,921</u>	<u>\$ 159,249</u>	<u>\$ -</u>	<u>1,995,170</u>
Alternative investments measured at NAV as a practical expedient				<u>3,687</u>
				<u>\$ 1,998,857</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 for the sponsor. The pension liability growth rate together with the objective to achieve and maintain a fully-funded 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% - 7% is a reasonable estimate of long-term rates of return on plan assets for 2021 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, 2021 and 2020 according to the asset categories defined in Note 5:

	<b>2021</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Public equity	\$ 142,301	\$ -	\$ -	\$ 142,301
Fixed income	60,789	14,136	-	74,925
Cash and other	118	-	-	118
	<u>\$ 203,208</u>	<u>\$ 14,136</u>	<u>\$ -</u>	<u>\$ 217,344</u>

  

	<b>2020</b>			<b>Total</b>
	<b>Active Markets (Level 1)</b>	<b>Observable Inputs (Level 2)</b>	<b>Unobservable Inputs (Level 3)</b>	
Public equity	\$ 114,703	\$ -	\$ -	\$ 114,703
Fixed income	43,941	13,261	-	57,202
Cash and other	694	-	-	694
	<u>\$ 159,338</u>	<u>\$ 13,261</u>	<u>\$ -</u>	<u>\$ 172,599</u>

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

The postretirement 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%-7% is a reasonable range of long-term rates of return on plan assets for 2021 and will continue to evaluate the actuarial assumptions and adjust them as necessary.

**Contributions**

NYU determines the annual contributions to the plan 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 2022 are \$47,568 and \$29,910, respectively.

**Benefit Payments**

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

<b>Year Ending August 31,</b>	<b>Defined Benefit Pension Plans</b>	<b>Postretirement Benefit Plans</b>
2022	\$ 97,652	\$ 29,854
2023	103,322	31,169
2024	109,040	32,625
2025	114,390	33,834
2026	120,225	35,541
2027-2031	676,925	203,882

**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, 2021 and 2020:

	2021	2020
1199 SEIU Health Care Employees Health & Welfare Fund	\$ 117,710	\$ 114,531
1199 SEIU Health Care Employees Pension Fund	55,369	54,072
United Federation of Teachers Welfare Fund	18,381	19,627
Local 810 United Wire, Metal & Machine Health & Welfare Fund	4,812	4,672
Local 810 United Wire, Metal & Machine Pension Fund	3,381	3,535
Local 30 Pension Fund	213	217
Local 153 Pension Fund	54	54
	<u>\$ 199,920</u>	<u>\$ 196,708</u>

The Pension Protection Act 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 for the plan years ended December 31, 2020 and 2019.

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
		2020	2019			
1199 Pension Fund	13-3604862	Green	Green	N/A	No	September 2024
Local 810 United Wire Pension Fund	13-6596940	Red	Red	Yes	Yes	June 2024
Local 30 Pension Fund	51-6045848	Green	Green	N/A	No	June 2021
Local 153 Pension Fund	13-2864289	Red	Red	Yes	N/A	December 2020

NYU's contributions to the 1199 Pension Fund and the Local 810 United Wire Pension Fund represent greater than 5% of total plan contributions, based on the most recent Form 5500s available. NYU is in withdrawal status for the Local 153 Pension Fund with quarterly withdrawal payments continuing through 2033.

**15. 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 were effective from July 1, 2015 through June 30, 2020. The affiliation agreements were deemed to be extended on a month-to-month basis for the period July 1 2020 through June 30, 2021. NYUGSoM recognized revenues from these affiliation agreements of \$388,202 and \$351,095 for the years ended August 31, 2021 and 2020, 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

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

(in thousands of dollars)

Langone. NYU Langone Hospitals recognized revenue from these affiliation agreements of \$27,153 and \$26,074 for the years ended August 31, 2021 and 2020, respectively.

#### 16. Functional Classification of Expenses

NYU's primary program services are instruction, research and patient care. NYU's additional program services are student services and libraries 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. Non-clinical COVID-19 costs in non-operating activities of \$110,482 and \$16,601 are classified as institutional services for the years ended August 31, 2021 and 2020, respectively.

Expenses by functional classification for the years ended August 31, 2021 and 2020 consist of the following:

	2021						
	Instruction and Other Academic Programs	Research and Other Sponsored Programs	Patient Care	Student Services and Libraries	Auxiliary Enterprises	Institutional Services	Total
Salary and fringe	\$ 1,388,373	\$ 569,609	\$ 4,647,114	\$ 135,396	\$ 128,267	\$ 955,673	\$ 7,824,432
Medical and pharmaceutical costs	63	1,539	1,347,896	-	-	6,738	1,356,236
Professional services	119,623	31,859	228,967	15,032	47,355	158,406	601,242
Facilities costs	106,263	133,223	139,274	12,270	178,424	260,930	830,384
Fees, insurance and taxes	5,656	456	204,370	450	14,320	185,803	411,055
Depreciation and amortization expense	91,260	32,989	471,154	17,664	93,447	195,826	902,340
Interest expense	105,432	8,251	149,958	5,581	32,922	66,008	368,152
Other	97,312	163,674	182,240	45,661	9,304	214,166	712,357
	<u>\$ 1,913,982</u>	<u>\$ 941,600</u>	<u>\$ 7,370,973</u>	<u>\$ 232,054</u>	<u>\$ 504,039</u>	<u>\$ 2,043,550</u>	<u>\$ 13,006,198</u>
University	\$ 1,848,704	\$ 261,388	\$ 51,113	\$ 214,950	\$ 397,950	\$ 460,376	\$ 3,234,481
NYU Langone Health	65,278	680,212	7,319,860	17,104	111,075	1,590,167	9,783,696
	<u>\$ 1,913,982</u>	<u>\$ 941,600</u>	<u>\$ 7,370,973</u>	<u>\$ 232,054</u>	<u>\$ 509,025</u>	<u>\$ 2,050,543</u>	<u>13,018,177</u>
						Eliminations	(11,979)
							<u>\$ 13,006,198</u>
	2020						
	Instruction and Other Academic Programs	Research and Other Sponsored Programs	Patient Care	Student Services and Libraries	Auxiliary Enterprises	Institutional Services	Total
Salary and fringe	\$ 1,381,904	\$ 533,982	\$ 4,551,437	\$ 139,538	\$ 111,869	\$ 672,466	\$ 7,391,196
Medical and pharmaceutical costs	59	2,648	1,113,443	2	180	5,074	1,121,406
Professional services	129,957	32,857	281,163	16,932	56,537	176,420	693,866
Facilities costs	115,272	146,876	161,395	13,647	169,513	267,817	874,520
Fees, insurance and taxes	6,849	499	144,592	1,490	15,572	181,656	350,658
Depreciation and amortization expense	84,440	28,324	392,734	19,043	99,730	253,792	878,063
Interest expense	108,405	7,466	124,004	4,884	36,586	63,093	344,438
Other	171,193	138,889	333,804	57,019	17,920	215,373	934,198
	<u>\$ 1,998,079</u>	<u>\$ 891,541</u>	<u>\$ 7,102,572</u>	<u>\$ 252,555</u>	<u>\$ 507,907</u>	<u>\$ 1,835,691</u>	<u>\$ 12,588,345</u>
University	\$ 1,938,188	\$ 265,179	\$ 44,113	\$ 235,008	\$ 432,512	\$ 457,024	\$ 3,372,024
NYU Langone Health	59,891	626,362	7,058,459	17,547	79,865	1,384,994	9,227,118
	<u>\$ 1,998,079</u>	<u>\$ 891,541</u>	<u>\$ 7,102,572</u>	<u>\$ 252,555</u>	<u>\$ 512,377</u>	<u>\$ 1,842,018</u>	<u>12,599,142</u>
						Eliminations	(10,797)
							<u>\$ 12,588,345</u>

**New York University**  
**Notes to Consolidated Financial Statements**  
**August 31, 2021 and 2020**

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(in thousands of dollars)

**17. Components of Net Assets with Donor Restrictions**

Net assets with donor restrictions are available for the following purposes at August 31, 2021 and 2020:

	<b>2021</b>	<b>2020</b>
Scholarships and fellowships	\$ 1,597,392	\$ 1,210,111
Contributions and earnings for operating purposes	1,865,393	1,160,630
Faculty and staff salaries	838,654	818,516
Program support	578,566	543,505
FEMA award for mitigation	50,067	58,194
Annuity trust agreements	40,080	36,862
Contributions for buildings and equipment	34,463	35,434
Other	108,286	104,296
	<u>5,112,901</u>	<u>3,967,548</u>
Total net assets with donor restrictions	<u>\$ 5,112,901</u>	<u>\$ 3,967,548</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 the New York Prudent Management of Institutional Funds Act (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 \$2,565,794 and \$2,284,973 at August 31, 2021 and 2020, 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 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.



**New York University**  
**Notes to Consolidated Financial Statements**  
**August 31, 2021 and 2020**

(in thousands of dollars)

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, 2021 and 2020, 5 funds and 12 funds, respectively, with original gift values of \$350 and \$3,118 were underwater by \$34 and \$211.

All endowment funds included within net assets without donor restrictions are board-designated. The following table provides the changes in the net asset classes of NYU's endowment funds at August 31:

	<b>2021</b>		
	<b>Without Donor Restrictions</b>	<b>With Donor Restrictions</b>	<b>Total</b>
<b>Investment pool net assets, beginning of year</b>	\$ 1,593,729	\$ 3,111,869	\$ 4,705,598
Contributions	30,613	151,800	182,413
Investment pool return	395,546	791,618	1,187,164
Endowment distribution	(59,335)	(126,569)	(185,904)
Liquidations	(90,145)	(20,692)	(110,837)
Reclassification of net assets	(20,655)	20,655	-
<b>Investment pool net assets, end of year</b>	<b>\$ 1,849,753</b>	<b>\$ 3,928,681</b>	<b>\$ 5,778,434</b>
	<b>2020</b>		
	<b>Without Donor Restrictions</b>	<b>With Donor Restrictions</b>	<b>Total</b>
<b>Investment pool net assets, beginning of year</b>	\$ 1,442,772	\$ 2,882,044	\$ 4,324,816
Contributions	72,393	110,273	182,666
Investment pool return	159,480	238,519	397,999
Endowment distribution	(55,762)	(118,967)	(174,729)
Liquidations	(25,154)	-	(25,154)
<b>Investment pool net assets, end of year</b>	<b>\$ 1,593,729</b>	<b>\$ 3,111,869</b>	<b>\$ 4,705,598</b>

**18. Commitments and Contingencies**

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 NYU Langone Hospitals at no cost and NYU Langone Hospitals will construct on the site a four-story medical services building including a freestanding ED. NYU

# New York University

## Notes to Consolidated Financial Statements

### August 31, 2021 and 2020

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Langone Hospitals received the deed to the site on March 13, 2020. As of August 31, 2021, construction is underway and is expected to be completed in fiscal year 2023.

NYU has ongoing construction projects with contractual commitments totaling \$593,347 at August 31, 2021.

NYU 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 \$12,720 at August 31, 2021 and 2020. Additionally, NYU Langone Health has maintained stand-by letters of credit aggregating approximately \$63,540 and \$51,905 at August 31, 2021 and 2020, respectively.

NYU is a defendant in various legal actions arising from the normal course of its activities 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 sheets.

#### 19. Subsequent Events

NYU performed an evaluation of subsequent events through December 13, 2021, 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, NYU has evaluated subsequent events through April 28, 2022, the date the consolidated financial statements were available to be reissued.

On March 1, 2022, the Health System received regulatory approvals related to the affiliation with LICH, at which time the Health System became the sole corporate member of LICH. The Health System's Affiliation with and subsequent change in control of LICH will be accounted for as a business combination in accordance with ASC 805, *Business Combinations*, and ASC 958-805-05, *Acquisition by a Not-for-Profit Entity*. The Health System is in the process of performing a fair value analysis of the assets and liabilities of LICH and will record the fair value of LICH's net assets within other items in the 2022 consolidated statement of activities which represents LICH's net assets without donor restrictions at March 1, 2022 and the excess of the fair value of assets acquired over the fair value of liabilities assumed. No consideration was exchanged for the acquisition.

In April 2022, the Obligated Group entered into agreements to acquire or lease property in the New York Metro area with discounted future payments totaling approximately \$72,000.

**New York University**  
**Notes to Consolidated Financial Statements**  
**August 31, 2021 and 2020**

**20. Financial Responsibility Ratios**

NYU participates in federal Title IV student financial assistance programs, which require it to meet standards of financial responsibility based on criteria determined by the U.S. Department of Education (ED), as set forth in 34 CFR 668.171. The criteria for private institutions include the annual calculation by ED of a financial responsibility composite score, as further outlined in 34 CFR 668.172, using audited financial statements submitted through ED's eZ-Audit system. The composite score has been and will continue to be based on three ratios: Primary Reserve, Equity, and Net Income.

These ratios utilize the following financial data of NYU, which are not otherwise presented in the financial statements or other notes to the financial statements, as of and for the year ended August 31, 2021:

*(in thousands of dollars)*

Required input per standards	Ratio(s) Uses	Input Amount	Related financial statement amount not used as input on supplementary schedule
Property, plant and equipment, net - pre-implementation	Primary reserve	\$ 9,756,414	
Property, plant and equipment, net - post-implementation with outstanding debt for original purchase	Primary reserve	1,257,957	
Property, plant and equipment, net - post-implementation without outstanding debt for original purchase	Primary reserve	604,837	
Construction in progress - post-implementation	Primary reserve	1,281,485	
Total property, plant, and equipment, net	N/A		\$ 12,900,693
Long-term debt - for long-term purposes pre-implementation	Primary reserve	\$ 7,050,234	
Long-term debt - for long-term purposes post-implementation	Primary reserve	2,546,277	
Line of credit for construction in progress	Primary reserve	44,400	
Total long-term debt	Primary reserve	\$ 9,640,911	
Net assets with donor restrictions: restricted by purpose or time			
Annuities and life income funds with donor restrictions	Primary reserve	\$ 99,113	
Term endowments with donor restrictions	Primary reserve	4,815	
Net assets with donor restrictions: Other, for purpose or time	N/A		2,416,883
Net assets with donor restrictions: restricted in perpetuity	Primary reserve	2,592,090	
Total net assets with donor restrictions	N/A		\$ 5,112,901
Unsecured related party receivable	Primary reserve; Equity	\$ 134,773	
Inputs directly from the statement of activities			
Total expenses without donor restrictions (operating)	Primary reserve	\$ 13,006,198	
Plus: non-operating expenses and other losses	Primary reserve	161,980	
Total expenses and losses without donor restrictions	Primary reserve	\$ 13,168,178	
Total operating revenue and other additions	Net income	\$ 13,534,571	
Less: investment return appropriated for spending	Net income	(59,335)	
Plus: non-operating revenues and other gains	Net income	998,367	
Total revenue and gains without donor restrictions	Net income	\$ 14,473,603	

**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, 2021**

<i>(in thousands of dollars)</i>	2021			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<b>Assets</b>				
Cash and cash equivalents	\$ 1,476,606	\$ 1,863,589	\$ -	\$ 3,340,195
Short-term investments (Note 5)	193,532	-	-	193,532
Accounts and loans receivable, net (Note 6)	362,326	462,687	(66,484)	758,529
Patient accounts receivable, net (Note 4)	8,134	1,051,359	-	1,059,493
Contributions receivable, net (Note 7)	325,497	312,607	-	638,104
Other assets (Note 8)	294,423	781,008	-	1,075,431
Deposits with trustees (Note 9)	417,183	449,289	-	866,472
Long-term investments (Note 5)	4,441,775	2,652,091	-	7,093,866
Operating lease right to use asset (Note 11)	625,365	1,529,634	-	2,154,999
Assets held for professional liabilities (Note 13)	-	914,127	-	914,127
Land, buildings, and equipment, net (Note 10)	4,680,356	8,220,337	-	12,900,693
Total assets	<u>\$ 12,825,197</u>	<u>\$ 18,236,728</u>	<u>\$ (66,484)</u>	<u>\$ 30,995,441</u>
<b>Liabilities and Net Assets</b>				
<b>Liabilities</b>				
Accounts payable and accrued expenses	\$ 455,436	\$ 2,388,820	\$ (66,484)	\$ 2,777,772
Deferred revenue	1,175,206	152,383	-	1,327,589
Operating lease liability (Note 11)	655,402	1,639,684	-	2,295,086
Professional liabilities (Note 13)	-	847,910	-	847,910
Debt and other obligations (Note 12)	4,237,015	5,403,896	-	9,640,911
Funds held for others (Notes 6 and 8)	168,944	364,179	-	533,123
Accrued benefit obligation (Note 14)	21,802	515,645	-	537,447
Accrued postretirement obligation (Note 14)	419,573	213,137	-	632,710
Asset retirement obligation	198,551	155,301	-	353,852
Total liabilities	<u>7,331,929</u>	<u>11,680,955</u>	<u>(66,484)</u>	<u>18,946,400</u>
<b>Net assets</b>				
Without donor restrictions	2,057,276	4,878,864	-	6,936,140
With donor restrictions (Note 17)	3,435,992	1,676,909	-	5,112,901
Total net assets	<u>5,493,268</u>	<u>6,555,773</u>	<u>-</u>	<u>12,049,041</u>
Total liabilities and net assets	<u>\$ 12,825,197</u>	<u>\$ 18,236,728</u>	<u>\$ (66,484)</u>	<u>\$ 30,995,441</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, 2020**

<i>(in thousands of dollars)</i>	2020			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<b>Assets</b>				
Cash and cash equivalents	\$ 1,401,155	\$ 1,819,674	\$ -	\$ 3,220,829
Short-term investments (Note 5)	2,452	-	-	2,452
Accounts and loans receivable, net (Note 6)	426,996	389,041	(112,257)	703,780
Patient accounts receivable, net (Note 4)	7,834	839,420	-	847,254
Contributions receivable, net (Note 7)	254,310	149,740	-	404,050
Other assets (Note 8)	267,198	672,745	-	939,943
Deposits with trustees (Note 9)	493,628	498,036	-	991,664
Long-term investments (Note 5)	3,573,177	1,912,496	-	5,485,673
Operating lease right to use asset (Note 11)	667,192	1,917,921	-	2,585,113
Assets held for professional liabilities (Note 13)	-	788,821	-	788,821
Land, buildings, and equipment, net (Note 10)	4,536,572	7,334,384	-	11,870,956
Total assets	<u>\$ 11,630,514</u>	<u>\$ 16,322,278</u>	<u>\$ (112,257)</u>	<u>\$ 27,840,535</u>
<b>Liabilities and Net Assets</b>				
<b>Liabilities</b>				
Accounts payable and accrued expenses	\$ 408,345	\$ 2,107,652	\$ (112,257)	\$ 2,403,740
Deferred revenue	833,494	177,731	-	1,011,225
Operating lease liability (Note 11)	689,830	2,041,453	-	2,731,283
Professional liabilities (Note 13)	-	770,741	-	770,741
Debt and other obligations (Note 12)	4,402,175	4,638,251	-	9,040,426
Funds held for others (Notes 6 and 8)	153,329	276,109	-	429,438
Accrued benefit obligation (Note 14)	88,371	719,485	-	807,856
Accrued postretirement obligation (Note 14)	507,195	263,365	-	770,560
Asset retirement obligation	188,487	88,516	-	277,003
Total liabilities	<u>7,271,226</u>	<u>11,083,303</u>	<u>(112,257)</u>	<u>18,242,272</u>
<b>Net assets</b>				
Without donor restrictions	1,650,857	3,979,858	-	5,630,715
With donor restrictions (Note 17)	2,708,431	1,259,117	-	3,967,548
Total net assets	<u>4,359,288</u>	<u>5,238,975</u>	<u>-</u>	<u>9,598,263</u>
Total liabilities and net assets	<u>\$ 11,630,514</u>	<u>\$ 16,322,278</u>	<u>\$ (112,257)</u>	<u>\$ 27,840,535</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, 2021**

	2021						
<i>(in thousands of dollars)</i>	University	NYU Schools of Medicine	Eliminations	Subtotal	Health System	Eliminations	Total Consolidated NYU
<b>Assets</b>							
Cash and cash equivalents	\$ 1,476,606	\$ 58,416	\$ -	\$ 1,535,022	\$ 1,805,173	\$ -	\$ 3,340,195
Short-term investments (Note 5)	193,532	-	-	193,532	-	-	193,532
Accounts and loans receivable, net (Note 6)	362,326	216,598	(47,137)	531,787	393,790	(167,048)	758,529
Patient accounts receivable, net (Note 4)	8,134	154,934	-	163,068	896,425	-	1,059,493
Contributions receivable, net (Note 7)	325,497	117,143	-	442,640	195,464	-	638,104
Other assets (Note 8)	294,423	408,412	-	702,835	372,596	-	1,075,431
Deposits with trustees (Note 9)	417,183	-	-	417,183	449,289	-	866,472
Long-term investments (Note 5)	4,441,775	1,315,669	-	5,757,444	1,336,422	-	7,093,866
Operating lease right to use asset (Note 11)	625,365	987,477	-	1,612,842	542,157	-	2,154,999
Assets held for professional liabilities (Note 13)	-	-	-	-	914,127	-	914,127
Land, buildings, and equipment, net (Note 10)	4,680,356	3,449,620	-	8,129,976	4,770,717	-	12,900,693
Total assets	<u>\$ 12,825,197</u>	<u>\$ 6,708,269</u>	<u>\$ (47,137)</u>	<u>\$ 19,486,329</u>	<u>\$ 11,676,160</u>	<u>\$ (167,048)</u>	<u>\$ 30,995,441</u>
<b>Liabilities and Net Assets</b>							
<b>Liabilities</b>							
Accounts payable and accrued expenses	\$ 455,436	\$ 930,761	\$ (47,137)	\$ 1,339,060	\$ 1,605,760	\$ (167,048)	\$ 2,777,772
Deferred revenue	1,175,206	37,102	-	1,212,308	115,281	-	1,327,589
Operating lease liability (Note 11)	655,402	1,053,265	-	1,708,667	586,419	-	2,295,086
Professional liabilities (Note 13)	-	-	-	-	847,910	-	847,910
Debt and other obligations (Note 12)	4,237,015	2,175,076	-	6,412,091	3,228,820	-	9,640,911
Funds held for others (Notes 6 and 8)	168,944	319,626	-	488,570	44,553	-	533,123
Accrued benefit obligation (Note 14)	21,802	-	-	21,802	515,645	-	537,447
Accrued postretirement obligation (Note 14)	419,573	119,513	-	539,086	93,624	-	632,710
Asset retirement obligation	198,551	52,193	-	250,744	103,108	-	353,852
Total liabilities	<u>7,331,929</u>	<u>4,687,536</u>	<u>(47,137)</u>	<u>11,972,328</u>	<u>7,141,120</u>	<u>(167,048)</u>	<u>18,946,400</u>
<b>Net assets</b>							
Without donor restrictions	2,057,276	718,483	-	2,775,759	4,160,381	-	6,936,140
With donor restrictions (Note 17)	3,435,992	1,302,250	-	4,738,242	374,659	-	5,112,901
Total net assets	<u>5,493,268</u>	<u>2,020,733</u>	<u>-</u>	<u>7,514,001</u>	<u>4,535,040</u>	<u>-</u>	<u>12,049,041</u>
Total liabilities and net assets	<u>\$ 12,825,197</u>	<u>\$ 6,708,269</u>	<u>\$ (47,137)</u>	<u>\$ 19,486,329</u>	<u>\$ 11,676,160</u>	<u>\$ (167,048)</u>	<u>\$ 30,995,441</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, 2020**

	2020						
<i>(in thousands of dollars)</i>	University	NYU Schools of Medicine	Eliminations	Subtotal	Health System	Eliminations	Total Consolidated NYU
<b>Assets</b>							
Cash and cash equivalents	\$ 1,401,155	\$ 38,066	\$ -	\$ 1,439,221	\$ 1,781,608	\$ -	\$ 3,220,829
Short-term investments (Note 5)	2,452	-	-	2,452	-	-	2,452
Accounts and loans receivable, net (Note 6)	426,996	225,373	(92,429)	559,940	320,747	(176,907)	703,780
Patient accounts receivable, net (Note 4)	7,834	154,321	-	162,155	685,099	-	847,254
Contributions receivable, net (Note 7)	254,310	121,545	-	375,855	28,195	-	404,050
Other assets (Note 8)	267,198	298,737	-	565,935	374,008	-	939,943
Deposits with trustees (Note 9)	493,628	-	-	493,628	498,036	-	991,664
Long-term investments (Note 5)	3,573,177	1,037,665	-	4,610,842	874,831	-	5,485,673
Operating lease right to use asset (Note 11)	667,192	1,349,201	-	2,016,393	568,720	-	2,585,113
Assets held for professional liabilities (Note 13)	-	-	-	-	788,821	-	788,821
Land, buildings, and equipment, net (Note 10)	4,536,572	2,617,978	-	7,154,550	4,716,406	-	11,870,956
Total assets	<u>\$ 11,630,514</u>	<u>\$ 5,842,886</u>	<u>\$ (92,429)</u>	<u>\$ 17,380,971</u>	<u>\$ 10,636,471</u>	<u>\$ (176,907)</u>	<u>\$ 27,840,535</u>
<b>Liabilities and Net Assets</b>							
<b>Liabilities</b>							
Accounts payable and accrued expenses	\$ 408,345	\$ 766,849	\$ (92,429)	\$ 1,082,765	\$ 1,497,882	\$ (176,907)	\$ 2,403,740
Deferred revenue	833,494	34,973	-	868,467	142,758	-	1,011,225
Operating lease liability (Note 11)	689,830	1,435,300	-	2,125,130	606,153	-	2,731,283
Professional liabilities (Note 13)	-	-	-	-	770,741	-	770,741
Debt and other obligations (Note 12)	4,402,175	1,357,640	-	5,759,815	3,280,611	-	9,040,426
Funds held for others (Notes 6 and 8)	153,329	217,240	-	370,569	58,869	-	429,438
Accrued benefit obligation (Note 14)	88,371	-	-	88,371	719,485	-	807,856
Accrued postretirement obligation (Note 14)	507,195	152,531	-	659,726	110,834	-	770,560
Asset retirement obligation	188,487	36,542	-	225,029	51,974	-	277,003
Total liabilities	<u>7,271,226</u>	<u>4,001,075</u>	<u>(92,429)</u>	<u>11,179,872</u>	<u>7,239,307</u>	<u>(176,907)</u>	<u>18,242,272</u>
<b>Net assets</b>							
Without donor restrictions	1,650,857	730,112	-	2,380,969	3,249,746	-	5,630,715
With donor restrictions (Note 17)	2,708,431	1,111,699	-	3,820,130	147,418	-	3,967,548
Total net assets	<u>4,359,288</u>	<u>1,841,811</u>	<u>-</u>	<u>6,201,099</u>	<u>3,397,164</u>	<u>-</u>	<u>9,598,263</u>
Total liabilities and net assets	<u>\$ 11,630,514</u>	<u>\$ 5,842,886</u>	<u>\$ (92,429)</u>	<u>\$ 17,380,971</u>	<u>\$ 10,636,471</u>	<u>\$ (176,907)</u>	<u>\$ 27,840,535</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, 2021**

	2021			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<i>(in thousands of dollars)</i>				
<b>Changes in net assets without donor restrictions</b>				
Operating revenues				
Tuition and fees (net of financial aid awards of \$800,629 University; \$25,033 NYU Langone Health)	\$ 2,063,896	\$ 43,774	\$ -	\$ 2,107,670
Grants and contracts (Note 2)	579,655	552,457	-	1,132,112
Patient care (Note 4)	43,563	8,119,353	-	8,162,916
Hospital affiliations (Note 15)	-	415,355	-	415,355
Insurance premiums earned	-	106,708	-	106,708
Contributions	59,391	45,693	-	105,084
Endowment distribution (Note 5)	144,624	41,280	-	185,904
Return on short-term investments (Note 5)	4,607	28,845	-	33,452
Auxiliary enterprises (net of financial aid awards of \$47,077)	194,653	48,961	(4,987)	238,627
Program fees and other	209,876	708,943	(6,992)	911,827
Net assets released from restrictions	62,830	72,086	-	134,916
Total operating revenues	3,363,095	10,183,455	(11,979)	13,534,571
Expenses (Note 16)				
Salaries and fringe	1,961,502	5,862,930	-	7,824,432
Medical and pharmaceutical costs	-	1,356,236	-	1,356,236
Professional services	236,746	364,496	-	601,242
Facilities costs	336,813	498,558	(4,987)	830,384
Fees, insurance and taxes	42,964	368,091	-	411,055
Depreciation and amortization	260,942	641,398	-	902,340
Interest	155,781	212,371	-	368,152
Other	239,733	479,616	(6,992)	712,357
Total expenses	3,234,481	9,783,696	(11,979)	13,006,198
Excess of operating revenues over expenses	128,614	399,759	-	528,373
Nonoperating activities				
Investment return (Note 5)	341,080	232,017	-	573,097
Appropriation of endowment distribution (Note 5)	(51,076)	(8,259)	-	(59,335)
Pension and postretirement nonservice costs (Note 14)	(10,285)	16,562	-	6,277
Changes in pension and postretirement obligations (Note 14)	162,908	236,945	-	399,853
Net assets released from restrictions for capital	10,725	8,415	-	19,140
Non-clinical COVID costs (Note 2)	(110,482)	-	-	(110,482)
Other	(65,065)	13,567	-	(51,498)
Increase in net assets without donor restrictions	406,419	899,006	-	1,305,425
<b>Changes in net assets with donor restrictions</b>				
Contributions	299,776	306,337	-	606,113
Investment return (Note 5)	573,231	222,148	-	795,379
Appropriation of endowment distribution (Note 5)	(93,548)	(33,021)	-	(126,569)
Other	21,657	2,829	-	24,486
Net assets released from restrictions	(73,555)	(80,501)	-	(154,056)
Increase in net assets with donor restrictions	727,561	417,792	-	1,145,353
Increase in net assets	\$ 1,133,980	\$ 1,316,798	\$ -	\$ 2,450,778

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, 2020**

	2020			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<i>(in thousands of dollars)</i>				
<b>Changes in net assets without donor restrictions</b>				
Operating revenues				
Tuition and fees (net of financial aid awards of \$687,068 University; \$24,922 NYU Langone Health)	\$ 2,068,912	\$ 39,653	\$ -	\$ 2,108,565
Grants and contracts (Note 2)	601,286	476,539	-	1,077,825
Patient care (Note 4)	36,450	7,211,566	-	7,248,016
Hospital affiliations (Note 15)	-	377,169	-	377,169
Insurance premiums earned	-	107,149	-	107,149
Contributions	66,701	84,693	-	151,394
Endowment distribution (Note 5)	135,927	38,802	-	174,729
Return on short-term investments (Note 5)	19,418	47,423	-	66,841
Auxiliary enterprises (net of financial aid awards of \$59,119)	262,798	68,480	(4,470)	326,808
Program fees and other	99,846	874,938	(6,327)	968,457
Net assets released from restrictions	79,021	81,603	-	160,624
Total operating revenues	<u>3,370,359</u>	<u>9,408,015</u>	<u>(10,797)</u>	<u>12,767,577</u>
Expenses (Note 16)				
Salaries and fringe	1,970,697	5,420,499	-	7,391,196
Medical and pharmaceutical costs	-	1,121,406	-	1,121,406
Professional services	262,024	431,842	-	693,866
Facilities costs	342,923	536,067	(4,470)	874,520
Fees, insurance and taxes	42,295	308,363	-	350,658
Depreciation and amortization	265,521	612,542	-	878,063
Interest	159,488	184,950	-	344,438
Other	329,076	611,449	(6,327)	934,198
Total expenses	<u>3,372,024</u>	<u>9,227,118</u>	<u>(10,797)</u>	<u>12,588,345</u>
(Deficiency) excess of operating revenues over expenses	(1,665)	180,897	-	179,232
Nonoperating activities				
Investment return (Note 5)	134,163	70,462	-	204,625
Appropriation of endowment distribution (Note 5)	(47,882)	(7,880)	-	(55,762)
Pension and postretirement nonservice costs (Note 14)	(21,190)	817	-	(20,373)
Changes in pension and postretirement obligations (Note 14)	(40,423)	20,245	-	(20,178)
Net assets released from restrictions for capital	20,725	13,492	-	34,217
Non-clinical COVID costs (Note 2)	(16,601)	-	-	(16,601)
Other	(7,224)	1,958	-	(5,266)
Increase in net assets without donor restrictions	<u>19,903</u>	<u>279,991</u>	<u>-</u>	<u>299,894</u>
<b>Changes in net assets with donor restrictions</b>				
Contributions	156,649	167,950	-	324,599
Investment return (Note 5)	172,816	67,344	-	240,160
Appropriation of endowment distribution (Note 5)	(88,045)	(30,922)	-	(118,967)
Other	(10,412)	(2,137)	-	(12,549)
Net assets released from restrictions	(99,746)	(95,095)	-	(194,841)
Increase in net assets with donor restrictions	<u>131,262</u>	<u>107,140</u>	<u>-</u>	<u>238,402</u>
Increase in net assets	<u>\$ 151,165</u>	<u>\$ 387,131</u>	<u>\$ -</u>	<u>\$ 538,296</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 - Detail)**  
**Year Ended August 31, 2021**

	2021						Total
(in thousands of dollars)	University	NYU Schools of Medicine	Eliminations	Subtotal	Health System	Eliminations	Consolidated NYU
<b>Changes in net assets without donor restrictions</b>							
Operating revenues							
Tuition and fees (net of financial aid awards of \$800,629 University; and \$25,033 NYU Langone Health)	\$ 2,063,896	\$ 43,556	\$ -	\$ 2,107,452	\$ 218	\$ -	\$ 2,107,670
Grants and contracts (Note 2)	579,655	528,718	-	1,108,373	23,739	-	1,132,112
Patient care (Note 4)	43,563	2,771,573	-	2,815,136	6,168,438	(820,658)	8,162,916
Hospital affiliations (Note 15)	-	388,202	-	388,202	27,153	-	415,355
Insurance premiums earned	-	-	-	-	106,708	-	106,708
Contributions	59,391	37,032	-	96,423	8,661	-	105,084
Endowment distribution (Note 5)	144,624	39,865	-	184,489	1,415	-	185,904
Return on short-term investments (Note 5)	4,607	-	-	4,607	28,845	-	33,452
Auxiliary enterprises (net of financial aid awards of \$47,077)	194,653	25,683	(4,987)	215,349	23,278	-	238,627
Program fees and other	209,876	337,173	(6,992)	540,057	679,019	(307,249)	911,827
Net assets released from restrictions	62,830	54,805	-	117,635	17,281	-	134,916
Total operating revenues	3,363,095	4,226,607	(11,979)	7,577,723	7,084,755	(1,127,907)	13,534,571
Expenses (Note 16)							
Salaries and fringe	1,961,502	3,198,530	-	5,160,032	2,708,229	(43,829)	7,824,432
Medical and pharmaceutical costs	-	83,887	-	83,887	1,272,349	-	1,356,236
Professional services	236,746	142,476	-	379,222	1,217,337	(995,317)	601,242
Facilities costs	336,813	265,348	(4,987)	597,174	233,210	-	830,384
Fees, insurance and taxes	42,964	229,609	-	272,573	138,482	-	411,055
Depreciation and amortization	260,942	220,015	-	480,957	421,383	-	902,340
Interest	155,781	83,560	-	239,341	128,811	-	368,152
Other	239,733	191,845	(6,992)	424,586	376,532	(88,761)	712,357
Total expenses	3,234,481	4,415,270	(11,979)	7,637,772	6,496,333	(1,127,907)	13,006,198
Excess (deficiency) of operating revenues over expenses	128,614	(188,663)	-	(60,049)	588,422	-	528,373
Nonoperating activities							
Investment return (Note 5)	341,080	58,211	-	399,291	173,806	-	573,097
Appropriation of endowment distribution (Note 5)	(51,076)	(8,106)	-	(59,182)	(153)	-	(59,335)
Pension and postretirement nonservice costs (Note 14)	(10,285)	(7,977)	-	(18,262)	24,539	-	6,277
Changes in pension and postretirement obligations (Note 14)	162,908	44,706	-	207,614	192,239	-	399,853
Net assets released from restrictions for capital	10,725	4,574	-	15,299	3,841	-	19,140
Non-clinical COVID costs (Note 2)	(110,482)	-	-	(110,482)	-	-	(110,482)
Other	(65,065)	35,626	-	(29,439)	(22,059)	-	(51,498)
Mission based payment	-	50,000	-	50,000	(50,000)	-	-
Increase (decrease) in net assets without donor restrictions	406,419	(11,629)	-	394,790	910,635	-	1,305,425
<b>Changes in net assets with donor restrictions</b>							
Contributions	299,776	86,427	-	386,203	219,910	-	606,113
Investment return (Note 5)	573,231	210,854	-	784,085	11,294	-	795,379
Appropriation of endowment distribution (Note 5)	(93,548)	(31,759)	-	(125,307)	(1,262)	-	(126,569)
Other	21,657	(15,592)	-	6,065	18,421	-	24,486
Net assets released from restrictions	(73,555)	(59,379)	-	(132,934)	(21,122)	-	(154,056)
Increase in net assets with donor restrictions	727,561	190,551	-	918,112	227,241	-	1,145,353
Increase in net assets	\$ 1,133,980	\$ 178,922	\$ -	\$ 1,312,902	\$ 1,137,876	\$ -	\$ 2,450,778

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, 2020**

	2020						Total
<i>(in thousands of dollars)</i>	University	NYU Schools of Medicine	Eliminations	Subtotal	Health System	Eliminations	Consolidated NYU
<b>Changes in net assets without donor restrictions</b>							
Operating revenues							
Tuition and fees (net of financial aid awards of \$687,068 University; and \$24,922 NYU Langone Health)	\$ 2,068,912	\$ 39,231	\$ -	\$ 2,108,143	\$ 422	\$ -	\$ 2,108,565
Grants and contracts (Note 2)	601,286	434,915	-	1,036,201	41,624	-	1,077,825
Patient care (Note 4)	36,450	2,502,857	-	2,539,307	5,578,852	(870,143)	7,248,016
Hospital affiliations (Note 15)	-	351,095	-	351,095	26,074	-	377,169
Insurance premiums earned	-	-	-	-	107,149	-	107,149
Contributions	66,701	40,050	-	106,751	44,643	-	151,394
Endowment distribution (Note 5)	135,927	37,542	-	173,469	1,260	-	174,729
Return on short-term investments (Note 5)	19,418	(476)	-	18,942	47,899	-	66,841
Auxiliary enterprises (net of financial aid awards of \$59,119)	262,798	24,382	(4,470)	282,710	44,098	-	326,808
Program fees and other	99,846	403,723	(6,327)	497,242	836,981	(365,766)	968,457
Net assets released from restrictions	79,021	60,278	-	139,299	21,325	-	160,624
Total operating revenues	<u>3,370,359</u>	<u>3,893,597</u>	<u>(10,797)</u>	<u>7,253,159</u>	<u>6,750,327</u>	<u>(1,235,909)</u>	<u>12,767,577</u>
Expenses (Note 16)							
Salaries and fringe	1,970,697	2,917,666	-	4,888,363	2,523,634	(20,801)	7,391,196
Medical and pharmaceutical costs	-	67,812	-	67,812	1,053,594	-	1,121,406
Professional services	262,024	118,739	-	380,763	1,399,218	(1,086,115)	693,666
Facilities costs	342,923	279,239	(4,470)	617,692	256,828	-	874,520
Fees, insurance and taxes	42,295	164,485	-	206,780	143,878	-	350,658
Depreciation and amortization	265,521	183,457	-	448,978	429,085	-	878,063
Interest	159,488	62,278	-	221,766	122,672	-	344,438
Other	329,076	260,323	(6,327)	583,072	480,119	(128,993)	934,198
Total expenses	<u>3,372,024</u>	<u>4,053,999</u>	<u>(10,797)</u>	<u>7,415,226</u>	<u>6,409,028</u>	<u>(1,235,909)</u>	<u>12,588,345</u>
(Deficiency) excess of operating revenues over expenses	(1,665)	(160,402)	-	(162,067)	341,299	-	179,232
Nonoperating activities							
Investment return (Note 5)	134,163	18,596	-	152,759	51,866	-	204,625
Appropriation of endowment distribution (Note 5)	(47,882)	(7,731)	-	(55,613)	(149)	-	(55,762)
Pension and postretirement nonservice costs (Note 14)	(21,190)	(5,830)	-	(27,020)	6,647	-	(20,373)
Changes in pension and postretirement obligations (Note 14)	(40,423)	14,435	-	(25,988)	5,810	-	(20,178)
Net assets released from restrictions for capital	20,725	7,180	-	27,905	6,312	-	34,217
Non-clinical COVID costs (Note 2)	(16,601)	-	-	(16,601)	-	-	(16,601)
Other	(7,224)	67,231	-	60,007	(65,273)	-	(5,266)
Mission based payment	-	50,000	-	50,000	(50,000)	-	-
Increase (decrease) in net assets without donor restrictions	<u>19,903</u>	<u>(16,521)</u>	<u>-</u>	<u>3,382</u>	<u>296,512</u>	<u>-</u>	<u>299,894</u>
<b>Changes in net assets with donor restrictions</b>							
Contributions	156,649	102,403	-	259,052	65,547	-	324,599
Investment return (Note 5)	172,816	65,341	-	238,157	2,003	-	240,160
Appropriation of endowment distribution (Note 5)	(88,045)	(29,811)	-	(117,856)	(1,111)	-	(118,967)
Other	(10,412)	(3,587)	-	(13,999)	1,450	-	(12,549)
Net assets released from restrictions	(99,746)	(67,458)	-	(167,204)	(27,637)	-	(194,841)
Increase in net assets with donor restrictions	<u>131,262</u>	<u>66,888</u>	<u>-</u>	<u>198,150</u>	<u>40,252</u>	<u>-</u>	<u>238,402</u>
Increase in net assets	<u>\$ 151,165</u>	<u>\$ 50,367</u>	<u>\$ -</u>	<u>\$ 201,532</u>	<u>\$ 336,764</u>	<u>\$ -</u>	<u>\$ 538,296</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 Cash Flows for NYU – Summary)**  
**Year Ended August 31, 2021**

	2021			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<i>(in thousands of dollars)</i>				
<b>Cash flows from operating activities</b>				
Change in net assets	\$ 1,133,980	\$ 1,316,798	\$ -	\$ 2,450,778
Adjustments to reconcile change in net assets to net cash provided by operating activities				
Depreciation and amortization	260,942	641,398	-	902,340
Loss on sale or disposal of land, buildings and equipment	292	69	-	361
Net gain on investments and deposits with trustees	(882,330)	(446,272)	-	(1,328,602)
Bad debt expense	19,131	2,399	-	21,530
Pension and postretirement obligation change	(162,908)	(236,945)	-	(399,853)
Contributions received for permanent investment and capital	(83,773)	(35,966)	-	(119,739)
Proceeds from insurance recovery for capital and FEMA award for future mitigation	-	(4,793)	-	(4,793)
Amortization of operating right to use assets	105,555	162,120	-	267,675
Changes in operating assets and liabilities				
Decrease (increase) in accounts and loans receivable, net	54,587	(102,823)	(45,773)	(94,009)
Increase in patient accounts receivable	(300)	(211,939)	-	(212,239)
Increase in nonendowment and noncapital contributions receivable	(80,234)	(165,266)	-	(245,500)
Increase in other assets	(5,815)	(25,176)	-	(30,991)
Decrease in asset retirement obligation	-	(980)	-	(980)
Increase in accounts payable and accrued expenses	45,102	257,976	45,773	348,851
Decrease in operating lease liability	(98,156)	(142,338)	-	(240,494)
Increase in professional liabilities	-	77,169	-	77,169
Increase (decrease) in deferred revenue	341,712	(25,348)	-	316,364
Decrease in accrued benefit obligation	(2,633)	(34,879)	-	(37,512)
Increase in accrued postretirement obligation	11,349	17,756	-	29,105
Net cash provided by operating activities	<u>656,501</u>	<u>1,042,960</u>	<u>-</u>	<u>1,699,461</u>
<b>Cash flows from investing activities</b>				
Purchases of investments	(1,786,404)	(2,452,455)	-	(4,238,859)
Sales and maturities of investments	1,439,265	2,227,830	-	3,667,095
Drawdowns of unexpended bond proceeds	376,744	-	-	376,744
Additions to land, buildings, and equipment	(412,692)	(630,737)	-	(1,043,429)
Proceeds from insurance recovery for capital	-	100	-	100
Net cash used in investing activities	<u>(383,087)</u>	<u>(855,262)</u>	<u>-</u>	<u>(1,238,349)</u>
<b>Cash flows from financing activities</b>				
Contributions restricted for permanent investment and capital	83,773	35,966	-	119,739
Proceeds from FEMA award for future mitigation	-	4,693	-	4,693
Proceeds from short-term borrowings	200,000	-	-	200,000
Proceeds from long-term borrowings	246,932	88,370	-	335,302
Principal payments on long-term borrowings	(141,024)	(135,561)	-	(276,585)
Line of credit repayments	(450,000)	-	-	(450,000)
Payments of deferred financing costs	(1,153)	-	-	(1,153)
Decrease in funds held for others	(5,983)	-	-	(5,983)
Net cash used in financing activities	<u>(67,455)</u>	<u>(6,532)</u>	<u>-</u>	<u>(73,987)</u>
Net increase in cash	205,959	181,166	-	387,125
<b>Cash, cash equivalents and restricted cash</b>				
Beginning of year	1,505,655	2,037,415	-	3,543,070
End of year	<u>\$ 1,711,614</u>	<u>\$ 2,218,581</u>	<u>\$ -</u>	<u>\$ 3,930,195</u>
<b>Supplemental disclosure of cash flow information</b>				
Interest paid	\$ 160,531	\$ 226,535	\$ -	\$ 387,066
Change in noncash acquisitions of land, buildings, and equipment	1,989	(119,918)	-	(117,929)
Right-of-use assets obtained				
In exchange for new operating lease obligations	34,846	113,668	-	148,514
In exchange for new finance lease obligations	843	808,975	-	809,818

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, 2020**

	2020			Consolidated NYU
	University	NYU Langone Health	Eliminations	
<i>(in thousands of dollars)</i>				
<b>Cash flows from operating activities</b>				
Change in net assets	\$ 151,165	\$ 387,131	\$ -	\$ 538,296
Adjustments to reconcile change in net assets to net cash provided by operating activities				
Depreciation and amortization	265,522	612,542	-	878,064
Loss on sale or disposal of land, buildings and equipment	236	32	-	268
Loss on extinguishment of debt	7,037	1,386	-	8,423
Net gain on investments and deposits with trustees	(246,515)	(147,610)	-	(394,125)
Bad debt expense	17,108	3,037	-	20,145
Pension and postretirement obligation change	40,423	(20,245)	-	20,178
Contributions received for permanent investment and capital	(52,520)	(83,362)	-	(135,882)
Proceeds from insurance recovery for capital and FEMA award for future mitigation	-	(28,893)	-	(28,893)
Amortization of operating right to use assets	93,427	178,306	-	271,733
Changes in operating assets and liabilities				
(Increase) decrease in accounts and loans receivable, net	(36,393)	88,939	10,463	63,009
Decrease in patient accounts receivable	1,447	124,484	-	125,931
Decrease in nonendowment and noncapital contributions receivable	33,539	31,528	-	65,067
(Increase) decrease in other assets	(20,563)	77,877	-	57,314
Decrease in asset retirement obligation	-	(17,177)	-	(17,177)
Increase in accounts payable and accrued expenses	22,679	462,374	(10,463)	474,590
Decrease in operating lease liability	(89,696)	(152,737)	-	(242,433)
Increase in professional liabilities	-	53,460	-	53,460
Decrease in deferred revenue	(37,736)	(19,474)	-	(57,210)
Increase (decrease) in accrued benefit obligation	6,355	(61,167)	-	(54,812)
Increase in accrued postretirement obligation	29,984	14,528	-	44,512
Net cash provided by operating activities	185,499	1,504,959	-	1,690,458
<b>Cash flows from investing activities</b>				
Purchases of investments	(1,320,843)	(2,334,908)	-	(3,655,751)
Sales and maturities of investments	1,322,182	1,320,014	-	2,642,196
Drawdowns of unexpended bond proceeds	383,409	-	-	383,409
Additions to land, buildings, and equipment	(497,227)	(414,876)	-	(912,103)
Proceeds from sale of building	-	2,704	-	2,704
Proceeds from insurance recovery for capital	-	1,379	-	1,379
Net cash used in investing activities	(112,479)	(1,425,687)	-	(1,538,166)
<b>Cash flows from financing activities</b>				
Contributions restricted for permanent investment and capital	52,520	52,462	-	104,982
Proceeds from FEMA award for future mitigation	-	27,514	-	27,514
Proceeds from short-term borrowings	250,000	-	-	250,000
Proceeds from long-term borrowings	384,355	1,107,559	-	1,491,914
Principal payments on long-term borrowings	(464,913)	(244,325)	-	(709,238)
Line of credit repayments	-	(336,519)	-	(336,519)
Payments of deferred financing costs	(1,672)	(2,087)	-	(3,759)
Decrease in funds held for others	(14,890)	-	-	(14,890)
Net cash provided by financing activities	205,400	604,604	-	810,004
Net increase in cash	278,420	683,876	-	962,296
<b>Cash, cash equivalents and restricted cash</b>				
Beginning of year	1,227,235	1,353,539	-	2,580,774
End of year	\$ 1,505,655	\$ 2,037,415	\$ -	\$ 3,543,070
<b>Supplemental disclosure of cash flow information</b>				
Interest paid	\$ 164,841	\$ 183,089	\$ -	\$ 347,930
Change in noncash acquisitions of land, buildings, and equipment	19,540	(1,321)	-	18,219
Right-of-use assets obtained				
In exchange for new operating lease obligations	57,793	198,360	-	256,153
In exchange for new finance lease obligations	164,547	234,645	-	399,192

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

**New York University**  
**Note to Consolidating Supplemental Schedules**  
**August 31, 2021 and 2020**

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**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, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
<b>Research and Development Cluster</b>							
<b>U.S. Department of Agriculture Food and Nutrition Service</b>							
Agricultural Research_Basic and Applied Research	10.001	\$ 32,659	\$ -			\$ 32,659	\$ -
		32,659	-			32,659	-
Organic Agriculture Research and Extension Initiative	10.307	104,066	-			104,066	5,791
		104,066	-			104,066	5,791
Agriculture and Food Research Initiative (AFRI)	10.310	904,546	-			904,546	86,690
		904,546	-			904,546	86,690
Cooperative Extension Service	10.500	6,438	-			6,438	-
Cooperative Extension Service	10.500	58,073	-			58,073	-
Quality Assurance of Decision Tree Algorithm and Incident Determination Committees	10.500	-	773,022	Pennsylvania State University	S001734-USDA	773,022	-
		64,511	773,022			837,533	-
Leveraging Expertise and Partnerships: Farm to School Training and Curricula for State Agencies and Producers	10.531	-	60,978	National Center for Appropriate Technology	NCAT USDA-FNS-F2S-TC-2019-MT-01	60,978	-
		-	60,978			60,978	-
<b>Total U.S. Department of Agriculture Food and Nutrition Service</b>		<b>1,105,782</b>	<b>834,000</b>			<b>1,939,782</b>	<b>92,481</b>
<b>U.S. Department of Commerce</b>							
Climate and Atmospheric Research	11.431	61,369	-			61,369	-
Climate and Atmospheric Research	11.431	19,088	-			19,088	-
Climate and Atmospheric Research	11.431	49,844	-			49,844	-
		130,301	-			130,301	-
ECOHAB19: Life and Death of <i>Karenia brevis</i> Blooms in the Eastern Gulf of Mexico	11.478	-	77,131	Mote Marine Laboratory and Aquarium	MLL 193-549-4	77,131	-
		-	77,131			77,131	-
Measurement and Engineering Research and Standards	11.609	223,606	-			223,606	220,264
		223,606	-			223,606	220,264
<b>Total U.S. Department of Commerce</b>		<b>353,907</b>	<b>77,131</b>			<b>431,038</b>	<b>220,264</b>
<b>U.S. Department of Defense</b>							
Basic and Applied Scientific Research	12.300	-	155,664	University of California, Davis	A17-0260-S003	155,664	-
Basic and Applied Scientific Research	12.300	-	22,421	City University of New York	CM00005538-00	22,421	-
Basic and Applied Scientific Research	12.300	73,620	-			73,620	-
Basic and Applied Scientific Research	12.300	270,380	-			270,380	30,000
Basic and Applied Scientific Research	12.300	115,805	-			115,805	-
Basic and Applied Scientific Research	12.300	192,420	-			192,420	-
Basic and Applied Scientific Research	12.300	1,338,744	-			1,338,744	860,508
Basic and Applied Scientific Research	12.300	160,517	-			160,517	-
Basic and Applied Scientific Research	12.300	42,100	-			42,100	-
Basic and Applied Scientific Research	12.300	177,715	-			177,715	-
Basic and Applied Scientific Research	12.300	100,490	-			100,490	-
Basic and Applied Scientific Research	12.300	85,445	-			85,445	27,647
Basic and Applied Scientific Research	12.300	6,769	-			6,769	-
Basic and Applied Scientific Research	12.300	302,475	-			302,475	-
Basic and Applied Scientific Research	12.300	116	-			116	-
Basic and Applied Scientific Research	12.300	39,908	-			39,908	-
Basic and Applied Scientific Research	12.300	23,052	-			23,052	-
Causal inference using hierarchical and nonparametric Bayesian interaction models	12.300	-	12,009	Columbia University	1(GG012619) Amd 01	12,009	-
DNA-enabled hierarchical assembly of graphene electronics	12.300	-	706,158	University of Nebraska Lincoln	N00014-19-1-2596	706,158	-
Media forensics Integrity Analytics	12.300	-	57,457	Purdue University	13000477-011 Amd 9	57,457	-
Towards verification-guided hardware synthesis for security	12.300	-	152,731	Texas A&M Engineering Experiment Station	M1801652 Amd 004	152,731	-
		<b>2,929,556</b>	<b>1,106,440</b>			<b>4,035,996</b>	<b>918,155</b>
Military Medical Research and Development	12.420	-	(1,476)	University of Alabama at Birmingham	000422086-007	(1,476)	-
Military Medical Research and Development	12.420	5,416,819	-			5,416,819	316,092
Military Medical Research and Development	12.420	-	896	Johns Hopkins University	W81XWH-15-2-0074	896	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	-	(569)	Luna, Inc.	344102NYU	(569)	-
Military Medical Research and Development	12.420	-	51,583	Montefiore Medical Center	321168	51,583	-
Military Medical Research and Development	12.420	-	33,130	University of Alabama at Birmingham	000516840-009-T001	33,130	-
Military Medical Research and Development	12.420	-	379	University of Alabama at Birmingham	20-A0-00-1005438	379	-
Military Medical Research and Development	12.420	-	(130)	State University of New York Upstate Med	1147580-81765	(130)	-
Military Medical Research and Development	12.420	-	16,944	Arnjon Biomedical Corp	19-A0-00-1002156	16,944	-
Military Medical Research and Development	12.420	-	8,393	Narrows Institute for Biomedical Research	Maikos DoD 8-01-2017	8,393	-
Military Medical Research and Development	12.420	-	8,778	Narrows Institute for Biomedical Research	Maikos DoD 9-15-2017	8,778	-
Military Medical Research and Development	12.420	-	50,547	Thomas Jefferson University	080-27000-X17501	50,547	-
Military Medical Research and Development	12.420	312,182	-			312,182	-
Military Medical Research and Development	12.420	(146)	-			(146)	-
Military Medical Research and Development	12.420	120,505	-			120,505	-
Military Medical Research and Development	12.420	277,373	-			277,373	-
Military Medical Research and Development	12.420	213,193	-			213,193	104,844
Military Medical Research and Development	12.420	192,306	-			192,306	-
Military Medical Research and Development	12.420	81,120	-			81,120	-
Military Medical Research and Development	12.420	133,349	-			133,349	-
Military Medical Research and Development	12.420	-	18,607			18,607	-
		<u>6,765,308</u>	<u>168,475</u>			<u>6,933,783</u>	<u>420,936</u>
Basic Scientific Research	12.431	-	27	Luna, Inc.	333202NYU	27	-
Basic Scientific Research	12.431	182,080	-			182,080	-
Basic Scientific Research	12.431	-	103,877			103,877	-
Basic Scientific Research	12.431	-	37,758			37,758	-
Basic Scientific Research	12.431	-	15,940			15,940	-
Basic Scientific Research	12.431	-	19,752			19,752	9,940
Basic Scientific Research	12.431	-	105,955			105,955	-
Basic Scientific Research	12.431	-	17,661			17,661	-
Basic Scientific Research	12.431	-	120,359			120,359	-
Basic Scientific Research	12.431	-	278,310			278,310	-
Basic Scientific Research	12.431	-	47,889			47,889	-
Basic Scientific Research	12.431	-	21,038			21,038	21,038
Basic Scientific Research	12.431	-	18,952			18,952	-
Chemical Sciences: Transient Changeable Nanoarrays by Biocatalytic Self-assembly	12.431	-	62,868	Research Foundation of CUNY on behalf of City University of New York	CM00002270 NCE	62,868	-
Closed-Loop Multisensory Brain-Computer Interface for Enhanced Decision Accuracy	12.431	-	364,281	University of Southern California	79573913 A10	364,281	-
Harnessing Turbulence Constructively	12.431	-	91,369	University of Chicago	AWD101110 (SUB00000271)	91,369	-
Theory and Experiment of Cocrystals: Principles Synthesis and Properties	12.431	-	(2,370)	University of Michigan	3002780205 A07	(2,370)	-
		<u>969,571</u>	<u>516,175</u>			<u>1,485,746</u>	<u>30,978</u>
Perception and Control for Autonomous Agile Perching and Grasping with Micro Aerial Vehicles - DCIST Collaborative Research Alliance - Contract No. W911NF-17-2-0181	12.630	-	111,002	University of Pennsylvania	579327 Amd 01	111,002	-
		-	111,002			111,002	-
(CoE) Multi-Fidelity Modeling of Rocket Combustor Dynamics	12.800	-	67,525	University of Michigan	SUBK00010366 Amendment 2	67,525	-
(Quantum Accelerator) Superconducting-FET microwave amplifier for qubit readout	12.800	-	29,999	University of Texas Austin	UTA20-001232 A01	29,999	-
Air force Defense Research Sciences Program	12.800	37,773	-			37,773	-
Air force Defense Research Sciences Program	12.800	13,728	-			13,728	-
Air force Defense Research Sciences Program	12.800	103,697	-			103,697	-
Air force Defense Research Sciences Program	12.800	219,075	-			219,075	-
Air force Defense Research Sciences Program	12.800	(2,237)	-			(2,237)	-
Air force Defense Research Sciences Program	12.800	219,739	-			219,739	-
Inkjet Printed Films of a Novel Composite Polymer-Ceramic Li-ion Conducting Electrolyte Material	12.800	-	10,555	Research Foundation of CUNY on behalf of City University of New York	CM00005540-00	10,555	-
MURI: A unified mathematical and algorithmic framework for managing multiple information sources of multi-physics system	12.800	-	87	Massachusetts Institute of Technology (MIT)	S4702 PO 249618 Amendment Number 2	87	-
Terahertz Spintronics with Antiferromagnetic Insulators	12.800	-	261,828	University of Central Florida	24086226-01 A02	261,828	-
		<u>591,775</u>	<u>369,994</u>			<u>961,769</u>	<u>-</u>
Information Security Grants	12.902	75,635	-			75,635	-
		<u>75,635</u>	<u>-</u>			<u>75,635</u>	<u>-</u>
Continual Learning Across Synapses Circuits and Brain Areas	12.910	-	221,739	Baylor College of Medicine	PO 7000000604 A04	221,739	-
MEGA: BISC: Bioelectronic Interfacing to Sensory Cortex using massive fully implanted flexible wireless CMOS surface recording and stimulating arrays.	12.910	-	250,286	Columbia University	6(GG012664) A05	250,286	-
Mirage: A Security Metrics Driven Obfuscation Design Environment	12.910	-	35,704	University of Southern California	136203415	35,704	-
Network Back-haul Layered Architecture (NEBULA) NYU Statement of Work: High Variability Congestion Control	12.910	-	28,378	Bae Systems	964185-7	28,378	-
OPICS: Obvious Plans and Inferences for Common Sense via Infant Behavior Learning	12.910	-	393,100	Oregon State University	X0220A-B Amd 4	393,100	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Rapid Attack Detection Isolation and Characterization Systems (Radios)	12.910	-	61,058	SRI International	PO4814 Mod 15	61,058	-
Research and Technology Development	12.910	-	347,116	Evocative Design	HR001117C0068	347,116	-
Research and Technology Development	12.910	-	180,738	University of Wisconsin	738K065	180,738	-
Research and Technology Development	12.910	1,726,522	-			1,726,522	273,357
Research and Technology Development	12.910	140,523	-			140,523	-
Research and Technology Development	12.910	83,267	-			83,267	-
Research and Technology Development	12.910	145,622	-			145,622	-
Research and Technology Development	12.910	12,792	-			12,792	-
Research and Technology Development	12.910	439,450	-			439,450	84,462
Research and Technology Development	12.910	959,081	-			959,081	334,215
Research and Technology Development	12.910	3,034	-			3,034	-
Research and Technology Development	12.910	627,028	-			627,028	-
		<u>4,137,319</u>	<u>1,518,119</u>			<u>5,655,438</u>	<u>692,034</u>
A next generation, high precision, field drug detection system	12.RD	-	104,169	Sensodx II LLC	W911NF19C0067	104,169	-
Air force Medical Readiness Agency Mental Health Resilience Program Evaluation and Enhancement	12.RD	-	291,866	Knowesis Inc.	FA8052-19C-A010.NYU.001 Mod 002	291,866	-
Applications Driving Architectures (ADA) CenterRelated to: SP 20-2205 - HEA: A Homomorphic Encryption Benchmark for Architects	12.RD	-	105,343	University of Michigan	SUBK00013583 Amd 01	105,343	-
DARPA AISS	12.RD	-	41,624	Texas A&M Engineering Experiment Station	M2002172	41,624	-
Hume: Domain-Agnostic Extraction of Causal Analysis Graphs	12.RD	-	107,005	Raytheon Bbn Technologies Corp	W911NF-18-C-0003 BBN PO 4202252130 Modification 2	107,005	-
Magnetic optical and acoustic neural access device for high-bandwidth non-surgical brain computer interfaces (MOANA)	12.RD	-	290,993	Rice University	R1A26i (N66001-19-C-4020) Amd 1	290,993	-
Multi-Resolution Utility Discovery and Maximization	12.RD	-	84,185	Bae Systems	1006435-8	84,185	-
PALM: Physics-Aware Learning Framework for Microstructure Design	12.RD	-	41,848	Iowa State University	020060A Amendment 1	41,848	-
Robust Prediction of Ordnance Depth of Burial in Soils Using Field Calibrated Phenomenological Model & Probabilistic Simulations	12.RD	475,455	-			475,455	281,152
STTR Phase I: Fully-Digital mmWave Lens-Antenna System for Resilient Tactical Communications	12.RD	-	49,950	PI Radio	W911NF-20- P-0038	49,950	-
STTR: Phase 1: Multi-Input Strength Loss Sensing for Webbing Structures	12.RD	-	35,000	Luna Innovations	374801NYU Mod 1	35,000	-
STTR: Phase 2: Multi-Input Strength Loss Sensing for Webbing Structures	12.RD	-	14,139	Luna Innovations	374802NYU	14,139	-
Trebuchett	12.RD	-	66,883	Duality Technologies Inc.	HR0011-21-9-0003	66,883	-
Type A: Multi-level randomized algorithms for high-frequency wave propagation	12.RD	119,741	-			119,741	-
Type B: RTL Obfuscation Deployment and Evaluation	12.RD	-	118,585	The Boeing Company	1889759	118,585	35,435
		<u>595,196</u>	<u>1,351,590</u>			<u>1,946,786</u>	<u>316,587</u>
<b>Total U.S. Department of Defense</b>		<u>16,064,360</u>	<u>5,141,795</u>			<u>21,206,155</u>	<u>2,378,690</u>
<b>U.S. Department of Housing and Urban Development</b>							
Third Sector Capitol Partners - Planning Phase of Evaluation	14.235	-	204	Third Sector Capital Partners Inc.	N/A	204	-
			<u>204</u>			<u>204</u>	<u>-</u>
General Research and Technology Activity	14.506	7,592	-			7,592	-
General Research and Technology Activity	14.506	76,526	-			76,526	-
		<u>84,118</u>	<u>-</u>			<u>84,118</u>	<u>-</u>
<b>Total U.S. Department of Housing and Urban Development</b>		<u>84,118</u>	<u>204</u>			<u>84,322</u>	<u>-</u>
<b>U.S. Department of Justice</b>							
Reducing Crime for Girls in the Juvenile Justice System through Researcher-Practitioner Partnerships	16.RD	1,648	-			1,648	-
		<u>1,648</u>	<u>-</u>			<u>1,648</u>	<u>-</u>
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	-	11,594	NYC Office of Chief Medical Examiner	CT1 816 20201404474	11,594	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	-	74,573	NYC Office of Chief Medical Examiner	2017-NE-BX-0003	74,573	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	58,409	-			58,409	37,340
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	101,908	-			101,908	-
		<u>160,317</u>	<u>86,167</u>			<u>246,484</u>	<u>37,340</u>
Naloxone Data-Sharing	16.754	-	93,972	Pennsylvania Department of Corrections	PO 4300635966	93,972	-
			<u>93,972</u>			<u>93,972</u>	<u>-</u>
Swift, Certain, and Fair Supervision Program: Applying the Principles Behind Project HOPE	16.828	352,620	-			352,620	-
		<u>352,620</u>	<u>-</u>			<u>352,620</u>	<u>-</u>
Evaluation of the New York State Permanent Judicial Commission on Justice for Children.	16.830	-	(15,898)	New York State Unified Court System	C250563 Amd #1	(15,898)	-
No Place for Girls: Reducing Reliance on Confinement for Girls in NYC	16.830	-	253	Vera Institute of Justice	Vera DOJ subaward 11-15-19	253	-
			<u>(15,645)</u>			<u>(15,645)</u>	<u>-</u>
Police-led Opioid Interventions--SPD	16.838	-	41,745	Seattle Police Department	19-02974	41,745	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Prosecutor-led Opioid Interventions--BCNY	16.838	-	130,290	Bronx Co. New York	2018-AR-BX-K025	130,290	86,514
Prosecutor-led Opioid Interventions--HCTX	16.838	-	114,281	Harris Co. Texas	2018-AR-BX-K030	114,281	-
Prosecutor-led Opioid Interventions--WCIW	16.838	-	97,797	Winnebago County (WI)	2018-AR-BX-K118	97,797	-
Technology-assisted Opioid Treatment--ODRC	16.838	-	57,959	Ohio Department of Rehabilitation and Correction	2019-BJA-ODRC-VRAT-0001 (Year 2)	57,959	10,668
			<u>442,072</u>			<u>442,072</u>	<u>97,182</u>
Court-led Opioid Interventions--DCIL	16.RD	-	58,359	DeKalb County Court Services	2018-NYUCOAP1 NCE	58,359	-
Longitudinal Cohort Study of Interpersonal Violence Among College-Aged Women and Men: Planning Phase	16.RD	-	150,210	Westat	6467-S001 Mod No.2	150,210	-
			<u>208,569</u>			<u>208,569</u>	
<b>Total U.S. Department of Justice</b>		<u>514,885</u>	<u>815,135</u>			<u>1,329,720</u>	<u>134,522</u>
<b>U.S. Department of Labor</b>							
COVID-19 Occupational Safety and Health Susan Harwood Training Grants	17.502	48,814	-			48,814	-
<b>Total U.S. Department of Labor</b>		<u>48,814</u>	<u>-</u>			<u>48,814</u>	<u>-</u>
<b>U.S. Department of State</b>							
Investing in People in The Middle East and North Africa	19.021	28,350	-			28,350	-
Investing in People in The Middle East and North Africa	19.021	78,988	-			78,988	-
		<u>107,338</u>	<u>-</u>			<u>107,338</u>	<u>-</u>
International Programs to Support Democracy, Human Rights and Labor	19.345	130,187	-			130,187	-
International Programs to Support Democracy, Human Rights and Labor	19.345	167,974	-			167,974	30,660
		<u>298,161</u>	<u>-</u>			<u>298,161</u>	<u>30,660</u>
Study of the U.S. Institutes for Scholars: A Multi-dimensional Examination of U.S. Society and Institutions	19.401	-	136,242	University of Montana	PG22-26974-02	136,242	-
			<u>136,242</u>			<u>136,242</u>	
Regional Dialogues to Support the Afghan Peace Process	19.RD	-	33,049	United States Institute of Peace	95314419P1QA00815	33,049	-
			<u>33,049</u>			<u>33,049</u>	
<b>Total U.S. Department of State</b>		<u>405,499</u>	<u>169,291</u>			<u>574,790</u>	<u>30,660</u>
<b>U.S. Department of Transportation</b>							
Highway Training and Education	20.215	5,000	-			5,000	-
		<u>5,000</u>	<u>-</u>			<u>5,000</u>	<u>-</u>
University Transportation Centers Program	20.701	10,112	-			10,112	-
University Transportation Centers Program	20.701	16,265	-			16,265	-
University Transportation Centers Program	20.701	67,231	-			67,231	-
		<u>93,608</u>	<u>-</u>			<u>93,608</u>	<u>-</u>
Intelligent Transportation Systems (ITS) Deployment Evaluation ProgramData Collection and Information Synthesis Support	20.RD	-	76,295	Noblis	RFP#TT-02-07102020	76,295	-
			<u>76,295</u>			<u>76,295</u>	
<b>Total U.S. Department of Transportation</b>		<u>98,608</u>	<u>76,295</u>			<u>174,903</u>	<u>-</u>
<b>National Aeronautics and Space Administration</b>							
Improving the sensitivity of radial velocity spectrographs with data-driven techniques	43.001	-	13,685	University of Chicago	FP070308-01 A01	13,685	-
OpenSpace: An Engine for Dynamic Visualization of Earth and Space Science for Informal Education and Beyond	43.001	-	223,910	American Museum of Natural History	627-2016-1 Amd 7	223,910	-
Preparing Key State and Local Health and Air Quality Agencies for Upcoming Earth Observations	43.001	-	48,065	Emory University	A136841	48,065	-
Science	43.001	245,303	-			245,303	117,380
Science	43.001	99,283	-			99,283	-
Science	43.001	2,823	-			2,823	-
Science	43.001	46,622	-			46,622	-
Science	43.001	39,315	-			39,315	-
Science	43.001	39,997	-			39,997	-
Science	43.001	56,863	-			56,863	-
Science	43.001	6,666	-			6,666	-
Science	43.001	55,766	-			55,766	-
Science	43.001	12,501	-			12,501	-
Science	43.001	355	-			355	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Science	43.001	60	-			60	(29,120)
Science	43.001	24,010	-			24,010	-
X-Ray Emission from the Dwarf AGN IC 750	43.001	-	16,395	Smithsonian Astrophysical Observatory	GO0-21102X A01	16,395	-
		629,564	302,055			931,619	88,260
Exploration	43.003	-	31,513	City University of New York	CM00004989-00	31,513	-
		-	31,513			31,513	-
Space Operations	43.007	35,402	-			35,402	-
		35,402	-			35,402	-
NASA / New York Space Grant Consortium: National Space Grant College and Fellowship Program 2015-2018	43.008	-	(30,602)	Cornell University	76156-10488 Amd 7	(30,602)	-
		-	(30,602)			(30,602)	-
Decoding Extragalactic Stellar Streams: What will they teach us about dark matter?	43.RD	-	72,039	Space Telescope Science Institute	HST-HF2-51466.001-A	72,039	-
Oceans Melting Greenland-OMG	43.RD	-	15,393	Jet Propulsion Laboratory	1541570 Mod 005	15,393	-
		-	87,432			87,432	-
<b>Total National Aeronautics and Space Administration</b>		664,966	390,398			1,055,364	88,260
<b>Institute of Museum and Library Services</b>							
Promotion of the Humanities Research	45.161	108,043	-			108,043	-
Promotion of the Humanities Research	45.161	100,226	-			100,226	-
		208,269	-			208,269	-
Sensory Tools for Interpreting Historic Sites	45.312	-	52,287	Intrepid Museum Foundation	2019-10-1 Amd 1	52,287	-
		-	52,287			52,287	-
Laura Bush 21st Century Librarian Program	45.313	75,544	-			75,544	60,119
		75,544	-			75,544	60,119
<b>Total Institute of Museum and Library Services</b>		283,813	52,287			336,100	60,119
<b>National Endowment for the Humanities</b>							
Promotion of the Humanities Division of Preservation and Access	45.149	101,000	-			101,000	-
Promotion of the Humanities Division of Preservation and Access	45.149	98,359	-			98,359	-
		199,359	-			199,359	-
Promotion of the Humanities office of Digital Humanities	45.169	21,921	-			21,921	-
		21,921	-			21,921	-
<b>Total National Endowment for the Humanities</b>		221,280	-			221,280	-
<b>National Science Foundation</b>							
Engineering Grants	47.041	424,065	-			424,065	22,311
COVID-19 Engineering Grants	47.041	148,160	-			148,160	79,983
CDS&E: Better by Design; Establishing Modeling and Optimization Techniques for Producing New Classes of Biomimetic Nanomaterials	47.041	-	62,172	University of Wisconsin Madison	893K432 Amendment 2	62,172	-
CRISP 2.0 Type 1: Collaborative Research: Integrated Socio-Technical Modeling Framework to Evaluate and Enhance Resiliency in Islanded Communities (ERIC)	47.041	-	80,243	Research Foundation of CUNY on behalf of City College of New York	CM00001891-02	80,243	-
CRISP 2.0 Type 2: Collaborative Research: Integrated Socio-Technical Modeling Framework to Evaluate and Enhance Resiliency in Islanded Communities (ERIC)	47.041	-	81,578	Research Foundation of CUNY on behalf of City College of New York	CM00001891-03	81,578	-
Engineering	47.041	48,178	-			48,178	26,119
Engineering	47.041	67,771	-			67,771	-
Engineering	47.041	60,811	-			60,811	-
Engineering	47.041	53,492	-			53,492	-
Engineering	47.041	54,699	-			54,699	-
Engineering	47.041	78,686	-			78,686	-
Engineering	47.041	27,721	-			27,721	-
Engineering	47.041	1,044	-			1,044	-

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**New York University**  
**Schedule of Expenditures of Federal Awards**  
**Year Ended August 31, 2021**

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Engineering	47.041	273	-			273	-
Engineering	47.041	39,552	-			39,552	-
Engineering	47.041	111,872	-			111,872	-
Engineering	47.041	107,785	-			107,785	4,031
COVID-19 Engineering	47.041	36,210	-			36,210	-
Engineering	47.041	4,424	-			4,424	-
Engineering	47.041	65,225	-			65,225	-
Engineering	47.041	31,564	-			31,564	-
Engineering	47.041	211,225	-			211,225	-
Engineering	47.041	28,067	-			28,067	-
COVID-19 Engineering	47.041	95,339	-			95,339	-
Engineering	47.041	184,889	-			184,889	141,574
Engineering	47.041	12,583	-			12,583	-
Engineering	47.041	47,128	-			47,128	4,841
Engineering	47.041	43,053	-			43,053	-
Engineering	47.041	40,227	-			40,227	-
Engineering	47.041	117,902	-			117,902	-
Engineering	47.041	151,776	-			151,776	63,928
Engineering	47.041	69,580	-			69,580	-
Engineering	47.041	61,474	-			61,474	-
Engineering	47.041	10,506	-			10,506	-
Engineering	47.041	14,496	-			14,496	-
Engineering	47.041	124,211	-			124,211	-
Engineering	47.041	26,182	-			26,182	-
Engineering	47.041	52,511	-			52,511	-
Engineering	47.041	641	-			641	-
Engineering	47.041	16,683	-			16,683	-
Engineering	47.041	53,785	-			53,785	-
Engineering	47.041	423	-			423	-
Engineering	47.041	85,422	-			85,422	-
Engineering	47.041	71,423	-			71,423	-
Engineering	47.041	72,110	-			72,110	-
Engineering	47.041	76,955	-			76,955	-
Engineering	47.041	74,299	-			74,299	-
Engineering	47.041	36,961	-			36,961	-
Engineering	47.041	4	-			4	-
Engineering	47.041	146,331	-			146,331	-
Engineering	47.041	121,481	-			121,481	-
Engineering	47.041	42,240	-			42,240	-
Engineering	47.041	66,773	-			66,773	-
Engineering	47.041	22,663	-			22,663	-
Engineering	47.041	176,926	-			176,926	-
Engineering	47.041	14,936	-			14,936	-
Engineering	47.041	81,611	-			81,611	-
Engineering	47.041	(85)	-			(85)	-
Engineering	47.041	117,417	-			117,417	-
Engineering	47.041	7,316	-			7,316	-
Engineering	47.041	160,936	-			160,936	-
COVID-19 Engineering	47.041	84,999	-			84,999	-
Engineering	47.041	104,800	-			104,800	-
Engineering	47.041	129	-			129	-
Engineering	47.041	36,640	-			36,640	-
Engineering	47.041	96,211	-			96,211	-
Engineering	47.041	80,938	-			80,938	-
Engineering	47.041	74,429	-			74,429	-
Engineering	47.041	4,759	-			4,759	-
COVID-19 Engineering	47.041	30,186	-			30,186	-
Engineering	47.041	9,685	-			9,685	-
Engineering	47.041	139,240	-			139,240	-
Engineering	47.041	16,421	-			16,421	-
Engineering	47.041	61,057	-			61,057	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Expanding Open Innovation Methods to Complex Engineered Systems	47.041	-	19,629	George Washington University	15-S30-Mod #4	19,629	-
I-Corps Node (Track 2): New York City Regional Innovation Node (NYCRIN)	47.041	-	134,278	Research Foundation of CUNY on behalf of City University of New York	CM00001895-00 Amd 2	134,278	-
INFEWS/T3 RCN: City-as-Lab: A Research Coordination Network for the Study of the Food Energy and Water Nexus for Sustainable and Resilient Urban Development	47.041	-	11,929	New York Institute of Technology	CBET-1856032-NYU-2	11,929	-
Multi-scale Infrastructure Interactions with Intermittent Disruptions:							
Coastal Flood Protection: Transportation and Governance Networks	47.041	-	4,516	The Regents of The University of California	9168	4,516	-
SBIR: Total Holographic Characterization of Colloids Through Holographic Video Microscopy	47.041	-	282	Spherix Inc.	SBIR Phase IIB: 1631815	282	-
STTR PHASE I: A Fully Digital Transceiver Design for mmWave Communications	47.041	-	78,776	PI Radio	NSF 1821150	78,776	-
		<u>4,839,426</u>	<u>473,403</u>			<u>5,312,829</u>	<u>342,787</u>
CAREER: Probing the Demographics of Supermassive Black Holes							
with Time-Domain Observations of Tidal Disruption Events	47.049	-	1,487	University of Maryland	53579-Z4431001 MOD A	1,487	-
CCI Phase I: NSF Center for Nanoscale Chemistry	47.049	-	15,633	Pennsylvania State University	5895-NYU-NSF-2471	15,633	-
Mathematical and Physical Sciences	47.049	4,650	-			4,650	-
Mathematical and Physical Sciences	47.049	355,246	-			355,246	-
Mathematical and Physical Sciences	47.049	73,578	-			73,578	-
Mathematical and Physical Sciences	47.049	76,236	-			76,236	-
Mathematical and Physical Sciences	47.049	21,470	-			21,470	-
Mathematical and Physical Sciences	47.049	41,268	-			41,268	-
Mathematical and Physical Sciences	47.049	58,597	-			58,597	-
Mathematical and Physical Sciences	47.049	68,160	-			68,160	-
Mathematical and Physical Sciences	47.049	43,271	-			43,271	-
Mathematical and Physical Sciences	47.049	2,227	-			2,227	-
Mathematical and Physical Sciences	47.049	176,005	-			176,005	-
Mathematical and Physical Sciences	47.049	63,088	-			63,088	-
Mathematical and Physical Sciences	47.049	212,295	-			212,295	-
Mathematical and Physical Sciences	47.049	192,464	-			192,464	-
Mathematical and Physical Sciences	47.049	269,255	-			269,255	-
Mathematical and Physical Sciences	47.049	53,670	-			53,670	-
Mathematical and Physical Sciences	47.049	163,439	-			163,439	-
Mathematical and Physical Sciences	47.049	40,081	-			40,081	-
Mathematical and Physical Sciences	47.049	200,051	-			200,051	-
COVID-19 Mathematical and Physical Sciences	47.049	67,221	-			67,221	-
Mathematical and Physical Sciences	47.049	108,239	-			108,239	-
Mathematical and Physical Sciences	47.049	53,298	-			53,298	-
Mathematical and Physical Sciences	47.049	143,610	-			143,610	-
Mathematical and Physical Sciences	47.049	480,324	-			480,324	-
Mathematical and Physical Sciences	47.049	136,183	-			136,183	-
Mathematical and Physical Sciences	47.049	113,676	-			113,676	-
COVID-19 Mathematical and Physical Sciences	47.049	43,121	-			43,121	-
COVID-19 Mathematical and Physical Sciences	47.049	65,583	-			65,583	-
Mathematical and Physical Sciences	47.049	82,892	-			82,892	-
Mathematical and Physical Sciences	47.049	90,795	-			90,795	-
Mathematical and Physical Sciences	47.049	72,116	-			72,116	-
Mathematical and Physical Sciences	47.049	58,049	-			58,049	-
Mathematical and Physical Sciences	47.049	102,598	-			102,598	-
Mathematical and Physical Sciences	47.049	33,976	-			33,976	-
Mathematical and Physical Sciences	47.049	7,742	-			7,742	-
Mathematical and Physical Sciences	47.049	61,048	-			61,048	-
Mathematical and Physical Sciences	47.049	43,180	-			43,180	-
Mathematical and Physical Sciences	47.049	150,376	-			150,376	-
Mathematical and Physical Sciences	47.049	2,148	-			2,148	-
Mathematical and Physical Sciences	47.049	102,836	-			102,836	-
Mathematical and Physical Sciences	47.049	67,717	-			67,717	-
Mathematical and Physical Sciences	47.049	49,044	-			49,044	-
Mathematical and Physical Sciences	47.049	2,276	-			2,276	-
Mathematical and Physical Sciences	47.049	3,967	-			3,967	-
Mathematical and Physical Sciences	47.049	9,014	-			9,014	-
Mathematical and Physical Sciences	47.049	408,590	-			408,590	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	114,728	-			114,728	-
Mathematical and Physical Sciences	47.049	180,176	-			180,176	-
Mathematical and Physical Sciences	47.049	57,775	-			57,775	-
Mathematical and Physical Sciences	47.049	78,942	-			78,942	-
Mathematical and Physical Sciences	47.049	48,920	-			48,920	-
Mathematical and Physical Sciences	47.049	700	-			700	-
Mathematical and Physical Sciences	47.049	21,407	-			21,407	-
Mathematical and Physical Sciences	47.049	12,263	-			12,263	-
Mathematical and Physical Sciences	47.049	98,795	-			98,795	-
Mathematical and Physical Sciences	47.049	88,974	-			88,974	-
Mathematical and Physical Sciences	47.049	15,254	-			15,254	-
Mathematical and Physical Sciences	47.049	17,454	-			17,454	-
Mathematical and Physical Sciences	47.049	44,200	-			44,200	-
Mathematical and Physical Sciences	47.049	72,512	-			72,512	-
Mathematical and Physical Sciences	47.049	82,595	-			82,595	-
Mathematical and Physical Sciences	47.049	2,800	-			2,800	-
Mathematical and Physical Sciences	47.049	6,415	-			6,415	-
Mathematical and Physical Sciences	47.049	76,612	-			76,612	-
Mathematical and Physical Sciences	47.049	173,985	-			173,985	-
Mathematical and Physical Sciences	47.049	83,578	-			83,578	-
Mathematical and Physical Sciences	47.049	23,419	-			23,419	-
Mathematical and Physical Sciences	47.049	104,763	-			104,763	-
Mathematical and Physical Sciences	47.049	2,687	-			2,687	-
Mathematical and Physical Sciences	47.049	139,313	-			139,313	-
Mathematical and Physical Sciences	47.049	82,082	-			82,082	-
Mathematical and Physical Sciences	47.049	10,290	-			10,290	-
Mathematical and Physical Sciences	47.049	540,925	-			540,925	-
Mathematical and Physical Sciences	47.049	10,600	-			10,600	-
Mathematical and Physical Sciences	47.049	12,882	-			12,882	-
Mathematical and Physical Sciences	47.049	133,711	-			133,711	-
Mathematical and Physical Sciences	47.049	1,725,259	-			1,725,259	-
Mathematical and Physical Sciences	47.049	20,429	-			20,429	-
Mathematical and Physical Sciences	47.049	39,081	-			39,081	-
Mathematical and Physical Sciences	47.049	83,285	-			83,285	-
Mathematical and Physical Sciences	47.049	76,569	-			76,569	-
Mathematical and Physical Sciences	47.049	98,072	-			98,072	-
Mathematical and Physical Sciences	47.049	35,848	-			35,848	-
Mathematical and Physical Sciences	47.049	148	-			148	-
Mathematical and Physical Sciences	47.049	12,346	-			12,346	-
Mathematical and Physical Sciences	47.049	60,316	-			60,316	-
Mathematical and Physical Sciences	47.049	147,405	-			147,405	-
MREFC: US ATLAS HL-LHC Upgrade Project	47.049	-	11,183	Columbia University	37(GG016228) A02	11,183	-
Quantal Heating in Electron Systems with Discrete Spectra	47.049	-	44,687	Research Foundation of CUNY on behalf of City College of New York	CM00001636-01	44,687	-
SII Planning: Interdisciplinary and Cross-Layer Research							
Agenda for the National Wireless Spectrum Center	47.049	-	60,008	Rutgers University	1616 - PO 1382333	60,008	-
		<u>9,312,185</u>	<u>132,998</u>			<u>9,445,183</u>	<u>-</u>
Aging in high-risk coastal regions: Examining the social and physical infrastructure needs of older adults in the Gulf Coast	47.050	-	165,149	University Corporation of Atmospheric Research	SUBAWD002258 Mod 1	165,149	-
Geosciences	47.050	63,148	-			63,148	19,760
Geosciences	47.050	331,227	-			331,227	62,744
Geosciences	47.050	81,840	-			81,840	-
Geosciences	47.050	58,711	-			58,711	-
Geosciences	47.050	148,937	-			148,937	-
Geosciences	47.050	32,615	-			32,615	-
		<u>716,478</u>	<u>165,149</u>			<u>881,627</u>	<u>82,504</u>
Computer and Information Science and Engineering	47.070	40,333	-			40,333	-
CIF: Small: Structured High-Dimensional Data Recovery from Phaseless Measurements	47.070	-	75,607	Iowa State University	019136A NCE	75,607	-
CIF21 DIBBs: Et: Vizier: Streamlined Data Curation	47.070	-	217,593	University of Buffalo (SUNY)	R1045441 Amd 4	217,593	-
COLLABORATIVE RESEARCH: Understanding Subatomic-Scale							

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Quantum Matter Data Using Machine Learning Tools	47.070	-	138,307	Cornell University	90026-11333 Amendment 2	138,307	-
Computer and Information Science and Engineering	47.070	25,322	-			25,322	-
Computer and Information Science and Engineering	47.070	125,106	-			125,106	-
Computer and Information Science and Engineering	47.070	95,993	-			95,993	-
Computer and Information Science and Engineering	47.070	198,432	-			198,432	-
Computer and Information Science and Engineering	47.070	6,314	-			6,314	-
Computer and Information Science and Engineering	47.070	13,604	-			13,604	13,604
Computer and Information Science and Engineering	47.070	128,498	-			128,498	-
Computer and Information Science and Engineering	47.070	43,384	-			43,384	-
Computer and Information Science and Engineering	47.070	19,374	-			19,374	-
Computer and Information Science and Engineering	47.070	202,990	-			202,990	-
Computer and Information Science and Engineering	47.070	778,192	-			778,192	-
Computer and Information Science and Engineering	47.070	69,655	-			69,655	-
Computer and Information Science and Engineering	47.070	78,781	-			78,781	-
Computer and Information Science and Engineering	47.070	119,007	-			119,007	-
Computer and Information Science and Engineering	47.070	(2,240)	-			(2,240)	-
Computer and Information Science and Engineering	47.070	(1,872)	-			(1,872)	-
COVID-19 Computer and Information Science and Engineering	47.070	9,969	-			9,969	-
Computer and Information Science and Engineering	47.070	123,519	-			123,519	-
Computer and Information Science and Engineering	47.070	239,536	-			239,536	-
Computer and Information Science and Engineering	47.070	91,314	-			91,314	-
Computer and Information Science and Engineering	47.070	182,753	-			182,753	-
Computer and Information Science and Engineering	47.070	50,741	-			50,741	-
Computer and Information Science and Engineering	47.070	89,097	-			89,097	-
Computer and Information Science and Engineering	47.070	62,061	-			62,061	-
Computer and Information Science and Engineering	47.070	104,408	-			104,408	-
Computer and Information Science and Engineering	47.070	113,180	-			113,180	-
Computer and Information Science and Engineering	47.070	63,081	-			63,081	-
Computer and Information Science and Engineering	47.070	71,109	-			71,109	-
Computer and Information Science and Engineering	47.070	287,766	-			287,766	-
Computer and Information Science and Engineering	47.070	190,781	-			190,781	-
Computer and Information Science and Engineering	47.070	6,915	-			6,915	-
Computer and Information Science and Engineering	47.070	90,256	-			90,256	-
Computer and Information Science and Engineering	47.070	22,049	-			22,049	-
Computer and Information Science and Engineering	47.070	126,593	-			126,593	-
Computer and Information Science and Engineering	47.070	10,873	-			10,873	-
Computer and Information Science and Engineering	47.070	42,783	-			42,783	-
Computer and Information Science and Engineering	47.070	92,291	-			92,291	-
Computer and Information Science and Engineering	47.070	93,188	-			93,188	-
Computer and Information Science and Engineering	47.070	308,611	-			308,611	103,727
Computer and Information Science and Engineering	47.070	22,881	-			22,881	-
Computer and Information Science and Engineering	47.070	41,922	-			41,922	-
Computer and Information Science and Engineering	47.070	7,792	-			7,792	-
Computer and Information Science and Engineering	47.070	14,579	-			14,579	-
Computer and Information Science and Engineering	47.070	32,303	-			32,303	-
COVID-19 Computer and Information Science and Engineering	47.070	71,482	-			71,482	-
Computer and Information Science and Engineering	47.070	168,124	-			168,124	-
Computer and Information Science and Engineering	47.070	62,552	-			62,552	-
Computer and Information Science and Engineering	47.070	89,476	-			89,476	-
Computer and Information Science and Engineering	47.070	9,766	-			9,766	-
Computer and Information Science and Engineering	47.070	418,225	-			418,225	-
Computer and Information Science and Engineering	47.070	22,472	-			22,472	-
Computer and Information Science and Engineering	47.070	77,166	-			77,166	-
Computer and Information Science and Engineering	47.070	27,974	-			27,974	-
Computer and Information Science and Engineering	47.070	111,305	-			111,305	-
Computer and Information Science and Engineering	47.070	158,206	-			158,206	-
Computer and Information Science and Engineering	47.070	23,834	-			23,834	-
Computer and Information Science and Engineering	47.070	2,349	-			2,349	2,349
Computer and Information Science and Engineering	47.070	2,107	-			2,107	-
Computer and Information Science and Engineering	47.070	78,536	-			78,536	-
Computer and Information Science and Engineering	47.070	9,651	-			9,651	-
Computer and Information Science and Engineering	47.070	16,540	-			16,540	-
Computer and Information Science and Engineering	47.070	36,078	-			36,078	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	27,284	-			27,284	-
Computer and Information Science and Engineering	47.070	56,639	-			56,639	-
Computer and Information Science and Engineering	47.070	20,351	-			20,351	-
COVID-19 Computer and Information Science and Engineering	47.070	3,948	-			3,948	-
Computer and Information Science and Engineering	47.070	26,972	-			26,972	-
Computer and Information Science and Engineering	47.070	88,734	-			88,734	-
Computer and Information Science and Engineering	47.070	20,875	-			20,875	-
Computer and Information Science and Engineering	47.070	11,571	-			11,571	-
Computer and Information Science and Engineering	47.070	93,543	-			93,543	-
Computer and Information Science and Engineering	47.070	82,915	-			82,915	-
Computer and Information Science and Engineering	47.070	91,181	-			91,181	-
Computer and Information Science and Engineering	47.070	65,305	-			65,305	-
Computer and Information Science and Engineering	47.070	393,112	-			393,112	-
Computer and Information Science and Engineering	47.070	136,964	-			136,964	-
Computer and Information Science and Engineering	47.070	4,576	-			4,576	-
Computer and Information Science and Engineering	47.070	46,203	-			46,203	-
Computer and Information Science and Engineering	47.070	46,758	-			46,758	-
Computer and Information Science and Engineering	47.070	92,738	-			92,738	-
Computer and Information Science and Engineering	47.070	8,272	-			8,272	-
Computer and Information Science and Engineering	47.070	9,414	-			9,414	-
Computer and Information Science and Engineering	47.070	8,797	-			8,797	-
Computer and Information Science and Engineering	47.070	193,493	-			193,493	-
Computer and Information Science and Engineering	47.070	9,820	-			9,820	-
Computer and Information Science and Engineering	47.070	50,000	-			50,000	-
Computer and Information Science and Engineering	47.070	293,424	-			293,424	91,903
Computer and Information Science and Engineering	47.070	17,121	-			17,121	-
Computer and Information Science and Engineering	47.070	265,979	-			265,979	203,099
Computer and Information Science and Engineering	47.070	24,547	-			24,547	-
Computer and Information Science and Engineering	47.070	33,910	-			33,910	-
Computer and Information Science and Engineering	47.070	26,423	-			26,423	-
Computer and Information Science and Engineering	47.070	40,225	-			40,225	-
Computer and Information Science and Engineering	47.070	91,332	-			91,332	-
Computer and Information Science and Engineering	47.070	12,078	-			12,078	-
Computer and Information Science and Engineering	47.070	106,808	-			106,808	30,991
Computer and Information Science and Engineering	47.070	129,117	-			129,117	-
Computer and Information Science and Engineering	47.070	158,496	-			158,496	2,701
Computer and Information Science and Engineering	47.070	81,553	-			81,553	-
Computer and Information Science and Engineering	47.070	218,804	-			218,804	-
Computer and Information Science and Engineering	47.070	47,084	-			47,084	-
Computer and Information Science and Engineering	47.070	384,193	-			384,193	-
Computer and Information Science and Engineering	47.070	41,290	-			41,290	-
Computer and Information Science and Engineering	47.070	90,971	-			90,971	-
Computer and Information Science and Engineering	47.070	151,630	-			151,630	-
Computer and Information Science and Engineering	47.070	16,650	-			16,650	-
Computer and Information Science and Engineering	47.070	1,375	-			1,375	-
Computer and Information Science and Engineering	47.070	11,635	-			11,635	2,189
Computer and Information Science and Engineering	47.070	122,373	-			122,373	-
Computer and Information Science and Engineering	47.070	8,799	-			8,799	-
Computer and Information Science and Engineering	47.070	109,578	-			109,578	-
Computer and Information Science and Engineering	47.070	90,962	-			90,962	-
Computer and Information Science and Engineering	47.070	(2,640)	-			(2,640)	-
Computer and Information Science and Engineering	47.070	113,357	-			113,357	-
Computing Innovation Fellows 2020 Project	47.070	-	87,752	Computing Research Association	CIF2020-NYU-51	87,752	-
Computing Innovation Fellows 2020 Project	47.070	-	87,752	Computing Research Association	CIF2020-NYU-08 Amd 01	87,752	-
COSMOS: Cloud-Enhanced Open Software-Defined Mobile-Wireless Testbed	47.070	-	20,346	Rutgers University	0424 Mod 2	20,346	-
EAGER: Cyberlearning with Co-Robotic Teachable Agents	47.070	-	56,564	University of Arizona	576988	56,564	-
EAGER: Collaborative E-Witness-Preserve and Prove forensic Soundness of Digital Evidence	47.070	25,988	-			25,988	-
NetS: Small: Collaborative Research: Caching and Coding for Media Delivery in Next Generation Wireless Networks	47.070	3,801	-			3,801	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
NSF Workshop on Programmable Networks	47.070	125	-			125	-
Procurement Roundtables	47.070	-	24,945	Columbia University	12(GG014586-02) SAPO G15351 NCE	24,945	-
S212: Institute for Research and Innovation in Software for High Energy Physics (IRIS-HEP)	47.070	-	300,397	Princeton University	SUB0000278 A02	300,397	-
SaTC: CORE: Medium: Collaborative: Contextual Integrity: From Theory to Practice	47.070	-	21,981	Cornell University	84881-20652 - NCE 1	21,981	-
Working Group on Instrumented Learning Spaces	47.070	-	8	Digital Promise Global	N/A	8	-
		<u>10,225,520</u>	<u>1,031,252</u>			<u>11,256,772</u>	<u>450,563</u>
Biological Sciences	47.074	1,860,861	-			1,860,861	-
Biological Sciences	47.074	-	143,839	University of Michigan	3004704725	143,839	-
Biological Sciences	47.074	-	260,410	University of Colorado Boulder	1559641	260,410	-
Biological Sciences	47.074	2,559	-			2,559	280
Biological Sciences	47.074	108,205	-			108,205	-
Biological Sciences	47.074	713,734	-			713,734	459,392
Biological Sciences	47.074	(11,773)	-			(11,773)	-
Biological Sciences	47.074	105,155	-			105,155	-
Biological Sciences	47.074	35,526	-			35,526	-
Biological Sciences	47.074	368,554	-			368,554	57,810
Biological Sciences	47.074	7,194	-			7,194	-
Biological Sciences	47.074	151,819	-			151,819	-
Biological Sciences	47.074	195,890	-			195,890	-
Biological Sciences	47.074	144,023	-			144,023	-
Biological Sciences	47.074	368	-			368	-
Biological Sciences	47.074	429,224	-			429,224	340,254
COVID-19 Biological Sciences	47.074	131,227	-			131,227	-
Biological Sciences	47.074	129,717	-			129,717	-
MaizeCode - An Initial Analysis of Functional Elements in the Maize Genome	47.074	-	2,923	Cold Spring Harbor Laboratory	52560318 A05	2,923	-
Mapping and Functional Characterization of Cis-regulatory Module Variation in Plants	47.074	-	49,579	Rutgers University	1103 MOD 1	49,579	-
NEURONEX: The fabric of the primate neocortex and the origin of mental representations. From transcriptomics to single neurons and neuronal networks.	47.074	-	193,432	Yale University	GR110626 (CON-80002608)	193,432	-
RESEARCH-PGR: Living Fossils: Applying advances in single-molecule sequencing to decode large and complex genomes of ancient plant lineages	47.074	-	64,611	Cold Spring Harbor Laboratory	52670314 A03	64,611	-
		<u>4,372,283</u>	<u>714,794</u>			<u>5,087,077</u>	<u>857,736</u>
Acquiring the Language of Possibility: Consequences for							
Language Variation and Change	47.075	-	5,064	University of Maryland	89226-24766001 Mod A	5,064	-
RCN: The Governing Knowledge Commons Research Coordination Network	47.075	-	6,162	Villanova University	525919NYU A01	6,162	-
Social, Behavioral, and Economic Sciences	47.075	68,445	-			68,445	-
Social, Behavioral, and Economic Sciences	47.075	227,744	-			227,744	-
Social, Behavioral, and Economic Sciences	47.075	67,843	-			67,843	-
Social, Behavioral, and Economic Sciences	47.075	73,789	-			73,789	-
Social, Behavioral, and Economic Sciences	47.075	215,701	-			215,701	-
Social, Behavioral, and Economic Sciences	47.075	2,769	-			2,769	-
Social, Behavioral, and Economic Sciences	47.075	231,939	-			231,939	-
Social, Behavioral, and Economic Sciences	47.075	45,325	-			45,325	-
Social, Behavioral, and Economic Sciences	47.075	57,714	-			57,714	-
Social, Behavioral, and Economic Sciences	47.075	17,044	-			17,044	-
Social, Behavioral, and Economic Sciences	47.075	6,795	-			6,795	-
Social, Behavioral, and Economic Sciences	47.075	1,663	-			1,663	-
Social, Behavioral, and Economic Sciences	47.075	12,704	-			12,704	-
Social, Behavioral, and Economic Sciences	47.075	165,509	-			165,509	-
Social, Behavioral, and Economic Sciences	47.075	(663)	-			(663)	671
Social, Behavioral, and Economic Sciences	47.075	43,305	-			43,305	-
Social, Behavioral, and Economic Sciences	47.075	11,487	-			11,487	-
Social, Behavioral, and Economic Sciences	47.075	150,241	-			150,241	-
Social, Behavioral, and Economic Sciences	47.075	17,076	-			17,076	-
Social, Behavioral, and Economic Sciences	47.075	1,018	-			1,018	-
Social, Behavioral, and Economic Sciences	47.075	47,828	-			47,828	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	79,055	-			79,055	-
Social, Behavioral, and Economic Sciences	47.075	153	-			153	-
Social, Behavioral, and Economic Sciences	47.075	122,351	-			122,351	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	40,183	-			40,183	-
Social, Behavioral, and Economic Sciences	47.075	23,924	-			23,924	-
Social, Behavioral, and Economic Sciences	47.075	18,784	-			18,784	-
Social, Behavioral, and Economic Sciences	47.075	3,142	-			3,142	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	68,392	-			68,392	-
Social, Behavioral, and Economic Sciences	47.075	219,456	-			219,456	-
Social, Behavioral, and Economic Sciences	47.075	1,671	-			1,671	-
Social, Behavioral, and Economic Sciences	47.075	(94,758)	-			(94,758)	-
Social, Behavioral, and Economic Sciences	47.075	6,760	-			6,760	5,360
Social, Behavioral, and Economic Sciences	47.075	135,493	-			135,493	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	16,909	-			16,909	-
Social, Behavioral, and Economic Sciences	47.075	54,400	-			54,400	-
Social, Behavioral, and Economic Sciences	47.075	280,951	-			280,951	-
Social, Behavioral, and Economic Sciences	47.075	515	-			515	-
Social, Behavioral, and Economic Sciences	47.075	21,360	-			21,360	-
Social, Behavioral, and Economic Sciences	47.075	163	-			163	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	83,395	-			83,395	-
Social, Behavioral, and Economic Sciences	47.075	57,499	-			57,499	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	228,414	-			228,414	-
Social, Behavioral, and Economic Sciences	47.075	102,289	-			102,289	-
Social, Behavioral, and Economic Sciences	47.075	48,115	-			48,115	-
Social, Behavioral, and Economic Sciences	47.075	18,439	-			18,439	-
COVID-19 Social, Behavioral, and Economic Sciences	47.075	107,668	-			107,668	-
Social, Behavioral, and Economic Sciences	47.075	15,751	-			15,751	-
Social, Behavioral, and Economic Sciences	47.075	145,180	-			145,180	-
Social, Behavioral, and Economic Sciences	47.075	8,215	-			8,215	-
Social, Behavioral, and Economic Sciences	47.075	83,937	-			83,937	40,635
Social, Behavioral, and Economic Sciences	47.075	3,432	-			3,432	-
Social, Behavioral, and Economic Sciences	47.075	843	-			843	-
Social, Behavioral, and Economic Sciences	47.075	10,429	-			10,429	-
Social, Behavioral, and Economic Sciences	47.075	56,828	-			56,828	-
Social, Behavioral, and Economic Sciences	47.075	57,701	-			57,701	-
Social, Behavioral, and Economic Sciences	47.075	648	-			648	-
Social, Behavioral, and Economic Sciences	47.075	3,871	-			3,871	-
Social, Behavioral, and Economic Sciences	47.075	113,989	-			113,989	-
Social, Behavioral, and Economic Sciences	47.075	3,696	-			3,696	-
Social, Behavioral, and Economic Sciences	47.075	515	-			515	-
Social, Behavioral, and Economic Sciences	47.075	5,975	-			5,975	-
Social, Behavioral, and Economic Sciences	47.075	403	-			403	-
Social, Behavioral, and Economic Sciences	47.075	23,410	-			23,410	-
Social, Behavioral, and Economic Sciences	47.075	2,479	-			2,479	-
Social, Behavioral, and Economic Sciences	47.075	51,512	-			51,512	-
Social, Behavioral, and Economic Sciences	47.075	24,386	-			24,386	-
Social, Behavioral, and Economic Sciences	47.075	460	-			460	-
Social, Behavioral, and Economic Sciences	47.075	5,898	-			5,898	-
Social, Behavioral, and Economic Sciences	47.075	2,835	-			2,835	-
Type A: The sociohydrological system of a tropical forest frontier: land-climate-water feedbacks and farmer adaptation	47.075	-	(28,944)	University of Montana	PG19-66897-01	(28,944)	-
Social, Behavioral, and Economic Sciences	47.075	244,529	-			244,529	-
(UREX SRN) Urban Resilience to Extreme Weather Related Events	47.075	-	1,410	Arizona Board of Regents for and on Behalf of Arizona State University	16-795 Amd 06	1,410	-
		<u>3,976,921</u>	<u>(16,308)</u>			<u>3,960,613</u>	<u>46,666</u>
Collaborative Research: Improving the Implementation of Rigorous Instructional Materials in Middle-Grades Mathematics: Developing a System of Practical Measures and Routines	47.076	-	60,578	University of California, Irvine	2019-3714 Amd 01	60,578	-
Collaborative Research: Improving the Implementation of Rigorous Instructional Materials in Middle-Grades Mathematics:							

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Developing a System of Practical Measures and Routines	47.076	-	6	University of Washington	UWSC9582 Amd 2; PO: BPO20403	6	-
Collaborative Research: Mixed Reality Transformation of Engineering Education	47.076	-	5,942	Rensselaer Polytechnic Institute	RPI-A20-0005-S005 Amd 1	5,942	-
Education and Human Resources	47.076	207,008	-			207,008	-
Education and Human Resources	47.076	286,275	-			286,275	-
Education and Human Resources	47.076	254,635	-			254,635	127,142
Education and Human Resources	47.076	575,766	-			575,766	-
Education and Human Resources	47.076	345,852	-			345,852	-
Education and Human Resources	47.076	84,758	-			84,758	-
Education and Human Resources	47.076	1,118	-			1,118	-
Education and Human Resources	47.076	146,140	-			146,140	-
Education and Human Resources	47.076	343,846	-			343,846	245,130
Education and Human Resources	47.076	422,465	-			422,465	179,688
Education and Human Resources	47.076	20,266	-			20,266	-
Education and Human Resources	47.076	157,579	-			157,579	12,870
Education and Human Resources	47.076	177,273	-			177,273	-
Education and Human Resources	47.076	327,524	-			327,524	94,231
Education and Human Resources	47.076	92,949	-			92,949	-
Education and Human Resources	47.076	77,825	-			77,825	-
Education and Human Resources	47.076	1,745,669	-			1,745,669	-
Education and Human Resources	47.076	142,442	-			142,442	6
Education and Human Resources	47.076	6,608	-			6,608	-
Education and Human Resources	47.076	45,669	-			45,669	-
Education and Human Resources	47.076	79,676	-			79,676	-
Education and Human Resources	47.076	17,055	-			17,055	-
Education and Human Resources	47.076	5,781	-			5,781	-
Education and Human Resources	47.076	17,417	-			17,417	-
Education and Human Resources	47.076	59,595	-			59,595	-
Education and Human Resources	47.076	32,242	-			32,242	20,365
Education and Human Resources	47.076	131,028	-			131,028	-
Education and Human Resources	47.076	22,506	-			22,506	-
Education and Human Resources	47.076	65,890	-			65,890	-
Education and Human Resources	47.076	464,819	-			464,819	-
Education and Human Resources	47.076	68,184	-			68,184	-
Education and Human Resources	47.076	109,541	-			109,541	-
Education and Human Resources	47.076	305,596	-			305,596	-
IDEAS 2: Developing Abilities and Knowledge for Careers in Design and Engineering for Students on the Autism Spectrum by Scaling Up Making Experiences	47.076	-	78,731	Education Development Center	LoA Amd 01 Executed 2020-02-12	78,731	6,416
Preparing STEM Master Teacher Fellows in the Greater New York City Area	47.076	-	39,999	Mercy College	1758317-SA1 NCE	39,999	-
Stereotype-based contagion in Problem Based Learning Contexts and STEM Identification	47.076	-	23,362	University of Delaware	41387 Amendment 3	23,362	-
Understanding & Improving Learning from Online Mathematics Classroom Videos	47.076	-	43,084	University of Illinois at Urbana-Champaign	083755-16481 Amd 03	43,084	-
		<u>6,840,997</u>	<u>251,702</u>			<u>7,092,699</u>	<u>685,848</u>
COVID-19 Office of International and Integrative Activities	47.079	-	50,848	University of Wisconsin	0000000756	50,848	-
Office of International Science and Engineering	47.079	39,242	-			39,242	-
PIRE: Advanced Artificial Muscles for International and Globally Competitive Research and Education in Soft Robotics	47.079	-	115,094	University of Nevada Las Vegas	71415560A	115,094	-
SII Planning Grant: National Center for Radio Spectrum Innovations (NCRSI)	47.079	-	16,474	University of Notre Dame	203949NYU Amd 01	16,474	-
		<u>39,242</u>	<u>182,416</u>			<u>221,658</u>	<u>-</u>
C-Accel Pilot - Track A1 (Open Knowledge Network): Manufacturing							
Open Knowledge Network (M-OKN) Graph	47.083	-	32,113	North Carolina State University	2019-2991-01 Amendment 1	32,113	-
Integrative Activities	47.083	99,946	-			99,946	-
Office of Integrative Activities	47.083	-	13,937	University of Michigan	3003847460	13,937	-
		<u>99,946</u>	<u>46,050</u>			<u>145,996</u>	<u>-</u>
(Mettzer) Engaging the Social Science and Human Dimensions Research Communities: The Early-Career Faculty Innovators Program.	47.RD	-	5,168	University Corporation of Atmospheric Research	SUBAWD001594 Mod 1	5,168	-
Dispersal, connectivity and local adaption along an extreme environmental gradient	47.RD	-	30,217	The University of North Carolina at Charlotte	20190599-01-NYU	30,217	-
		<u>-</u>	<u>35,385</u>			<u>35,385</u>	<u>-</u>
<b>Total National Science Foundation</b>		<u>40,422,998</u>	<u>3,016,841</u>			<u>43,439,839</u>	<u>2,466,104</u>

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
<b>Department of Veterans Affairs</b>							
VA Medical Center	64.RD	1,908,617	-			1,908,617	-
VA Medical Center	64.RD	-	23,605	Veterans Affairs New York Harbor Healthcare System	20-00-00-1004728	23,605	-
		<u>1,908,617</u>	<u>23,605</u>			<u>1,932,222</u>	-
Research and Development	64.054	-	30,739	Narrows Institute for Biomedical Research	19-A0-00-1003540	30,739	-
		-	<u>30,739</u>			<u>30,739</u>	-
<b>Total Department of Veterans Affairs</b>		<u>1,908,617</u>	<u>54,344</u>			<u>1,962,961</u>	-
<b>Environmental Protection Agency</b>							
Science To Achieve Results (STAR) Research Program	66.509	-	(19)	American Heart Association	FX-ATRAC-NYU-05	(19)	-
		-	<u>(19)</u>			<u>(19)</u>	-
P3 Award: National Student Design Competition for Sustainability	66.516	8,059	-			8,059	-
		<u>8,059</u>	-			<u>8,059</u>	-
<b>Total Environmental Protection Agency</b>		<u>8,059</u>	<u>(19)</u>			<u>8,040</u>	-
<b>U.S. Department of Energy</b>							
Center for Bio-Inspired Energy Science (CBES)	81.049	-	126,277	Northwestern University	SP0027267-PROJ0007140 A09	126,277	-
Immobilized Molecular Catalysts: From Basic Design Principles to Cascade Reactions	81.049	-	185,383	Georgia Institute of Technology	AWD-100234-G2 Amd 16	185,383	-
Office of Science Financial Assistance Program	81.049	101,822	-			101,822	-
Office of Science Financial Assistance Program	81.049	55,717	-			55,717	-
Office of Science Financial Assistance Program	81.049	347,231	-			347,231	-
Office of Science Financial Assistance Program	81.049	333	-			333	-
Office of Science Financial Assistance Program	81.049	31,326	-			31,326	-
Office of Science Financial Assistance Program	81.049	247,138	-			247,138	-
Office of Science Financial Assistance Program	81.049	680,322	-			680,322	524,720
Office of Science Financial Assistance Program	81.049	127,544	-			127,544	-
Office of Science Financial Assistance Program	81.049	124,365	-			124,365	-
Office of Science Financial Assistance Program	81.049	80,481	-			80,481	-
Office of Science Financial Assistance Program	81.049	90,634	-			90,634	-
Office of Science Financial Assistance Program	81.049	63,991	-			63,991	-
Office of Science Financial Assistance Program	81.049	85,349	-			85,349	-
Office of Science Financial Assistance Program	81.049	202,602	-			202,602	-
SBIR PHASE II: A Platform for Scientific Application Dissemination and Community Engagement	81.049	-	48,496	Parallel Works Inc.	DE-SC0019695-SA1	48,496	-
SBIR: Photothermal Solar Cell	81.049	-	(9,011)	Aquaneers Inc.	#DE-SC0015924	(9,011)	-
		<u>2,238,855</u>	<u>351,145</u>			<u>2,590,000</u>	<u>524,720</u>
Novel ceramic capacitors with ultrahigh energy density and efficiency	81.086	-	80,316	Iowa State University	022853A Amd 1	80,316	-
		-	<u>80,316</u>			<u>80,316</u>	-
Support for Reactor Operators in Case of Cyber-Security Threats	81.121	-	175	Ohio State University	60054137 Mod 2	175	-
		-	<u>175</u>			<u>175</u>	-
Context-Aware Learning for Inverse Design in Photovoltaics	81.135	-	94,795	Iowa State University	022218A Amd 01	94,795	-
Risk-Aware Power System Control Dispatch and Market Incentives	81.135	-	134,030	Columbia University	1(GG017021) Amd 02; SAPO G15136	134,030	-
		-	<u>228,825</u>			<u>228,825</u>	-
AI-based modeling and control for traffic flow systems	81.RD	-	28,542	Ut-battelle LLC C/O Oak Ridge National Laboratory	4000188094 Mod 1	28,542	-
SBIR Phase II: A Platform for Scientific Data Management Modeling and Analysis with Machine Learning	81.RD	-	2,512	Parallel Works Inc.	DE-SC0020464-SA1	2,512	-
Subcontract NO. B635687: Lawrence Livermore National Laboratory Management and Operation (Prime Contract #DE-AC52-07NA27344)	81.RD	-	20,001	Lawrence Livermore National Security LLC	B635687 Mod 2	20,001	-
		-	<u>51,055</u>			<u>51,055</u>	-
<b>Total U.S. Department of Energy</b>		<u>2,238,855</u>	<u>711,516</u>			<u>2,950,371</u>	<u>524,720</u>
<b>U.S. Department of Education</b>							
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	756	-			756	-
		<u>756</u>	-			<u>756</u>	-
Overseas Programs - Doctoral Dissertation Research Abroad	84.022	1,958	-			1,958	-
		<u>1,958</u>	-			<u>1,958</u>	-
Rehabilitation Services_Vocational Rehabilitation Grants to States	84.126	380,192	-			380,192	-
		<u>380,192</u>	-			<u>380,192</u>	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Education Research, Development and Dissemination	84.305	-	13,815	The Children's Hospital of Philadelphia	20259641	13,815	-
84.305A High School Gay-Straight Alliances: Practices that Predict Academic Success	84.305	-	92,478	Boston College	5108121-01 Amd 01	92,478	-
84.305N Expanding the Evidence Base for Career and Technical Education (CTE) Network-Network Participation	84.305	-	34,680	American Institutes for Research	0467100005 Mod 2	34,680	-
Education Research, Development and Dissemination	84.305	482,390	-			482,390	41,628
Education Research, Development and Dissemination	84.305	130,925	-			130,925	110,169
Education Research, Development and Dissemination	84.305	15,211	-			15,211	15,211
Education Research, Development and Dissemination	84.305	652,182	-			652,182	291,703
Education Research, Development and Dissemination	84.305	156,433	-			156,433	-
Education Research, Development and Dissemination	84.305	209,336	-			209,336	-
Education Research, Development and Dissemination	84.305	348,221	-			348,221	200,054
Education Research, Development and Dissemination	84.305	193,349	-			193,349	82,837
Education Research, Development and Dissemination	84.305	181,846	-			181,846	-
Education Research, Development and Dissemination	84.305	381,361	-			381,361	121,305
Education Research, Development and Dissemination	84.305	311,923	-			311,923	-
Improving low-income students' odds of being Sustaining the Boost: Longitudinal Impacts of the Boston Prekindergarten Program and Variation in Impacts	84.305	-	89,378	Teachers College, Columbia University	511146 Amd 01	89,378	-
	84.305	-	5,029	University of Michigan	300336935 Amd 04	5,029	-
		3,063,177	235,380			3,298,557	862,907
A Partnership to Support a Museum- and School-Based Teaching Residency (MSTR) for Earth Science Teachers	84.336	-	34,464	American Museum of Natural History	B02-2020-01 Amd 003	34,464	-
		-	34,464			34,464	-
Teacher School Leaders Data Work for the Eskolta Project.	84.374	-	29,401	Eskolta School Research and Design Inc.	N/A	29,401	-
		-	29,401			29,401	-
Creativity in Engineering Science and Technology (CREST)	84.411	-	31,221	Expanded Schools	U411C180023	31,221	-
Early phase and demonstration and evaluation of the ExpandEd STEM-Options work-Based Learning Program	84.411	-	129,172	Expanded Schools	U411C180023	129,172	305
		-	160,393			160,393	305
A More Perfect Union - SBIR Phase II	84.RD	-	14,310	Gigantic Mechanic	91990019C0041	14,310	-
		-	14,310			14,310	-
<b>Total U.S. Department of Education</b>		3,446,083	473,948			3,920,031	863,212
<b>US Department of Health and Human Services</b>							
Training in General, Pediatric, and Public Health Dentistry	93.059	1,327,628	-			1,327,628	297,269
Training in General, Pediatric, and Public Health Dentistry	93.059	257,833	-			257,833	-
		1,585,461	-			1,585,461	297,269
Chronic Diseases: Research, Control, and Prevention	93.068	831,803	-			831,803	23,007
COVID-19 Chronic Diseases: Research, Control, and Prevention	93.068	117,990	-			117,990	-
		949,793	-			949,793	23,007
Center for the Assessment of the Public Health Impact of Tobacco Regulations	93.077	-	37,530	University of Michigan	SUBK00014314 Carryover Approval	37,530	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research	93.077	12,557	-			12,557	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research	93.077	232,975	-			232,975	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research	93.077	-	1,598	University of Colorado Denver	FY19.958.001	1,598	-
		245,532	39,128			284,660	-
Prevention of Disease, Disability, and Death by Infectious Diseases	93.084	-	23,803	University of California San Francisco	12400sc	23,803	-
		-	23,803			23,803	-
Food and Drug Administration_Research	93.103	90,038	-			90,038	-
		90,038	-			90,038	-
Improving Access and Outcomes for children with complex ADHD	93.110	-	4,212	Children's Hospital of Philadelphia	3208960821 / PO# 20260738	4,212	-
		-	4,212			4,212	-
Environmental Health	93.113	4,695,295	-			4,695,295	418,317
Environmental Health	93.113	-	41,241	Icahn School of Medicine at Mount Sinai	0255-8391-4609	41,241	-
Environmental Health	93.113	-	1,304	Boston University	4500003853	1,304	-
Environmental Health	93.113	-	1,589,366	Health Research, Inc.	6508-02	1,589,366	-
Environmental Health	93.113	-	165,746	George Mason University	E20505691	165,746	-
Environmental Health	93.113	-	53,998	Seattle Children's Hospital	20-A0-00-1005558	53,998	-
Environmental Health	93.113	-	160,297	Michigan State University	RC111324A	160,297	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
COVID-19 Environmental Health	93.113	276,138	-			276,138	-
Discovery of conserved molecular mechanisms underlying population-wide variation in toxin responses	93.113	-	137,198	Northwestern University	60052569 NYU A01	137,198	-
Environmental Health	93.113	286,109	-			286,109	-
Environmental Health	93.113	92,331	-			92,331	-
Environmental Health	93.113	12,182	-			12,182	-
Environmental Health	93.113	4,758	-			4,758	-
Environmental Health	93.113	4,937	-			4,937	-
Environmental Health	93.113	311,054	-			311,054	-
		<u>5,682,804</u>	<u>2,149,150</u>			<u>7,831,954</u>	<u>418,317</u>
Clinical Registry of Dental Outcome in Head and Neck Cancer Patients	93.121	-	53,144	Carolinas Healthcare System	3000301333	53,144	-
Growth factors-induced dentinogenesis	93.121	-	32,520	Rutgers University	0280 Mod 2	32,520	-
Long-term Oral Complications of an Established Head and Neck Cancer Cohort- Clinical Registry of Dental Outcomes	93.121	-	13,218	Carolinas Healthcare System	13100310228 (A21-0106-S005)	13,218	-
in Head and Neck Cancer Patients: OraRad	93.121	-	18,636	Indiana University	8150 - PO0227689	18,636	-
Low temperature plasma as an approach for the treatment of peri-implantitis	93.121	951,776	-			951,776	38,982
Oral Diseases and Disorders Research	93.121	-	1,998	Johns Hopkins Bloomberg School of Public Health	VUMC37447	1,998	-
Oral Diseases and Disorders Research	93.121	-	199,146	University of Pennsylvania	580225	199,146	-
Oral Diseases and Disorders Research	93.121	33,861	-			33,861	-
Oral Diseases and Disorders Research	93.121	7,051	-			7,051	-
Oral Diseases and Disorders Research	93.121	146,183	-			146,183	-
Oral Diseases and Disorders Research	93.121	148,670	-			148,670	-
Oral Diseases and Disorders Research	93.121	10,204	-			10,204	-
Oral Diseases and Disorders Research	93.121	777,047	-			777,047	89,009
Oral Diseases and Disorders Research	93.121	433,342	-			433,342	1,575
Oral Diseases and Disorders Research	93.121	100,369	-			100,369	-
Oral Diseases and Disorders Research	93.121	489,770	-			489,770	74,291
Oral Diseases and Disorders Research	93.121	280,170	-			280,170	46,454
Oral Diseases and Disorders Research	93.121	133,930	-			133,930	-
Oral Diseases and Disorders Research	93.121	158,700	-			158,700	-
Oral Diseases and Disorders Research	93.121	45,566	-			45,566	-
Oral Diseases and Disorders Research	93.121	267,932	-			267,932	-
Oral Diseases and Disorders Research	93.121	61,123	-			61,123	-
Oral Diseases and Disorders Research	93.121	339,931	-			339,931	-
Oral Diseases and Disorders Research	93.121	123,382	-			123,382	-
Oral Diseases and Disorders Research	93.121	161,413	-			161,413	-
Oral Diseases and Disorders Research	93.121	63,994	-			63,994	28,631
Oral Diseases and Disorders Research	93.121	305,905	-			305,905	-
Oral Diseases and Disorders Research	93.121	77,714	-			77,714	-
Oral Diseases and Disorders Research	93.121	437,626	-			437,626	25,121
Oral Diseases and Disorders Research	93.121	364,328	-			364,328	245,497
Oral Diseases and Disorders Research	93.121	90,458	-			90,458	-
Oral Diseases and Disorders Research	93.121	375,352	-			375,352	91,360
PHASE I: STTR Sub-award to Perionics LLC - Xin Li	93.121	-	428	Perionics Care LLC	1R41DE028212-01A1	428	-
Phase III RCT of the Effectiveness of Silver Diamine Fluoride in Arresting Cavitated Caries Lesions	93.121	-	1,012,398	University of Michigan	3004717497	1,012,398	-
Phase III RCT of the Effectiveness of Silver Diamine Fluoride in Arresting Cavitated Caries Lesions	93.121	-	39,546	University of Michigan	3004717497 Amendment 3	39,546	-
Toward novel translucent and strong nanostructured dental zirconia	93.121	-	9,975	University of Pennsylvania	580832 Amend 1	9,975	-
Viscoelastic Modeling Aided Experimental Optimization toward Fracture-Resistant Porcelain-							

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Veneered Zirconia and Lithium Disilicate Restorations	93.121	-	8,549	University of Pennsylvania	580833	8,549	-
		6,385,797	1,389,558			7,775,355	640,920
Centers for Research and Demonstration for Health Promotion and Disease Prevention	93.135	1,543,293	-			1,543,293	180,068
		1,543,293	-			1,543,293	180,068
Injury Prevention and Control Research and State and Community Based Programs	93.136	822,271	-			822,271	91,790
Injury Prevention and Control Research and State and Community Based Programs	93.136	315,732	-			315,732	39,813
		1,138,003	-			1,138,003	131,603
Hazardous Materials Worker Health and Safety Training (U45) Cooperative Agreement	93.142	-	27,737	Rutgers University	1922 Amd 1	27,737	-
Hazardous Materials Worker Health and Safety Training (U45) Cooperative Agreement	93.142	-	9,850	Rutgers University	1529	9,850	-
Hazardous Materials Worker Health and Safety Training (U45) Cooperative Agreement	93.142	-	120,595	Rutgers University	1606 MOD 2	120,595	-
		-	158,182			158,182	-
Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153	672,601	-			672,601	334,069
COVID-19 Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153	18,074	-			18,074	-
		690,675	-			690,675	334,069
Center for Integrated Cellular Analysis	93.172	-	55,899	New York Genome Center	2019-0014-NYU-01 A01	55,899	-
Center for Integrated Cellular Analysis	93.172	-	17,158	New York Genome Center	2019-0014-NYU-01	17,158	-
Development of recommendations and policies for genetic variant reclassification	93.172	-	18,048	Columbia University	1(GG013080-01) AMD 2	18,048	-
Human Genome Research	93.172	2,652,395	-			2,652,395	-
Human Genome Research	93.172	-	17,216	Icahn School of Medicine at Mount Sinai	0255-C621-4609	17,216	-
Human Genome Research	93.172	-	381,441	The Ontario Institute for Cancer Research	P2017-0001	381,441	-
Human Genome Research	93.172	-	72,640	The Ontario Institute for Cancer Research	P2020-0049	72,640	-
Human Genome Research	93.172	-	22,035	University of Southern California	139659099	22,035	-
Human Genome Research	93.172	187,050	-			187,050	44,193
		2,839,445	584,437			3,423,882	44,193
Research Related to Deafness and Communication Disorders	93.173	3,675,232	-			3,675,232	403,906
Research Related to Deafness and Communication Disorders	93.173	-	14,352	University of Iowa	1001622176	14,352	-
Research Related to Deafness and Communication Disorders	93.173	-	277,638	Brandeis University	403626	277,638	-
Research Related to Deafness and Communication Disorders	93.173	-	14,826	Washington University/St. Louis School of Medicine	WU-20-337	14,826	-
Research Related to Deafness and Communication Disorders	93.173	-	170,876	North Carolina State University	2018-2600-01	170,876	-
Research Related to Deafness and Communication Disorders	93.173	-	231,136	North Carolina State University	2018-3244-01	231,136	-
Research Related to Deafness and Communication Disorders	93.173	-	207,921	University of Texas at Dallas	1806253	207,921	-
Research Related to Deafness and Communication Disorders	93.173	-	-	Social & Scientific Syss Inc.	CRB-SSS-S-15-004660	-	-
Research Related to Deafness and Communication Disorders	93.173	-	440,205	York Sound Inc.	19-A0-00-1003898	440,205	-
Research Related to Deafness and Communication Disorders	93.173	2,218	-			2,218	-
Research Related to Deafness and Communication Disorders	93.173	268,409	-			268,409	66,471
Research Related to Deafness and Communication Disorders	93.173	604,114	-			604,114	-
Research Related to Deafness and Communication Disorders	93.173	270,522	-			270,522	-
Research Related to Deafness and Communication Disorders	93.173	356,956	-			356,956	83,805
Research Related to Deafness and Communication Disorders	93.173	154,905	-			154,905	27,207
Research Related to Deafness and Communication Disorders	93.173	920	-			920	-
Research Related to Deafness and Communication Disorders	93.173	638,824	-			638,824	-
Research Related to Deafness and Communication Disorders	93.173	(1,856)	-			(1,856)	-
Research Related to Deafness and Communication Disorders	93.173	2,307	-			2,307	-
Research Related to Deafness and Communication Disorders	93.173	337,098	-			337,098	-
Research Related to Deafness and Communication Disorders	93.173	8,184	-			8,184	-
Research Related to Deafness and Communication Disorders	93.173	205,652	-			205,652	-
Research Related to Deafness and Communication Disorders	93.173	80,318	-			80,318	-
Research Related to Deafness and Communication Disorders	93.173	52,730	-			52,730	-
Research Related to Deafness and Communication Disorders	93.173	91,433	-			91,433	-
Research Related to Deafness and Communication Disorders	93.173	28,972	-			28,972	-
Research Related to Deafness and Communication Disorders	93.173	55,356	-			55,356	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Research Related to Deafness and Communication Disorders	93.173	130,001	-			130,001	-
Research Related to Deafness and Communication Disorders	93.173	501,362	-			501,362	-
Research Related to Deafness and Communication Disorders	93.173	640,691	-			640,691	561,081
Type A: Characterizing Bilingual Speech Sound Production in Jamaican Creole- and English- Speaking Preschoolers	93.173	-	13,593	University of Cincinnati	012336-00006 Amd 002	13,593	-
		8,104,348	1,370,547			9,474,895	1,142,470
Disabilities Prevention	93.184	-	62,652	University of Alabama at Birmingham	000512145-SC018	62,652	-
		-	62,652			62,652	-
Immunization Research, Demonstration, Public Information and Education, Training and Clinical Skills Improvement Projects	93.185	-	26,101	Asian/Pacific Islander American Health Forum	EVAC	26,101	-
		-	26,101			26,101	-
National Research Service Award in Primary Care Medicine	93.186	334,719	-			334,719	-
		334,719	-			334,719	-
Research and Training in Complementary and Alternative Medicine	93.213	2,685,731	-			2,685,731	712,408
Research and Training in Complementary and Alternative Medicine	93.213	-	93,408	Mount Sinai Medical Center of Florida Inc.	AT009149	93,408	-
Research and Training in Complementary and Alternative Medicine	93.213	-	9,354	Mount Sinai Medical Center of Florida Inc.	UH3AT009149	9,354	-
Research and Training in Complementary and Integrative Health	93.213	506,782	-			506,782	-
Trauma-Informed Mindfulness-Based Yoga Intervention for Juvenile Justice-Involved Youth	93.213	-	(2)	Georgia State University	SP00013079-05 AMD 1	(2)	-
		3,192,513	102,760			3,295,273	712,408
National Research Service Awards_Health Services Research Training	93.225	873,788	-			873,788	-
		873,788	-			873,788	-
Multi-Level Influences of Violence Screening in College Health Centers	93.226	-	28,808	Binghamton University (SUNY)	89055-1163444-NYU	28,808	-
Research on Healthcare Costs, Quality and Outcomes	93.226	1,164,779	-			1,164,779	100,253
Research on Healthcare Costs, Quality and Outcomes	93.226	-	6,126	National Committee for Quality Assurance	4040-0001	6,126	-
		1,164,779	34,934			1,199,713	100,253
National Center on Sleep Disorders Research	93.233	495,730	-			495,730	-
National Center on Sleep Disorders Research	93.233	-	70,099	Columbia University	1 (GG015006-04)	70,099	-
		495,730	70,099			565,829	-
Collaborative Research: CRCNS Research Proposal: Neural Basis of Planning	93.242	-	83,986	Johns Hopkins University	2004361458 A01	83,986	-
Development and validation of empirical models of the neuronal population activity underlying non-invasive human brain measurements	93.242	-	108,170	Utrecht University	1R01MH111417-01-1_AMD 6	108,170	-
Integrating and Separating Information Sequences in the Human Cerebral Cortex	93.242	-	16,760	Johns Hopkins University	2004845715	16,760	-
Medial Temporal Lobe Contributions to Episodic Memory	93.242	-	20,429	Columbia University	Subcontract #: 1(GG015615) (R01MH074692-13)AMD-01	20,429	-
Mental Health Research Grants	93.242	15,302,753	-			15,302,753	3,921,400
Mental Health Research Grants	93.242	-	75,276	Yale University	GR107130 (CON-80001851)	75,276	-
Mental Health Research Grants	93.242	-	25,999	Yale University	GK000687 (CON-80000630)	25,999	-
Mental Health Research Grants	93.242	-	30,330	University of Pittsburgh Medical Center	AWD00003551 (135683-1)	30,330	-
Mental Health Research Grants	93.242	-	55,430	Princeton University	SU80000199	55,430	-
Mental Health Research Grants	93.242	-	12,060	Brown University	00001444	12,060	-
Mental Health Research Grants	93.242	-	78,770	University Medical Center Utrecht	5R01MH111417-02-2	78,770	-
Mental Health Research Grants	93.242	-	61,384	Washington University	WU-20-233-MOD-1	61,384	-
Mental Health Research Grants	93.242	-	30,939	Washington University	WU-21-128	30,939	-
Mental Health Research Grants	93.242	-	(6,961)	Weill Medical College of Cornell University	200588	(6,961)	-
Mental Health Research Grants	93.242	-	268,670	University of Minnesota	N006784001	268,670	-
Mental Health Research Grants	93.242	-	17,734	Research Foundation for Mental Hygiene Inc.	19-A0-00-1002259	17,734	-
Mental Health Research Grants	93.242	-	182,536	Massachusetts Institute of Technology	S4714	182,536	-
Mental Health Research Grants	93.242	-	94,189	Icahn School of Medicine at Mount Sinai	0255-4091-4609	94,189	-
Mental Health Research Grants	93.242	-	82,916	Washington University/St. Louis School of Medicine	WU-21-103	82,916	-
Mental Health Research Grants	93.242	-	13,607	Child Mind Institute	7R01MH105506 Sub N2	13,607	-
Mental Health Research Grants	93.242	-	16,971	Child Mind Institute	5R01MH115363-03 SubN 1	16,971	-
Mental Health Research Grants	93.242	-	62,076	Public Health Foundation Enterprises	19-A0-00-1002027	62,076	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Mental Health Research Grants	93.242	-	23,358	University of Illinois at Chicago	17716	23,358	-
Mental Health Research Grants	93.242	-	160,251	Hunter College	CM00003379	160,251	-
Mental Health Research Grants	93.242	-	69,008	Yale School of Medicine	GR 108340 (CON-80002129)	69,008	-
Mental Health Research Grants	93.242	-	97,522	University of North Carolina at Chapel Hill	5119197	97,522	-
Mental Health Research Grants	93.242	-	133,232	Pennsylvania State University	NYUMH124605	133,232	-
Mental Health Research Grants	93.242	-	37,164	Northern Illinois University	G1A62768-1	37,164	-
Mental Health Research Grants	93.242	191,859	-			191,859	-
Mental Health Research Grants	93.242	308,379	-			308,379	119,911
Mental Health Research Grants	93.242	126,730	-			126,730	-
Mental Health Research Grants	93.242	178,449	-			178,449	110,233
Mental Health Research Grants	93.242	214,297	-			214,297	500
Mental Health Research Grants	93.242	10,627	-			10,627	-
Mental Health Research Grants	93.242	259,363	-			259,363	-
Mental Health Research Grants	93.242	266,108	-			266,108	-
Mental Health Research Grants	93.242	564	-			564	-
Mental Health Research Grants	93.242	109,461	-			109,461	-
Mental Health Research Grants	93.242	18,730	-			18,730	-
Mental Health Research Grants	93.242	121,826	-			121,826	-
Mental Health Research Grants	93.242	262,357	-			262,357	89,068
COVID-19 Mental Health Research Grants	93.242	82,923	-			82,923	-
Mental Health Research Grants	93.242	344,468	-			344,468	332,259
Mental Health Research Grants	93.242	177,539	-			177,539	21
Mental Health Research Grants	93.242	288,372	-			288,372	-
Mental Health Research Grants	93.242	222,671	-			222,671	-
Mental Health Research Grants	93.242	22,956	-			22,956	-
Mental Health Research Grants	93.242	700,495	-			700,495	-
Mental Health Research Grants	93.242	587,292	-			587,292	-
Mental Health Research Grants	93.242	32,940	-			32,940	-
Molecular mechanisms of memory maintenance and dysfunction in neural circuits	93.242	-	266,893	Downstate Medical Center (SUNY)	100-1147125-81588 A02	266,893	-
MRI based presymptomatic prediction of ASD	93.242	-	14,951	The Washington University	WU-19-413 MOD 2	14,951	-
Netting prevention intervention butterfly effects: An integrative data analysis investigating the long-term and cross-over effects of randomized school-based prevention programs on adult mental health	93.242	-	52,681	Johns Hopkins University	2004660765 Amend 2	52,681	-
Neural Dynamics of Human Working Memory Networks	93.242	-	32,357	The Regents of the University of California	9419	32,357	-
Neural signatures of outcome in preschoolers with autism	93.242	-	30,456	Child Mind Institute Inc.	5R01MH115363 Sub N4 Amd 2	30,456	-
Neural substrates of deficits in naturalistic social cognition in schizophrenia	93.242	-	52,768	Research Foundation for Mental Hygiene, Inc.	PO 148855 (R01MH123639-01)_AMD 1	52,768	-
Optical Control of Neuromodulatory GPCR's	93.242	-	444,547	The Regents of the University of California	Agreement dated 2021-11-09	444,547	-
Reducing Serious Mental Illness and Suicide Stigma Behaviors Among Medical Students	93.242	-	19,217	Ponce Medical School Foundation Inc.	8571	19,217	-
Training for Scientists Conducting Research to Reduce HIV/AIDS Health Disparities	93.242	-	850	University of California San Francisco	12239sc	850	-
TYPE A: African Regional Research Partnerships for Scaling Up Child Mental Health EBPS	93.242	-	85,428	Washington University In St. Louis (WUSTL)	WU-21-269	85,428	-
TYPE A: CRCNS US-Israel Research Proposal: Computational Phenotyping of Decision Making in Adolescent Psychopathology	93.242	-	94,874	Princeton University	SUB0000484_001	94,874	-
TYPE A: Kyaterekera Project: A Combination Intervention Addressing Sexual Risk-Taking Behaviors Among Vulnerable Women in Uganda	93.242	-	29,413	Washington University In St. Louis (WUSTL)	WU-19-202- MOD 2	29,413	-
TYPE A: OnTrackChile for First Episode Psychosis	93.242	-	29,934	Universidad De O'Higgins	5R01MH115502-01	29,934	-
TYPE A: SUUBI4HER: A Combination Intervention Addressing HIV Risk Behaviors Among Older Adolescent Girls Transitioning into Adulthood in Uganda	93.242	-	24,338	Washington University in St. Louis	WU-19-191 MOD 2	24,338	-
		19,811,159	3,030,513			# 22,841,672	4,573,392
Bridging the Gap Program	93.243	-	39,999	Jewish Board of Family and Children's Services	N/A	39,999	-
BTC MAT Project Evaluation	93.243	-	4,666	New York State Unified Court System	C250599 Amendment 3	4,666	-
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243	1,079,946	-			1,079,946	24,307
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243	-	19,318	University of Connecticut	UCHC7-137481591-A5	19,318	-

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### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243	-	61,752	University of Connecticut	UCHC7-137475441-A6	61,752	-
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243	-	15,397	Research Foundation for Mental Hygiene Inc.	150458	15,397	-
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243	-	52,208	Richmond University Medical Center	20-A0-00-1005530	52,208	-
		<u>1,079,946</u>	<u>193,340</u>			<u>1,273,286</u>	<u>24,307</u>
Advanced Nursing Education Workforce Grant Program	93.247	-	-			7,467	-
		<u>7,467</u>	<u>-</u>			<u>7,467</u>	<u>-</u>
Exploring Multilevel Factors Impacting Quality of Life in Working							
Young Adult Hematological Cancer Survivors: A Mixed Methods Study	93.262	-	3,565	Icahn School of Medicine at Mount Sinai	0253-6530-4609	3,565	-
NIOSH (Region II) Education Resource Center	93.262	-	171,293	Icahn School of Medicine at Mount Sinai	0253-6536-4609 Amendment No 7	171,293	-
Occupational Safety and Health Education and Research Centers (T42) - Nursing	93.262	-	5,713	Icahn School of Medicine at Mount Sinai	0253-7131-4609	5,713	-
Occupational Safety and Health Program	93.262	5,395,687	-			5,395,687	577,331
Occupational Safety and Health Program	93.262	-	74,412	Icahn School of Medicine at Mount Sinai	0253-6530-4609	74,412	-
Occupational Safety and Health Program	93.262	-	43,590	Icahn School of Medicine at Mount Sinai	0254-8033-4609	43,590	-
Occupational Safety and Health Program	93.262	-	(22,118)	University of Pittsburgh	CNVA00053367 (131632-1)	(22,118)	-
Occupational Safety and Health Program	93.262	-	36	Ohio State University	60078037	36	-
COVID-19 Occupational Safety and Health Program	93.262	162,966	-			162,966	-
COVID-19 Occupational Safety and Health Program	93.262	-	18,616	Boston Children's Hospital	75D30120C07725	18,616	-
		<u>5,558,653</u>	<u>295,107</u>			<u>5,853,760</u>	<u>577,331</u>
Health Systems Strengthening and HIV/AIDS Prevention, Care and							
Treatment under the President's Emergency Plan for AIDS Relief	93.266	102,601	-			102,601	75,520
Resilient and Responsive Health Systems (RRHS) Initiative	93.266	-	288,412	Brigham and Women's Hospital	116337 Amendmet 12	288,412	30,000
		<u>102,601</u>	<u>288,412</u>			<u>391,013</u>	<u>105,520</u>
Analyzing Sequential Multiple Assignment Randomized Trials in the Presence of Partial Compliance	93.270	-	32,624	University of Rochester	417702G/URFAO:GR511033 YEAR 3	32,624	-
		<u>-</u>	<u>32,624</u>			<u>32,624</u>	<u>-</u>
Alcohol Research Programs	93.273	3,423,125	-			3,423,125	652,439
Alcohol Research Programs	93.273	-	327,815	Columbia University	1 (GG013596-01)	327,815	-
Alcohol Research Programs	93.273	-	22,020	Research Foundation for Mental Hygiene Inc.	149979	22,020	-
Alcohol Research Programs	93.273	66,633	-			66,633	59,847
TYPE C: Calibrated Agent Simulations for Combined Analysis of Drinking Etiologies (CASCADE)	93.273	-	32,960	University of Sheffield	5R01AA024443-04 SUB03 NYU	32,960	-
		<u>3,489,758</u>	<u>382,795</u>			<u>3,872,553</u>	<u>712,286</u>
Center for Complex Data to Knowledge in Drug Abuse and HIV Behavioral Science	93.279	-	74,535	Pennsylvania State University	S001144-DHHS	74,535	-
CHASE: An Innovative County-Level Public Health Response to the Opioid Epidemic in New York State	93.279	-	4,446	Columbia University	1(GG015428-05)	4,446	-
CHASE: An Innovative County-Level Public Health Response to the Opioid Epidemic in New York State	93.279	-	26,796	Columbia University	1(GG015428-03)	26,796	-
Cocaine and Material Behavior: Effects on Trajectory of Infant Brain Development	93.279	-	73,678	University of North Carolina at Chapel Hill	5104776 Amd No. 2	73,678	-
DAT 18-06 Feasibility and Acceptability of HIV HCV and Opioid Use Disorder Services in Syringe Service Programs	93.279	-	190,569	Weill Medical College of Cornell University	205005-2	190,569	-
DAT 18-06 Feasibility and Acceptability of HIV HCV and Opioid Use Disorder Services in Syringe Service Programs	93.279	-	11,161	Weill Medical College of Cornell University	5R01DA027379-09	11,161	-
Defining the impact of injection drug use on antiretroviral therapy and HIV treatment outcomes: an (epi)genomic approach	93.279	-	59,239	Yale University	GR104754 (CON-80001624) Amendment 2	59,239	-
Developing a public health measure of built environment to assess risk of nonmedical opioid use and related mortality in urban and non-urban areas in New Jersey	93.279	-	2,940	National Development and Research Institutes, Inc.	Project 662B00 (R21DA046739)	2,940	-
COVID-19 Drug Abuse and Addiction Research Programs	93.279	21,511	-			21,511	-
Drug Abuse and Addiction Research Programs	93.279	23,115,461	-			23,115,461	10,600,647
Drug Abuse and Addiction Research Programs	93.279	-	21,030	Columbia University	1(GG014271-01)	21,030	-
Drug Abuse and Addiction Research Programs	93.279	-	92,573	Columbia University	06(GG015428-03)	92,573	-
Drug Abuse and Addiction Research Programs	93.279	-	35,480	University of Chicago	AWD100228 (SUB00000245)	35,480	-
Drug Abuse and Addiction Research Programs	93.279	-	24,054	University of Chicago	AWD0662288 (SUB00000091)	24,054	-

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### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Drug Abuse and Addiction Research Programs	93.279	-	169,802	Brown University	00001568 / 00001630	169,802	-
Drug Abuse and Addiction Research Programs	93.279	-	625,767	University of California Los Angeles	1557 G WC495	625,767	-
Drug Abuse and Addiction Research Programs	93.279	-	77,408	Research Foundation of CUNY	CM00003301	77,408	-
Drug Abuse and Addiction Research Programs	93.279	-	15,362	University of California, Davis	A18-0560-S002	15,362	-
Drug Abuse and Addiction Research Programs	93.279	-	45,325	Research Foundation for Mental Hygiene Inc.	903-9014A_TIQR 19950	45,325	-
Drug Abuse and Addiction Research Programs	93.279	-	93,981	Nathan S. Kline Institute for Psychiatric Research	26746	93,981	-
Drug Abuse and Addiction Research Programs	93.279	-	54,164	University of Florida	SUB00002610	54,164	-
Drug Abuse and Addiction Research Programs	93.279	-	59,153	George Mason University	E2052492	59,153	-
Drug Abuse and Addiction Research Programs	93.279	-	140,954	Geneceptrix, Inc.	19-A0-00-1003202	140,954	-
Drug Abuse and Addiction Research Programs	93.279	-	32,812	University of Rhode Island	0006817/111219	32,812	-
Drug Abuse and Addiction Research Programs	93.279	-	112,343	Sensodx II, LLC	20-A0-00-1003932	112,343	-
Drug Abuse and Addiction Research Programs	93.279	-	-	Center on Addiction	3680	-	-
Drug Abuse and Addiction Research Programs	93.279	-	-	Center on Addiction	20-A0-00-1005274	-	-
Drug Abuse and Addiction Research Programs	93.279	-	454	The Miriam Hospital	7147185AMB	454	-
Drug Abuse and Addiction Research Programs	93.279	-	271,826	Hennepin Healthcare Research Institute	5312-6	271,826	-
COVID-19 Drug Abuse and Addiction Research Programs	93.279	254,483	-	-	-	254,483	-
COVID-19 Drug Abuse and Addiction Research Programs	93.279	-	20,334	University of Florida	SUB00002610	20,334	-
Drug Abuse and Addiction Research Programs	93.279	70,852	-	-	-	70,852	-
Drug Abuse and Addiction Research Programs	93.279	82,628	-	-	-	82,628	-
Drug Abuse and Addiction Research Programs	93.279	76,292	-	-	-	76,292	-
Drug Abuse and Addiction Research Programs	93.279	87,744	-	-	-	87,744	-
Drug Abuse and Addiction Research Programs	93.279	(4,608)	-	-	-	(4,608)	-
Drug Abuse and Addiction Research Programs	93.279	37,118	-	-	-	37,118	-
Drug Abuse and Addiction Research Programs	93.279	82,691	-	-	-	82,691	-
Drug Abuse and Addiction Research Programs	93.279	(1,461)	-	-	-	(1,461)	-
Drug Abuse and Addiction Research Programs	93.279	54,691	-	-	-	54,691	-
Drug Abuse and Addiction Research Programs	93.279	95,754	-	-	-	95,754	-
Drug Abuse and Addiction Research Programs	93.279	50,833	-	-	-	50,833	-
Drug Abuse and Addiction Research Programs	93.279	827	-	-	-	827	-
Drug Abuse and Addiction Research Programs	93.279	36,097	-	-	-	36,097	-
Drug Abuse and Addiction Research Programs	93.279	46,365	-	-	-	46,365	-
Drug Abuse and Addiction Research Programs	93.279	131,471	-	-	-	131,471	-
Drug Abuse and Addiction Research Programs	93.279	872,500	-	-	-	872,500	123,122
Drug Abuse and Addiction Research Programs	93.279	23,289	-	-	-	23,289	-
Drug Abuse and Addiction Research Programs	93.279	123,724	-	-	-	123,724	-
Drug Abuse and Addiction Research Programs	93.279	1,643	-	-	-	1,643	-
Drug Abuse and Addiction Research Programs	93.279	59,270	-	-	-	59,270	43,724
Drug Abuse and Addiction Research Programs	93.279	333,037	-	-	-	333,037	87,430
COVID-19 Drug Abuse and Addiction Research Programs	93.279	856,863	-	-	-	856,863	34,996
Drug Abuse and Addiction Research Programs	93.279	656,182	-	-	-	656,182	140,535
Drug Abuse and Addiction Research Programs	93.279	553,974	-	-	-	553,974	14,389
Drug Abuse and Addiction Research Programs	93.279	377,182	-	-	-	377,182	16,910
Drug Abuse and Addiction Research Programs	93.279	451,146	-	-	-	451,146	290,583
Drug Abuse and Addiction Research Programs	93.279	535,288	-	-	-	535,288	138,820
Drug Abuse and Addiction Research Programs	93.279	962,202	-	-	-	962,202	75,053
Drug Abuse and Addiction Research Programs	93.279	530,519	-	-	-	530,519	310,110
Estimating the Population Size of Persons Who Inject Drugs in New York	93.279	-	6,901	Georgia State University	SP00014333-02 Year 5	6,901	-
Feature selection of DNA methylation biosignatures for neuropathy with comorbid drug abuse in the setting of HIV infection	93.279	-	115,154	Yale University	GR104440 (CON-80001625) Amd 2	115,154	-
Gene Network Identification and Integration (GNetII) Approach to Understanding the Biology Underlying HIV and Drug Abuse	93.279	-	33,088	RTI International	2-312-0217653-66169L	33,088	-
Genetically-Targeted Photo-Pharmacology for Native Opioid Receptors	93.279	-	195,949	Weill Medical College of Cornell University	1R61DA051529-01	195,949	-
In vivo and in vitro study of THC-induced immunogenome changes at single cell resolution in HIV-infected humans	93.279	-	34,257	Yale University	GR110961 (CON-80002662)	34,257	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Kentucky CAN HEAL (Communities and Networks Helping End Addiction Long-term)	93.279	-	10,888	University of Kentucky	3210001561-21-297	10,888	-
Kentucky CAN HEAL (Communities and Networks Helping End Addiction Long-term)	93.279	-	32,363	University of Kentucky	3210001561-20-273	32,363	-
Rural Comorbidity and HIV Consequences of Opioid Use Research and Treatment Initiative (Rural Cohort)	93.279	-	18,101	University of Washington	UWSC11152 Yr 3 (Amd 2)	18,101	-
Rural Comorbidity and HIV Consequences of Opioid Use Research and Treatment Initiative (Rural Cohort)	93.279	-	67,756	University of Washington	UWSC11152 Amendment 1 - PO 47657	67,756	-
STTR Phase II: Next Generation Tools for Onsite Monitoring and Treatment of Drug of Abuse-Dependent Persons	93.279	-	211,237	Sensodx II LLC	25-67180-S0821	211,237	-
Substance use and DNA methylation at the intersection of sex and gender	93.279	-	29,883	University of California, San Francisco	12627sc Amend 01	29,883	-
Using Omics to Understand the Effects of Drug Abuse on HIV Latent Reservoir	93.279	-	259,978	RTI International	3-312-0216573-65366L Mod No. 2	259,978	-
		30,575,568	3,351,741			33,927,309	11,876,319
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.283	-	8,561	Emory University	A385972	8,561	-
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.283	-	7,302	Stony Brook University	20-A0-00-1005718	7,302	-
		-	15,863			15,863	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	6,880,038	-			6,880,038	358,288
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	73,716	Regents of the University of Minnesota	N006269303	73,716	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	7,521	Riverside Research Institute	NYO.1187.00057.16	7,521	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	15,176	Massachusetts General Hospital	233327	15,176	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	-	22,719	Children's Research Institute	30004680-04	22,719	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	101,298	-			101,298	-
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	-	27,174	Stony Brook University (SUNY)	803962/1144497 Amendment 2	27,174	-
Shape Analysis Toolbox for Medical Image Computing Projects	93.286	-	7,881	Kitware Inc.	K001687-00-S02 Mod 04	7,881	-
		6,981,336	154,187			7,135,523	358,288
Mechanisms of Health Promotion in Diverse Youth Through Gay-Straight Alliances	93.307	-	3,421	Boston College	5102111-01 Amd 05	3,421	-
Minority Health and Health Disparities Research	93.307	43,745	-			43,745	-
Minority Health and Health Disparities Research	93.307	410,687	-			410,687	38,798
Minority Health and Health Disparities Research	93.307	5,199,250	-			5,199,250	1,367,342
Minority Health and Health Disparities Research	93.307	-	24,405	Columbia University	4(GG014329-02)	24,405	-
Minority Health and Health Disparities Research	93.307	-	139,651	University of California Los Angeles	1557 G UB690	139,651	-
Minority Health and Health Disparities Research	93.307	-	21,800	Rand Corporation	SCON-00000078	21,800	-
Minority Health and Health Disparities Research	93.307	-	20,020	Rand Corporation	SCON-00000366	20,020	-
COVID-19 Minority Health and Health Disparities Research	93.307	221,816	-			221,816	40,000
Multilevel Determinants of HIV Pre-Exposure Prophylaxis (Prep) Utilization and Health Disparities Among Black and Hispanic Women	93.307	-	118,924	University of Rochester	417573G / UR FAO GR510923 Amd 2	118,924	-
Racial and Ethnic Disparities in Chronic Disease Outcomes and Nurse Practitioner	93.307	-	26,677	Columbia University	1(GG012238-01) Amd 03	26,677	-
Using agent-based modeling to compare strategies that can reduce rural-urban disparities in cardiovascular disease	93.307	-	20,627	University of Georgia	SUB00002058 Amd 1	20,627	-
		5,875,498	375,525			6,251,023	1,446,140
Trans-NIH Research Support	93.310	1,955	-			1,955	-
Trans-NIH Research Support	93.310	177,605	-			177,605	96,968
Trans-NIH Research Support	93.310	403,965	-			403,965	-
Trans-NIH Research Support	93.310	16,732,499	-			16,732,499	4,121,193
Trans-NIH Research Support	93.310	-	(75,202)	Duke Clinical Research Institute	203-7965	(75,202)	-
Trans-NIH Research Support	93.310	-	35,019	Medical University of South Carolina	A00-2818-S007	35,019	-
Trans-NIH Research Support	93.310	-	45,035	Oregon Health & Science University	1014493_NYU	45,035	-
Trans-NIH Research Support	93.310	-	112,329	Narrows Institute for Biomedical Research	19-A0-00-1002521	112,329	-
Trans-NIH Research Support	93.310	-	111,362	Duke University	A03-3801	111,362	-
Trans-NIH Research Support	93.310	-	26,880	Duke University	2037934	26,880	-
Trans-NIH Research Support	93.310	-	3,070	Connecticut Children's Medical Center	21-181040-03	3,070	-
COVID-19 Trans-NIH Research Support	93.310	599,228	-			599,228	382,933
		17,915,252	258,493			18,173,745	4,601,094

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Emerging Infections Programs	93.317	-	331	Eastern Virginia Medical School	S270141-25	331	-
Validity and Utility of the National Health Security Index for Public Health Preparedness	93.317	-	83	University of Kentucky Research Foundation	3200002270-19-181	83	-
		-	414			414	-
The Healthy Brain Initiative: Technical Assistance to Implement Public Health Actions related to Cognitive Health, Cognitive Impairment, and Caregiving at the State and Local Levels	93.334	392,848	-			392,848	-
		392,848	-			392,848	-
BU-CMD Chemical Library Consortium: Fostering Collaborations between Chemists and Biologists for Translational Discovery	93.350	-	31,054	Boston University	4500003824	31,054	-
National Center for Advancing Translational Sciences	93.350	5,481,360	-			5,481,360	277,183
National Center for Advancing Translational Sciences	93.350	-	34,164	University of Pittsburgh	AWD00000243 (134445-28)	34,164	-
COVID-19 National Center for Advancing Translational Sciences	93.350	5,828,849	-			5,828,849	1,788,801
COVID-19 National Center for Advancing Translational Sciences	93.350	-	691,217	Albert Einstein College of Medicine	311784	691,217	-
SBIR Phase II: Instrument for Holographic Characterization of Protein Aggregates	93.350	-	30,828	Spheryx Inc.	2R44TR001590-02	30,828	-
SBIR Phase II: Instrument for Holographic Characterization of Protein Aggregates	93.350	-	58,177	Spheryx Inc.	1 A01	58,177	-
		11,310,209	845,440			12,155,649	2,065,984
Seahorse XFe24 Extracellular Flux Analyzer	93.351	176,755	-			176,755	-
		176,755	-			176,755	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	237,971	Dana-Farber Cancer Center	1244309	237,971	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	416,739	Dana-Farber Cancer Center	1205903	416,739	-
21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	352,084	University of Utah	10048536-01	352,084	-
COVID-19 21st Century Cures Act - Beau Biden Cancer Moonshot	93.353	-	81,778	University of Utah	10048536-01	81,778	-
		-	1,088,572			1,088,572	-
COVID-19 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development	93.360	-	37,277	Duke University	116	37,277	-
		-	37,277			37,277	-
Family Spending after Hospice Enrollment: A Population-Based Study	93.361	-	9,496	Icahn School of Medicine at Mount Sinai	0255-C121-4609 - Amend2	9,496	-
Family Spending after Hospice Enrollment: A Population-Based Study	93.361	-	22,323	Icahn School of Medicine at Mount Sinai	0255-C121-4609 Amendment 1	22,323	-
Nursing Research	93.361	155,983	-			155,983	-
Nursing Research	93.361	505,288	-			505,288	-
Nursing Research	93.361	27	-			27	-
Nursing Research	93.361	248,577	-			248,577	-
Nursing Research	93.361	225,844	-			225,844	21,842
Nursing Research	93.361	55,362	-			55,362	-
Nursing Research	93.361	(158)	-			(158)	-
Nursing Research	93.361	91,841	-			91,841	-
Nursing Research	93.361	273,873	-			273,873	-
Nursing Research	93.361	696,809	-			696,809	54,223
Nursing Research	93.361	-	5,665	University of Florida	UFDSP00012171	5,665	-
Severe Maternal Morbidity: An Investigation of Racial-Ethnic Disparities Social Disadvantage & Maternal Weight	93.361	-	27,862	Stanford University	62080080-125082 Amendment 1	27,862	-
		2,253,446	65,346			2,318,792	76,065
A novel point of care test for oral and oropharyngeal cancer risk	93.393	-	30,915	University of California San Diego	86288856 (S9001612) Amendment 003	30,915	-
Beyond demographics: Mixed-methods research for effective communication tools to prevent tobacco use in Hispanic adolescents and young adults	93.393	-	18,468	Johns Hopkins University	2004278503 Amd 01	18,468	-
Cancer Cause and Prevention Research	93.393	374	-			374	-
Cancer Cause and Prevention Research	93.393	23,731	-			23,731	-
Cancer Cause and Prevention Research	93.393	31,812	-			31,812	-
Cancer Cause and Prevention Research	93.393	408,594	-			408,594	150,635
Cancer Cause and Prevention Research	93.393	8,639,224	-			8,639,224	797,027
Cancer Cause and Prevention Research	93.393	-	25,987	Harvard University	117202-5104484	25,987	-
Cancer Cause and Prevention Research	93.393	-	(26,246)	Johns Hopkins University	2003033859	(26,246)	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Cancer Cause and Prevention Research	93.393	-	54,958	Sloan Kettering Institute for Cancer Research	BD519869	54,958	-
Cancer Cause and Prevention Research	93.393	-	175,406	University of New Mexico	3RCQ4	175,406	-
Cancer Cause and Prevention Research	93.393	-	16,507	Fred Hutchinson Cancer Research Center	0001013122	16,507	-
Cancer Cause and Prevention Research	93.393	-	9,082	Rockefeller University	SUB00000143	9,082	-
Cancer Cause and Prevention Research	93.393	-	8,817	Case Western Reserve University	RES513827	8,817	-
Cancer Cause and Prevention Research	93.393	-	50,280	New York-Presbyterian/Weill Cornell Medical Center	212342	50,280	-
Cancer Cause and Prevention Research	93.393	-	350,969	University of North Carolina at Chapel Hill	5118235	350,969	-
COVID-19 Cancer Cause and Prevention Research	93.393	1,356,091	-			1,356,091	-
Chemoprevention by Black Raspberry of Oral Cancer Induced by Tobacco Carcinogens: Translational Studies	93.393	-	135,549	Pennsylvania State University	2R01CA173465-06A1	135,549	-
Digital Media for Cancer Control: Randomized Controlled Evaluation and Dose Response Effects	93.393	-	47,323	George Washington University	20-M119 Yr 2	47,323	-
Enhancing Self Care Among Oral Cancer Survivors: The Empowered Survivor Trial	93.393	-	16,092	Rutgers University	1367	16,092	-
Optimized Chronic Care for Smokers: Developing and Implementing Integrated Clinical and Systems Interventions in Primary Care	93.393	-	62,674	University of Wisconsin Madison	000000901 Mod 1	62,674	-
Optimizing Tobacco Treatment for Smokers Seeking Lung Cancer Screening	93.393	-	39,621	Memorial Sloan Kettering Cancer Center	BD521545D 5 R01 CA207442-04	39,621	-
Optimizing Tobacco Treatment for Smokers Seeking Lung Cancer Screening	93.393	-	30,491	Memorial Sloan Kettering Cancer Center	5 R01 CA207442-05	30,491	-
Sensory Cue Integration in Melanoma Screening	93.393	-	17,110	The Rockefeller University	SUB00000142	17,110	-
Using natural language processing and crowdsourcing to monitor and evaluate public information and communication disparities about colon cancer screening	93.393	-	1,680	Iowa State University	023864A Mod 3	1,680	-
		<u>10,459,826</u>	<u>1,065,683</u>			<u>11,525,509</u>	<u>947,662</u>
Cancer Detection and Diagnosis Research	93.394	4,966,364	-			4,966,364	818,263
Cancer Detection and Diagnosis Research	93.394	-	22,519	Johns Hopkins University	2002983896	22,519	-
Cancer Detection and Diagnosis Research	93.394	-	87,173	Johns Hopkins University	2004249337	87,173	-
Cancer Detection and Diagnosis Research	93.394	-	5,202	Boston University	450003465	5,202	-
Cancer Detection and Diagnosis Research	93.394	-	12,027	University of Texas Southwestern Medical	GMO: 210504	12,027	-
COVID-19 Cancer Detection and Diagnosis Research	93.394	112,429	-			112,429	-
		<u>5,078,793</u>	<u>126,921</u>			<u>5,205,714</u>	<u>818,263</u>
Cancer Initiating Cells and Treatment Resistance	93.395	-	82,988	Case Western Reserve University	RES513824 Amendment 2	82,988	-
Cancer prevention through neural and geospatial examination of tobacco marketing effects in smokers	93.395	-	13,367	University of Pennsylvania	576794 Amd 1	13,367	-
Cancer Treatment Research	93.395	469,923	-			469,923	174,096
Cancer Treatment Research	93.395	416,371	-			416,371	-
Cancer Treatment Research	93.395	471,995	-			471,995	249,595
Cancer Treatment Research	93.395	6,941,366	-			6,941,366	483,864
Cancer Treatment Research	93.395	-	2,691	The Children's Hospital of Philadelphia	BIQSPF-AALL1131 11XS	2,691	-
Cancer Treatment Research	93.395	-	30,517	The Children's Hospital of Philadelphia	15221_SUB868_01	30,517	-
Cancer Treatment Research	93.395	-	5,279	The Children's Hospital of Philadelphia	FP00026529_SUB97_01	5,279	-
Cancer Treatment Research	93.395	-	381	The Children's Hospital of Philadelphia	FP00026529_SUB272_01	381	-
Cancer Treatment Research	93.395	-	24,750	The Children's Hospital of Philadelphia	14-WH-CN-100021	24,750	-
Cancer Treatment Research	93.395	-	(6,698)	Eastern Cooperative Oncology Group Ecog	U10CA180820-01-NYU1	(6,698)	-
Cancer Treatment Research	93.395	-	306,459	Eastern Cooperative Oncology Group Ecog	U10CA180820-06-NYU1A	306,459	-
Cancer Treatment Research	93.395	-	158,245	MD Anderson Cancer Center	3001163724	158,245	-
Cancer Treatment Research	93.395	-	446,334	MD Anderson Cancer Center	3001544835	446,334	-
Cancer Treatment Research	93.395	-	256,225	Dana-Farber Cancer Center	1288103	256,225	-
Cancer Treatment Research	93.395	-	282,792	Medical University of South Carolina	A00-3465-S001	282,792	-
Cancer Treatment Research	93.395	-	295,260	Massachusetts General Hospital	233272	295,260	-
Cancer Treatment Research	93.395	-	202,590	Massachusetts General Hospital	#227583	202,590	-
Cancer Treatment Research	93.395	-	353,897	Boston Children's Hospital	GENFD0002027145	353,897	-
Cancer Treatment Research	93.395	-	541	Research Foundation of SUNY	02-WH-CN-100032	541	-
Cancer Treatment Research	93.395	-	(11,210)	Case Western Reserve University	27469-123	(11,210)	-
Cancer Treatment Research	93.395	-	46,036	New York-Presbyterian/Weill Cornell Medical Center	212626	46,036	-
Cancer Treatment Research	93.395	-	110,896	NRG Oncology	2021-001	110,896	-
Cancer Treatment Research	93.395	-	485,806	Cynvec LLC	19-A0-00-1003874	485,806	-
COVID-19 Cancer Treatment Research	93.395	514,743	-			514,743	36,858
STTR Phase I: Modulation of the gut microbiome to enhance efficacy of immunotherapy in pancreatic adenocarcinoma	93.395	-	87,833	Perionics Care LLC	1R41CA250892-01	87,833	-
		<u>8,814,398</u>	<u>3,174,979</u>			<u>11,989,377</u>	<u>944,413</u>

The accompanying notes are an integral part of this schedule



# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Cancer Biology Research	93.396	488,077	-			488,077	-
Cancer Biology Research	93.396	173,629	-			173,629	-
Cancer Biology Research	93.396	11,503,911	-			11,503,911	1,260,891
Cancer Biology Research	93.396	-	86,348	Columbia University	C1(GG013650-08)-PROJECT 3	86,348	-
Cancer Biology Research	93.396	-	10,384	Rutgers University	1724	10,384	-
Cancer Biology Research	93.396	-	86,063	Icahn School of Medicine at Mount Sinai	0255-1661-4609	86,063	-
Cancer Biology Research	93.396	-	(44)	Johns Hopkins University	2003133697	(44)	-
Cancer Biology Research	93.396	-	5,171	University of California San Francisco	12695sc	5,171	-
Cancer Biology Research	93.396	-	273,192	Memorial Sloan Kettering Cancer Center	BD520651D	273,192	-
Cancer Biology Research	93.396	-	275,183	Memorial Sloan Kettering Cancer Center	BD523773D	275,183	-
Cancer Biology Research	93.396	-	372,992	Memorial Sloan Kettering Cancer Center	BD527119A	372,992	-
Cancer Biology Research	93.396	-	261,078	Georgia Tech Research Corporation	AWD-101351-G1	261,078	-
Cancer Biology Research	93.396	-	138,069	MD Anderson Cancer Center	00005152	138,069	-
Cancer Biology Research	93.396	-	44,655	MD Anderson Cancer Center	3001751142	44,655	-
Cancer Biology Research	93.396	-	10,509	University of California Los Angeles	0865 G YB606	10,509	-
Cancer Biology Research	93.396	-	243,999	Dana-Farber Cancer Center	1198610	243,999	-
		<u>12,165,617</u>	<u>1,807,599</u>			<u>13,973,216</u>	<u>1,260,891</u>
Cancer Centers Support Grants	93.397	5,357,368	-			5,357,368	-
Einstein/Rwanda/DRC Research Consortium in HIV/HPV related malignancies	93.397	-	36,022	Albert Einstein College of Medicine	311883.311879 - P0818025	36,022	-
Einstein/Rwanda/DRC Research Consortium in HIV/HPV related malignancies.	93.397	-	15,297	Albert Einstein College of Medicine	311958	15,297	-
Topology of Cancer Evolution and Heterogeneity	93.397	-	1,491	Columbia University	3(GG010188-62) - 3 NCE - Education Core	1,491	-
		<u>5,357,368</u>	<u>52,810</u>			<u>5,410,178</u>	-
Cancer Research Manpower	93.398	1,897,449	-			1,897,449	-
Cancer Research Manpower	93.398	-	146,526	H Lee Moffitt Cancer Center & Research Institute	10-18711-05-01-G3	146,526	-
		<u>1,897,449</u>	<u>146,526</u>			<u>2,043,975</u>	-
Cancer Control	93.399	1,876,957	-			1,876,957	296,668
Cancer Control	93.399	-	99,280	Luna, Inc.	3483.02NYU	99,280	-
Cancer Control	93.399	-	93,889	Case Western Reserve University	20-A0-00-070834	93,889	-
Cancer Control	93.399	-	72,124	NRG Oncology	NCORP-Levine-GY6	72,124	-
		<u>1,876,957</u>	<u>265,293</u>			<u>2,142,250</u>	<u>296,668</u>
Centers for Disease Control and Prevention_Public Health Systems and Services	93.421	-	99,368	Asian/Pacific Islander American Health Forum	CSAAH-IPC-2020	99,368	-
Centers for Disease Control and Prevention_Public Health Systems and Services	93.421	-	2,140	Kognito Solutions LLC	20-A0-00-1004269	2,140	-
COVID-19 Centers for Disease Control and Prevention_Public Health Systems and Services	93.421	-	290,927	Asian/Pacific Islander American Health Forum	20-A0-00-1005825	290,927	-
COVID-19 Centers for Disease Control and Prevention_Public Health Systems and Services	93.421	-	81,460	The Task Force for Global Health, Inc.	PO 3837	81,460	-
		-	<u>473,895</u>			<u>473,895</u>	-
ACL National Institute on Disability, Independent Living, and Rehabilitation Research	93.433	597,448	-			597,448	15,206
ACL National Institute on Disability, Independent Living, and Rehabilitation Research	93.433	-	1,353	Craig Hospital	2694-RuskBY3	1,353	-
ACL National Institute on Disability, Independent Living, and Rehabilitation Research	93.433	-	6,596	Indiana University	8694	6,596	-
Barriers to ADA Implementation in Emergency Management	93.433	-	98,835	Public Health Institute	00622 (90DP0081-01-01) Amd 3	98,835	-
		<u>597,448</u>	<u>106,784</u>			<u>704,232</u>	<u>15,206</u>
National Harm Reduction Technical Assistance and Syringe Services Program Monitoring and Evaluation	93.488	-	6,601	University of Washington	UWSC11453	6,601	-

The accompanying notes are an integral part of this schedule

# New York University Schedule of Expenditures of Federal Awards Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
National Harm Reduction Technical Assistance and Syringe Services Program Monitoring and Evaluation	93.488	-	146,869	University of Washington	UWSC11453 Amd 1	146,869	-
			153,470			153,470	-
ACA-Transforming Clinical Practice Initiative: Practice Transformation Networks (PTNs)	93.638	(13,540)	-			(13,540)	28,130
		(13,540)	-			(13,540)	28,130
Mental and Behavioral Health Education and Training Grants	93.732	184,268	-			184,268	-
		184,268	-			184,268	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	(82,453)	-			(82,453)	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	93.779	-	50,802	Yale New Haven Health System	75FCMC18D0042	50,802	-
		(82,453)	50,802			(31,651)	-
Opioid STR	93.788	-	66,442	Research Foundation for Mental Hygiene Inc.	H79TI081718	66,442	42,897
		-	66,442			66,442	42,897
(Murkey) BioData Catalyst Fellows Program	93.837	-	16,880	University of North Carolina at Chapel Hill	5118768	16,880	-
Cardiovascular Diseases Research	93.837	35,079,042	-			35,079,042	5,198,608
Cardiovascular Diseases Research	93.837	-	4,468	Columbia University	1(GG012712-01)	4,468	-
Cardiovascular Diseases Research	93.837	-	5,928	Columbia University	7(GG015243-01)	5,928	-
Cardiovascular Diseases Research	93.837	-	242,372	Rutgers University	1733	242,372	-
Cardiovascular Diseases Research	93.837	-	35,515	University of Washington	UWSC8388	35,515	-
Cardiovascular Diseases Research	93.837	-	71,263	University of Washington	UWSC12146	71,263	-
Cardiovascular Diseases Research	93.837	-	461,766	University of Washington	UWSC12145	461,766	-
Cardiovascular Diseases Research	93.837	-	566,318	Icahn School of Medicine at Mount Sinai	0254-3895-4609	566,318	-
Cardiovascular Diseases Research	93.837	-	29,140	Icahn School of Medicine at Mount Sinai	0255-E091-4609	29,140	-
Cardiovascular Diseases Research	93.837	-	7,317	Icahn School of Medicine at Mount Sinai	20-A0-00-1004353	7,317	-
Cardiovascular Diseases Research	93.837	-	31,001	Vanderbilt University Medical Center	VUMC75904	31,001	-
Cardiovascular Diseases Research	93.837	-	53	Mayo Clinic	NYU-215432	53	-
Cardiovascular Diseases Research	93.837	-	50,058	Mayo Clinic	NEW-271673/PO #67491353	50,058	-
Cardiovascular Diseases Research	93.837	-	7,280	Mayo Clinic	17-WH-CN-100026	7,280	-
Cardiovascular Diseases Research	93.837	-	361	University of Virginia School of Medicine	2222/0003	361	-
Cardiovascular Diseases Research	93.837	-	22,709	University of Pennsylvania	576593	22,709	-
Cardiovascular Diseases Research	93.837	-	117,711	University of Alabama at Birmingham	000515198-SC001	117,711	-
Cardiovascular Diseases Research	93.837	-	1,272	University of Michigan	SUBK00015230	1,272	-
Cardiovascular Diseases Research	93.837	-	125	Brigham & Women's Hospital	17-WH-CN-100027	125	-
Cardiovascular Diseases Research	93.837	-	393	Ohio State University	GR119800	393	-
Cardiovascular Diseases Research	93.837	-	46,054	University of Massachusetts, Worcester	OSP27238-NYU	46,054	-
Cardiovascular Diseases Research	93.837	-	42,145	NY Academy of Medicine	GT002661_NYU_SOM	42,145	-
Cardiovascular Diseases Research	93.837	-	7,570	Washington University/St. Louis School of Medicine	WU-20-200	7,570	-
Cardiovascular Diseases Research	93.837	-	6,773	Case Western Reserve University	18-WH-CN-100028	6,773	-
Cardiovascular Diseases Research	93.837	-	24,634	New York-Presbyterian/Weill Cornell Medical Center	202570-4	24,634	-
Cardiovascular Diseases Research	93.837	-	487	University of Rochester	417522G/UR FAO GR510851	487	-
Cardiovascular Diseases Research	93.837	-	422,138	LSU Health New Orleans	20-92-005	422,138	-
Cardiovascular Diseases Research	93.837	-	413	Medstar Health Research Institute	5001921634	413	-
COVID-19 Cardiovascular Diseases Research	93.837	634,284	-			634,284	57,300
COVID-19 Cardiovascular Diseases Research	93.837	-	16,350	Icahn School of Medicine at Mount Sinai	0249-4004-4605	16,350	-
Cardiovascular Diseases Research	93.837	93,468	-			93,468	2,500
Cardiovascular Diseases Research	93.837	174,983	-			174,983	-
Cardiovascular Diseases Research	93.837	452,082	-			452,082	163,701
Cardiovascular Diseases Research	93.837	1,906	-			1,906	-
Identifying effective strategies used by Medicare Accountable Care Organizations to	93.837	532,089	-			532,089	-
Cardiovascular Diseases Research							
Cost-Effectiveness of Health System and State-Level Strategies to							
Improve Diet and Reduce Cardiometabolic Diseases	93.837	-	80,545	Tufts University	NH0001 Yr 2	80,545	-
improve outcomes for patients with heart failure: A mixed-methods study	93.837	-	15,244	Northwestern University	60058632 NYU	15,244	-
Identifying effective strategies used by Medicare Accountable Care Organizations							
to improve outcomes for patients with heart failure: A mixed-methods study	93.837	-	29,244	Baystate Medical Center Inc.	18156-3 Amd 02	29,244	-
Identifying physiological and behavioral mechanisms linking discrimination and							
subclinical cardiovascular disease among racially diverse young sexual minority men	93.837	-	4,916	Downstate Medical Center (SUNY)	100-1091654-90560 2nd NCE	4,916	-
Linking State Medicaid and Congenital Heart Surgical Registry Data: Building Capacity to Assess							
Disparities in Longitudinal Outcomes and Value for Children with Congenital Heart Disease	93.837	-	125,885	Columbia University	8(GG015243-01) Amd 1	125,885	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Program to Increase Diversity in Cardiovascular Health-Related Research (PRIDE-CVD)	93.837	-	9,932	Downstate Medical Center (SUNY)	100-1091654-90560	9,932	-
SF Bay Area MACS-WIHS Combined Cohort Study. (The Connie Wofsy Women's HIV Study)	93.837	-	153,063	University of California San Francisco	11294sc Amend 4 Supplement	153,063	-
SF Bay Area MACS-WIHS Combined Cohort Study. (The Connie Wofsy Women's HIV Study)	93.837	-	77,552	University of California San Francisco	11294sc	77,552	-
Understanding physiological dysregulation and health behavior pathways linking minority stress to carotid IMT carotid plaque burden and grayscale carotid texture features among Black men and	93.837	-	43,044	University of North Carolina at Chapel Hill	5120350	43,044	-
		<u>36,967,854</u>	<u>2,777,919</u>			<u>39,745,773</u>	<u>5,422,109</u>
Lung Diseases Research	93.838	805,688	-			805,688	-
Lung Diseases Research	93.838	-	12,615,053	University of Pittsburgh Medical Center	AWD00002796-1A0	12,615,053	8,828,115
Lung Diseases Research	93.838	-	20,932	Stanford University	62346242-131009	20,932	-
Lung Diseases Research	93.838	-	72,860	Northshore University HealthSystem	EH17-325-S2	72,860	-
Lung Diseases Research	93.838	-	23,607	Northwestern University	160053487 NYU	23,607	-
Lung Diseases Research	93.838	-	760	Yale School of Medicine	GR110769(CON-80002544)	760	-
COVID-19 Lung Diseases Research	93.838	1,585,599	-			1,585,599	619,917
COVID-19 Lung Diseases Research	93.838	-	216,597	RTI Health Solutions	21-A0-00-1006779	216,597	-
		<u>2,391,287</u>	<u>12,949,809</u>			<u>15,341,096</u>	<u>9,448,032</u>
Blood Diseases and Resources Research	93.839	446,151	-			446,151	-
Blood Diseases and Resources Research	93.839	-	20,247	Rutgers University	SS01501	20,247	-
Blood Diseases and Resources Research	93.839	-	21,934	Washington University	WU-18-220-MOD-3	21,934	-
Blood Diseases and Resources Research	93.839	-	18,298	Washington University	WU-18-273-MOD-3	18,298	-
Blood Diseases and Resources Research	93.839	-	23,804	Cleveland Clinic Foundation	CCF21110593	23,804	-
		<u>446,151</u>	<u>84,283</u>			<u>530,434</u>	<u>-</u>
A mixed methods study to identify and refine implementation strategies to increase use of cardiac rehabilitation for patients with heart failure	93.840	-	15,244	Northwestern University	60057974 NYU Amd 1	15,244	-
STIMULATE: A mixed methods study to identify and refine implementation strategies to increase use of cardiac rehabilitation for patients with heart failure	93.840	-	36,321	Baystate Medical Center Inc.	19084-2 Amd 1	36,321	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	1,093,062	-			1,093,062	89,980
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	6,023	Boston University	4500003388	6,023	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	(69,537)	Kwame Nkrumah University of Science and Tech	819CHS0507	(69,537)	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	23,932	Case Western Reserve University	RES516378	23,932	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	234,707	Case Western Reserve University	RES515477	234,707	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	24,413	Moi University School of Medicine	19-A0-00-1002675	24,413	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	73,668	University of Abuja	NYU 001	73,668	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders	93.840	-	262,999	Kintampo Health Research Centre	Hy-Trec 001	262,999	-
		<u>1,093,062</u>	<u>607,770</u>			<u>1,700,832</u>	<u>89,980</u>
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	10,777,848	-			10,777,848	1,163,014
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	50,806	University of Pennsylvania	567119	50,806	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	156,971	University of Pennsylvania	577986	156,971	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	5,449	University of Southern California	112334270	5,449	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	25,083	Brigham & Women's Hospital	008262	25,083	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	-	58,274	Brigham & Women's Hospital	119899	58,274	-
		<u>10,777,848</u>	<u>296,583</u>			<u>11,074,431</u>	<u>1,163,014</u>
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	9,916,381	-			9,916,381	1,316,485
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	49,831	Columbia University	1(GG015926-02)	49,831	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	24,397	University of Pennsylvania	572700	24,397	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	199,580	University of Pennsylvania	579594	199,580	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	2,910	University of Pennsylvania	574238	2,910	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	12,649	University of California San Francisco	20-00-00-1005229	12,649	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	321	MD Anderson Cancer Center	3001657188	321	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	20,242	University of Michigan	SUBK00010052	20,242	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	19,330	University of Michigan	SUBK00012123	19,330	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	4,501	University of Ghana	5U54DK116913-10	4,501	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	2,460	University of South Florida	#3732	2,460	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	13,981	Albert Einstein College of Medicine	31182D	13,981	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	32,941	Albert Einstein College of Medicine	311303	32,941	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	40,647	University of Utah	10053701-01	40,647	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	66,507	Montana State University	G197-19-W7522	66,507	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	81,618	Rush University Medical Center	16091506-Sub01	81,618	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	-	(3,569)	Texas A&M University	M2000376	(3,569)	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	7,414	George Washington University	17-WH-CN-100005	7,414	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	30,430	George Washington University	21-A0-00-1007095	30,430	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	12,450	Wake Forest University	20-00-00-1004525	12,450	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	-	60,858	Wake Forest University	21-A0-00-1006177	60,858	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	253,508	-			253,508	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	232,893	-			232,893	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	235,938	-			235,938	-
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	94,941	-			94,941	-
L-Cystine Diamides as Inhibitors of L-Cystine Stone formation in Cystinuria	93.847	-	65,124	Rutgers University	0113 (Mod 5)	65,124	-
Nutrition Obesity Research Center at Harvard	93.847	-	9,804	Massachusetts General Hospital	231130 AMD 2	9,804	-
SBIR phase I: P-FITS: The Pediatric Food Intake Technology System	93.847	-	68,037	Viocare Inc.	R43 HD103531-01	68,037	-
		10,733,661	822,463		HD103531-01	11,556,124	1,316,485
An open source wireless miniature microscope for monitoring neuronal activity	93.853	-	35,065	University of California Los Angeles	2000 G WM035 A01	35,065	-
Blueprint Program for Enhancing Neuroscience Diversity through Undergraduate Research Education Experiences (BP ENDURE) at Hunter and NYU	93.853	-	118,234	Research Foundation of the City University of New York (CUNY)	CM00001407-03 A03	118,234	-
Computational and Circuit Mechanisms Underlying Rapid Learning	93.853	-	(6,525)	University of Washington	UWSC10761 A01	(6,525)	-
Computational and Circuit Mechanisms Underlying Rapid Learning	93.853	-	13,021	University of Washington	UWSC10761	13,021	-
Computational and Circuit Mechanisms Underlying Rapid Learning	93.853	-	248,042	University of Washington	UWSC10761 A02	248,042	-
Controlled neuronal firing in vivo using two photon spatially shaped optogenetics	93.853	-	81,784	University of Colorado - Denver	FY21.237.005_AMD2	81,784	-
Controlled neuronal firing in vivo using two photon spatially shaped optogenetics	93.853	-	(10,411)	University of Colorado - Denver	FY19.237.004	(10,411)	-
CRCNS: Neural computations for continuous control in virtual reality foraging	93.853	-	56,794	Baylor College of Medicine	PO 7000001288 A01	56,794	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	141,773	-			141,773	48,043
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	260,272	-			260,272	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	294,044	-			294,044	21,092
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	375,251	-			375,251	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	191,652	-			191,652	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	8,581	-			8,581	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	35,591	-			35,591	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	347,040	-			347,040	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	20,323	-			20,323	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	164,777	-			164,777	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	940	-			940	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	85,326	-			85,326	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	126,889	-			126,889	46,091
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	800,258	-			800,258	172,668
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	141,205	-			141,205	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	70,443	-			70,443	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	108,928	-			108,928	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	363,915	-			363,915	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	34,810,142	-			34,810,142	6,032,594
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	11,147	Columbia University	1(GG012971-01)	11,147	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	248,252	Columbia University	1(GG014507)	248,252	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	86,660	Columbia University	4(GG015295-01)	86,660	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	3,445	Emory University	T662050 (Yr4 T472196)	3,445	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	4,325	Icahn School of Medicine at Mount Sinai	255-6585-4609	4,325	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	35,025	Icahn School of Medicine at Mount Sinai	0255-E771-4609	35,025	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(8,954)	University of London	519723	(8,954)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(41,133)	Vanderbilt University Medical Center	VUM056980	(41,133)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	42,178	Johns Hopkins University	2004835505	42,178	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	733,716	University of Chicago	FP066214-02-PR-C	733,716	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	400,508	University of Chicago	FP066214-02-PR-F	400,508	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(757)	University of California San Francisco	8416	(757)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	77,718	Boston University	4500003791	77,718	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	106,355	University of Michigan	SUB00010533	106,355	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	32,202	University of Southern California	132589641	32,202	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	108,958	Weill Medical College of Cornell University	212518	108,958	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	708,123	Stanford University	61752758-128582	708,123	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	27,045	Stanford University	61869960-125439	27,045	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	29,620	Medical University of South Carolina	A20-0051-S002	29,620	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	228	The Regents of the University of California	9835sc	228	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	110,795	Massachusetts General Hospital	233102	110,795	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	12,791	Massachusetts General Hospital	238069	12,791	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	890	Massachusetts General Hospital	238257	890	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	-	61,697	Purdue University	11000790-010	61,697	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	6,156	University of Colorado Denver	FY21.620.002	6,156	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(21,336)	University of Tennessee	18-A0-00-1001518	(21,336)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	56,785	New York Stem Cell Foundation	2002-001	56,785	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	401,978	University of California at Berkeley	00010180	401,978	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	4,523	Northwestern University	60054977-NYU-FR	4,523	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	8,989	Northwestern University	19-A0-00-1003875	8,989	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	711	University of Cincinnati College of Medicine	011337-138466	711	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	(10,094)	University of Texas Health Science Center at Houston	0014556E	(10,094)	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	2,654	University of Cincinnati	010785-138466	2,654	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	-	10,000	City College of New York (CCNY)	CM00004965-00	10,000	-
COVID-19 Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	826,670	-			826,670	-
Integrating spatial multi-omics and clinical covariates to identify mechanisms of disease in ALS-FTD	93.853	-	49,731	New York Genome Center	2019-0035-NYU-01 A01	49,731	-
Integrating spatial multi-omics and clinical covariates to identify mechanisms of disease in ALS-FTD	93.853	-	69,709	New York Genome Center	2019-0035-NYU-01	69,709	-
Neural basis of causal inference: representations circuits and dynamics	93.853	-	605,076	University of Rochester	417852GUR FAO GR511130	605,076	-
Optimizing flexible active electrode arrays for chronic large-scale recording and stimulation on the scale of 10000 electrodes	93.853	-	12,517	Duke University	A03-0339 A02	12,517	-
Spatially Resolved Dynamics of Molecular Pathology and Intercellular Interactions in Amyotrophic Lateral Sclerosis	93.853	-	23,833	Columbia University	1(GG013374-01) AMD 2	23,833	-
Wireless Magnetomechanical Neuromodulation of Targeted Circuits	93.853	-	102,902	New York Genome Center	2019-0018-NYU-01 A02	102,902	-
			284,676	Massachusetts Institute of Technology	S5071 - PO#476438 Year 2	284,676	-
		39,173,920	4,935,648			44,109,568	6,320,488
Allergy and Infectious Diseases Research	93.855	233,273	-			233,273	-
Allergy and Infectious Diseases Research	93.855	440,723	-			440,723	93,348
Allergy and Infectious Diseases Research	93.855	363,647	-			363,647	-
Allergy and Infectious Diseases Research	93.855	17,112	-			17,112	-
Allergy and Infectious Diseases Research	93.855	4,392	-			4,392	-
Allergy and Infectious Diseases Research	93.855	357,024	-			357,024	-
Allergy and Infectious Diseases Research	93.855	1,533,983	-			1,533,983	911,989
Allergy and Infectious Diseases Research	93.855	428,085	-			428,085	74,797
Allergy and Infectious Diseases Research	93.855	22,695,231	-			22,695,231	2,076,348
Allergy and Infectious Diseases Research	93.855	-	(845)	Columbia University	1(GG013000-01)	(845)	-
Allergy and Infectious Diseases Research	93.855	-	10,162	Columbia University	GG015870-01	10,162	-
Allergy and Infectious Diseases Research	93.855	-	318,872	Columbia University	3(GG012754-25)	318,872	-
Allergy and Infectious Diseases Research	93.855	-	84,877	Columbia University	2(GG01587-01)	84,877	-
Allergy and Infectious Diseases Research	93.855	-	60,811	Rutgers University	1565	60,811	-
Allergy and Infectious Diseases Research	93.855	-	71,375	Icahn School of Medicine at Mount Sinai	0255-8891-4609	71,375	-
Allergy and Infectious Diseases Research	93.855	-	38,806	Icahn School of Medicine at Mount Sinai	0255-0231-4609	38,806	-
Allergy and Infectious Diseases Research	93.855	-	35,389	Icahn School of Medicine at Mount Sinai	0255-5321-4609	35,389	-
Allergy and Infectious Diseases Research	93.855	-	412,348	Icahn School of Medicine at Mount Sinai	0255-D001-4609	412,348	-
Allergy and Infectious Diseases Research	93.855	-	104,962	Icahn School of Medicine at Mount Sinai	0255-0341-4609	104,962	-
Allergy and Infectious Diseases Research	93.855	-	1,849	Quality Biological, Inc.	TonyUSAMP001-PO#43317	1,849	-
Allergy and Infectious Diseases Research	93.855	-	37,356	Quality Biological, Inc.	TOV1v2pots001	37,356	-
Allergy and Infectious Diseases Research	93.855	-	7,934	Benaroya Research Institute at Virginia	FY21ITN421	7,934	-
Allergy and Infectious Diseases Research	93.855	-	10,919	Johns Hopkins University	2002655897	10,919	-
Allergy and Infectious Diseases Research	93.855	-	73,483	Johns Hopkins University	2003746449	73,483	-
Allergy and Infectious Diseases Research	93.855	-	2,930	Johns Hopkins University	18-A0-00-1001680	2,930	-
Allergy and Infectious Diseases Research	93.855	-	171	Johns Hopkins University	19-A0-00-1003004	171	-
Allergy and Infectious Diseases Research	93.855	-	56,226	Johns Hopkins University	2004911365	56,226	-
Allergy and Infectious Diseases Research	93.855	-	1,249	Aaron Diamond Aids Research Center	A09-200-NYU-Duerr	1,249	-
Allergy and Infectious Diseases Research	93.855	-	(78,800)	Aaron Diamond Aids Research Center	A09-200-NYU-Kong	(78,800)	-
Allergy and Infectious Diseases Research	93.855	-	142,182	Princeton University	SUB0000173	142,182	-
Allergy and Infectious Diseases Research	93.855	-	8,590	Fred Hutchinson Cancer Research Center	0001064988	8,590	-
Allergy and Infectious Diseases Research	93.855	-	149,071	University of Georgia	SUB00002152	149,071	-
Allergy and Infectious Diseases Research	93.855	-	66,342	Stanford University	62561929-194071	66,342	-
Allergy and Infectious Diseases Research	93.855	-	23,519	Massachusetts General Hospital	234439	23,519	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Allergy and Infectious Diseases Research	93.855	-	619	Zymeron Corporation	NIAID050-1/NYU	619	-
Allergy and Infectious Diseases Research	93.855	-	34,325	Zymeron Corporation	Z113/NYU	34,325	-
Allergy and Infectious Diseases Research	93.855	-	72,536	University of Florida	SUB00001704	72,536	-
Allergy and Infectious Diseases Research	93.855	-	28,192	Stellenbosch University, South Africa	S006234	28,192	-
Allergy and Infectious Diseases Research	93.855	-	32,633	Scripps Research Institute	5-27293	32,633	-
Allergy and Infectious Diseases Research	93.855	-	15,456	Cornell University	91439-20395	15,456	-
Allergy and Infectious Diseases Research	93.855	-	20,000	University of Lincoln	445132	20,000	-
Allergy and Infectious Diseases Research	93.855	-	34,961	Stanford University Medical Center	625000013-128779	34,961	-
Allergy and Infectious Diseases Research	93.855	-	18,932	University of Maryland	21-A0-00-1007216	18,932	-
COVID-19 Allergy and Infectious Diseases Research	93.855	11,573,452	-			11,573,452	207,798
COVID-19 Allergy and Infectious Diseases Research	93.855	-	253,408	Leidos Biomedical Research, Inc.	20CTA-DM0007	253,408	-
COVID-19 Allergy and Infectious Diseases Research	93.855	-	35,409	Ingenious Targeting Laboratory	20-00-00-1005256	35,409	-
COVID-19 Allergy and Infectious Diseases Research	93.855	-	71,517	University of Rochester	417758/URFAO: GR511063	71,517	-
COVID-19 Allergy and Infectious Diseases Research	93.855	-	140,258	Humanetics Corporation	272201800011C	140,258	-
Collaborative Influenza Vaccine Innovation Centers (CIVICs) Component A: Vaccine Center	93.855	-	105,863	University of Georgia	SUB00002153 A01	105,863	-
Collaborative Influenza Vaccine Innovation Centers (CIVICs) Component A: Vaccine Center	93.855	-	490,500	University of Georgia	SUB00002153 A04	490,500	-
Effects of obesity on the dynamics of Influenza transmission	93.855	-	341,002	St. Jude Children's Research Hospital	112467020-7934332 A01	341,002	-
Examination of Autonomy Support on PrEP Use in Black MSM: A Quantitative Analysis	93.855	-	16,575	FHI 360	PO19002396 Mod. No. 2	16,575	-
Quantifying Sex-and-Age-Related Differences in Antiretroviral Exposure							
Adverse Effects in the MACS/WIHS Combined Cohort Study							
TYPE A: Human-centered Design and Communities of Practice to Improve Delivery of	93.855	-	4,754	University of North Carolina at Chapel Hill	5120657	4,754	-
Home-based Tuberculosis Contact Investigation in Uganda	93.855	-	63,836	Yale University	GR107761 (CON-80001953) Amd 01	63,836	-
		37,646,922	3,420,554			41,067,476	3,364,280
Biomedical Research and Research Training	93.859	15,057,117	-			15,057,117	461,752
Biomedical Research and Research Training	93.859	-	63,843	University of California San Diego	122991430-001 (S9002428)	63,843	-
Biomedical Research and Research Training	93.859	-	58,340	Rockefeller University	SUB00000161	58,340	-
Biomedical Research and Research Training	93.859	-	135,423	University of Mississippi	19-07-006	135,423	-
Biomedical Research and Research Training	93.859	-	73,296	Cornell University	201289-1	73,296	-
Biomedical Research and Research Training	93.859	477,352	-			477,352	21,674
Biomedical Research and Research Training	93.859	275,159	-			275,159	-
Biomedical Research and Research Training	93.859	448,202	-			448,202	-
Biomedical Research and Research Training	93.859	236,589	-			236,589	-
Biomedical Research and Research Training	93.859	457,951	-			457,951	-
Biomedical Research and Research Training	93.859	583,595	-			583,595	-
Biomedical Research and Research Training	93.859	30,984	-			30,984	-
Biomedical Research and Research Training	93.859	366,204	-			366,204	-
Biomedical Research and Research Training	93.859	227,180	-			227,180	19,286
Biomedical Research and Research Training	93.859	684,042	-			684,042	-
Biomedical Research and Research Training	93.859	495,021	-			495,021	-
Biomedical Research and Research Training	93.859	66,312	-			66,312	-
Biomedical Research and Research Training	93.859	623,219	-			623,219	-
Biomedical Research and Research Training	93.859	354,714	-			354,714	-
Biomedical Research and Research Training	93.859	240,119	-			240,119	26,114
Biomedical Research and Research Training	93.859	22,362	-			22,362	-
Biomedical Research and Research Training	93.859	125,450	-			125,450	-
Biomedical Research and Research Training	93.859	362,733	-			362,733	-
Biomedical Research and Research Training	93.859	244,256	-			244,256	-
Biomedical Research and Research Training	93.859	25,449	-			25,449	-
Biomedical Research and Research Training	93.859	510,421	-			510,421	-
Biomedical Research and Research Training	93.859	248,604	-			248,604	-
Biomedical Research and Research Training	93.859	464,620	-			464,620	-
Biomedical Research and Research Training	93.859	355,815	-			355,815	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	272,780	-			272,780	9,214
Biomedical Research and Research Training	93.859	143,716	-			143,716	-
Biomedical Research and Research Training	93.859	3,113	-			3,113	-
Biomedical Research and Research Training	93.859	61,559	-			61,559	-
Biomedical Research and Research Training	93.859	53,440	-			53,440	-
Biomedical Research and Research Training	93.859	172,485	-			172,485	-
Biomedical Research and Research Training	93.859	277,255	-			277,255	44,370
Biomedical Research and Research Training	93.859	243,259	-			243,259	-
Biomedical Research and Research Training	93.859	117,415	-			117,415	-
Biomedical Research and Research Training	93.859	57,446	-			57,446	-
Biomedical Research and Research Training	93.859	26,085	-			26,085	1,600
Biomedical Research and Research Training	93.859	34,095	-			34,095	-
Biomedical Research and Research Training	93.859	247,643	-			247,643	-
Biomedical Research and Research Training	93.859	395,530	-			395,530	30,235
Biomedical Research and Research Training	93.859	46,836	-			46,836	-
Biomedical Research and Research Training	93.859	138,599	-			138,599	-
Biomedical Research and Research Training	93.859	126,242	-			126,242	-
Biomedical Research and Research Training	93.859	287,256	-			287,256	-
Biomedical Research and Research Training	93.859	6,506	-			6,506	-
Biomedical Research and Research Training	93.859	27,353	-			27,353	-
Biomedical Research and Research Training	93.859	234,531	-			234,531	224,657
Biomedical Research and Research Training	93.859	27,276	-			27,276	-
Biomedical Research and Research Training	93.859	197,576	-			197,576	-
Rare-event simulation and analysis for elucidating mechanisms of development and disease	93.859	-	33,020	University of Chicago	AWD101048 Amendment 1	33,020	-
SBIR: Accessible and robust Tools for Glycosaminoglycan Profiling (NDA 18-1252)	93.859	-	18,058	Echelon Biosciences	Subaward for Grant R43GM131444	18,058	-
Sizing and Scaling in Functional Muscle Cells	93.859	-	32,929	Memorial Sloan Kettering Cancer Center	BD522499B Amd 2	32,929	-
Studies on Protein Lipidation	93.859	-	41,244	Scripps Research Institute	5-54373 Closeout	41,244	-
Transition Path Theory and Markovian Milestoning for Predicting Protein-Ligand Binding Kinetics	93.859	-	272,766	Drexel University	800120 Amendment 3	272,766	-
		<u>26,181,466</u>	<u>728,919</u>			<u>26,910,385</u>	<u>838,902</u>
A Longitudinal MRI Study Characterizing in Very Early Brain Development in Infants with Down Syndrome	93.865	-	238,355	Washington University in St. Louis (WUSTL)	WU-19-419-MOD-2	238,355	-
Brain and Behavior Study of Autism from Infancy through School Age	93.865	-	6,848	University of North Carolina at Chapel Hill	5109090 Amd 3	6,848	-
Child Health and Human Development Extramural Research	93.865	6,396,115	-			6,396,115	1,643,550
Child Health and Human Development Extramural Research	93.865	-	34,245	Rutgers University	1471	34,245	-
Child Health and Human Development Extramural Research	93.865	-	(17,072)	Rutgers University	19-WH-CN-100043	(17,072)	-
Child Health and Human Development Extramural Research	93.865	-	165,824	Rutgers University	20-A0-00-1003832	165,824	-
Child Health and Human Development Extramural Research	93.865	-	21,535	University of Michigan	3003809042	21,535	-
Child Health and Human Development Extramural Research	93.865	-	52,289	Harvard School of Public Health	114205-1514-5096794	52,289	-
Child Health and Human Development Extramural Research	93.865	-	349,427	Harvard School of Public Health	117267-0114-5119096	349,427	-
Child Health and Human Development Extramural Research	93.865	-	181,867	Harvard School of Public Health	117267-0180-5119094	181,867	-
Child Health and Human Development Extramural Research	93.865	-	47,381	Princeton University	SUB0000200	47,381	-
Child Health and Human Development Extramural Research	93.865	-	7,367	University of California Los Angeles	2000 G XA415	7,367	-
Child Health and Human Development Extramural Research	93.865	-	51,841	Riverside Research Institute	NYO.11367.08.01.2019a	51,841	-
Child Health and Human Development Extramural Research	93.865	-	(3,650)	Weill Medical College of Cornell University	161040536-01	(3,650)	-
Child Health and Human Development Extramural Research	93.865	-	20,930	The President and Fellows of Harvard College	114205-1480-5104815	20,930	-
Child Health and Human Development Extramural Research	93.865	-	17,265	Saint Louis University	21612-43391	17,265	-
Child Health and Human Development Extramural Research	93.865	-	85,177	Nathan Kline Institute	148691	85,177	-
Child Health and Human Development Extramural Research	93.865	-	19,999	University of Lincoln	445132	19,999	-
Child Health and Human Development Extramural Research	93.865	-	10,435	Columbia University	1(GG017649-01)	10,435	-
Child Health and Human Development Extramural Research	93.865	268,439	-			268,439	-
Child Health and Human Development Extramural Research	93.865	144,231	-			144,231	-
Child Health and Human Development Extramural Research	93.865	45,733	-			45,733	-
Child Health and Human Development Extramural Research	93.865	50,341	-			50,341	-
Child Health and Human Development Extramural Research	93.865	257,033	-			257,033	-
Child Health and Human Development Extramural Research	93.865	128,410	-			128,410	-
Child Health and Human Development Extramural Research	93.865	1,468,218	-			1,468,218	319,966
Child Health and Human Development Extramural Research	93.865	120,355	-			120,355	81,989
Child Health and Human Development Extramural Research	93.865	403,371	-			403,371	18,702
Child Health and Human Development Extramural Research	93.865	254,168	-			254,168	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	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	134,496	-			134,496	91,420
Child Health and Human Development Extramural Research	93.865	236,430	-			236,430	46,677
Child Health and Human Development Extramural Research	93.865	407,372	-			407,372	-
Child Health and Human Development Extramural Research	93.865	-	3,219			3,219	-
Child Health and Human Development Extramural Research	93.865	555,216	-			555,216	90,801
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	80,799	Tulane University	TUL-HSC-557473-19/20 (CoreB) Amd 1	80,799	-
Demographic and Health Disparities in Recovery from Hurricane Katrina: KATRINA@10	93.865	-	140,666	Tulane University	TUL-HSC-557474-19/20 Amd 1	140,666	24,666
Evaluation of a Theory-Driven Manualized Approach to Improving New Learning and Memory in MS	93.865	-	8,583	Kessler Foundation	40568-01	8,583	-
FMRP-mediated Regulation in Human Brain Development and Therapeutic Advancement	93.865	-	24,213	Emory University	A513975 A01	24,213	-
FMRP-mediated Regulation in Human Brain Development and Therapeutic Advancement	93.865	-	231,905	Emory University	A43864	231,905	-
MEGA: Rescuing the Fragile X Syndrome by resetting translational homeostasis	93.865	-	(1,784)	University of Massachusetts Medical School	OSP2017009	(1,784)	-
Secure Base Script Knowledge: Antecedents and Sequelae	93.865	-	38,740	University of Minnesota	A008487501	38,740	-
STTR phase II: Mobile Augmented Screening Tool to Increase Adolescent HIV Testing and Linkage To Care	93.865	-	130,897	Digital Health Empowerment	R42HD088325	130,897	-
The Family Input for Quality and Safety (FIQS) Study	93.865	-	49,139	University of California San Francisco	12343sco	49,139	-
Vestibular Rehabilitation utilizing Virtual Environments to Train Sensory Integration for Postural Control in a Functional Context	93.865	-	37,244	University of Alabama at Birmingham	000509380-SP004-SC013 AA01	37,244	18,599
		<u>10,873,147</u>	<u>2,030,465</u>			<u>12,903,612</u>	<u>2,336,370</u>
93.A Consortium to Study the Genetics of Longevity	93.866	-	86,660	Translational Genomics Research Institute	SCHORK-19-01 Mod. 02	86,660	-
Acculturation oral health and dental care service use among Filipino older adult immigrants in the United States	93.866	-	7,335	Rutgers University	Subaward No 9002	7,335	-
ADRD Health Care Systems Research Collaboratory	93.866	-	215,190	Brown University	1370	215,190	-
ADRD Health Care Systems Research Collaboratory	93.866	-	40,715	Brown University	00001370; AMD 4	40,715	-
Aging Research	93.866	22,562	-			22,562	-
Aging Research	93.866	229,173	-			229,173	44,371
Aging Research	93.866	613,988	-			613,988	-
Aging Research	93.866	703,141	-			703,141	322,176
Aging Research	93.866	245,649	-			245,649	140,660
Aging Research	93.866	226,464	-			226,464	63,316
Aging Research	93.866	411,539	-			411,539	13,958
Aging Research	93.866	230,607	-			230,607	-
Aging Research	93.866	21,232	-			21,232	-
Aging Research	93.866	21,539	-			21,539	-
Aging Research	93.866	35,100	-			35,100	-
Aging Research	93.866	170,058	-			170,058	-
Aging Research	93.866	5,821	-			5,821	-
Aging Research	93.866	3,381	-			3,381	-
Aging Research	93.866	22,000,438	-			22,000,438	3,611,201
Aging Research	93.866	-	69,391	Columbia University	3(GG01242-03)	69,391	-
Aging Research	93.866	-	40,972	Columbia University	1(GG016423-01)	40,972	-
Aging Research	93.866	-	940	Columbia University	11(GG015822-01)	940	-
Aging Research	93.866	-	36,412	Rutgers University	1667	36,412	-
Aging Research	93.866	-	84,032	University of Washington	UWSC7727	84,032	-
Aging Research	93.866	-	154,750	St. Joseph's Hospital & Medical Center	1032146-NYUMC	154,750	-
Aging Research	93.866	-	240,524	St. Joseph's Hospital & Medical Center	32114-NYUSOM	240,524	-
Aging Research	93.866	-	19,493	Icahn School of Medicine at Mount Sinai	0255-3651-4609	19,493	-
Aging Research	93.866	-	97,514	Icahn School of Medicine at Mount Sinai	0255-D521-4609	97,514	-

The accompanying notes are an integral part of this schedule



# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Aging Research	93.866	-	211,100	Johns Hopkins University	2004459373	211,100	72,290
Aging Research	93.866	-	14,387	Memorial Sloan Kettering Cancer Center	BD524387	14,387	-
Aging Research	93.866	-	21,518	Regents of The University of Minnesota	P007400703	21,518	-
Aging Research	93.866	-	301,725	Brown University	00000974	301,725	-
Aging Research	93.866	-	15,624	Brown University	00001363	15,624	-
Aging Research	93.866	-	28,303	Brown University	00001371	28,303	-
Aging Research	93.866	-	326	University of California San Diego	110038908	326	-
Aging Research	93.866	-	13,265	University of Southern California	81622917	13,265	-
Aging Research	93.866	-	101	University of Southern California	19-A0-00-1003733	101	-
Aging Research	93.866	-	75,006	Northern California Institute for Research and Education	79634841	75,006	-
Aging Research	93.866	-	15,079	Diamir, LLC	17-A0-00-006660	15,079	-
Aging Research	93.866	-	20,180	University of Wisconsin	0000001234	20,180	-
Aging Research	93.866	-	109,126	University of California Irvine	2018-3569	109,126	-
Aging Research	93.866	-	65,742	Massachusetts General Hospital	236484	65,742	-
Aging Research	93.866	-	92	University of Massachusetts, Worcester	OSP2018113	92	-
Aging Research	93.866	-	-	Wayne State University	WSU19043	-	-
Aging Research	93.866	-	136,927	New York-Presbyterian/Weill Cornell Medical Center	202565	136,927	-
Aging Research	93.866	-	12,053	New York-Presbyterian/Weill Cornell Medical Center	214331	12,053	-
Aging Research	93.866	-	80,418	New York-Presbyterian/Weill Cornell Medical Center	201931	80,418	-
Aging Research	93.866	-	41,358	New York-Presbyterian/Weill Cornell Medical Center	210928	41,358	-
Aging Research	93.866	-	149,519	Charles River Analytics Inc.	SC1821601	149,519	-
Aging Research	93.866	531,774	-			531,774	107,553
Aging Research	93.866	1,023,214	-			1,023,214	98,085
Asian RCMAR	93.866	-	18,469	Rutgers University	1668	18,469	-
Asian Resource Centers for Minority Aging Research (RCMAR)	93.866	-	4,664	Rutgers University	5P30AG059304-04; 2165	4,664	-
Center for Improving CAre Delivery for the Aging (CICADA)	93.866	-	6,034	University of Pennsylvania	580208	6,034	-
COVID-19 Aging Research	93.866	203,467	-			203,467	-
COVID-19 Aging Research	93.866	-	254,633	Brown University	00001642	254,633	-
Home-based Primary Care for Homebound Seniors: a Randomized Controlled Trial	93.866	-	18,873	Icahn School of Medicine at Mount Sinai	0255-1211-4609 Amendment No.5	18,873	-
Impact of Amyloid and Tau on the Aging Brain: The Harvard Aging Brain Study - Core D	93.866	-	29,832	Massachusetts General Hospital	236564	29,832	-
Impacts of receiving Alzheimer's disease genetic risk information among Latinos in northern Manhattan	93.866	-	13,022	Columbia University	2(GG015245-02)	13,022	-
Impacts of receiving Alzheimer's disease genetic risk information among Latinos in northern Manhattan	93.866	-	24,242	Columbia University	2(GG015245-04)	24,242	-
Implementing Evidence-based Informed Consent Practices to Address the Risk of Alzheimer's Dementia and Cognitive Impairment in Clinical Trials	93.866	-	38,162	Washington University in St. Louis	WU-19-57-MOD-2	38,162	-
NIA AD/ADRD Health Care Systems Research Collaboratory	93.866	-	72,944	Indiana University	8683	72,944	-
Social modifiers of the pace of aging across multiple domains and tissues	93.866	-	338,537	Arizona Board of Regents for and on behalf of Arizona State University	ASUB00000533 A02	338,537	-
Upstream Approaches to Improve Late Life Care for People Living with Dementia	93.866	-	3,423	Rutgers University	1888	3,423	-
		26,699,147	3,228,612			29,927,759	4,473,610
A hyperspectral approach to RPE fluorophores in health and disease	93.867	-	67,394	University of Alabama at Birmingham	000513702-SC003	67,394	-
Attention-driven enhancement of visual training in cortical blindness	93.867	-	48,918	University of Rochester	416987G / UR FAO 510575 Yr 4	48,918	-
Endogenous neural activity: neurophysiology optical imaging fMRI and behavior	93.867	-	81,308	Columbia University	1(GG011726) Amendment # 6	81,308	-
Probabilistic coding in cortical populations	93.867	-	104,048	Baylor College of Medicine	7000000348 A03	104,048	-
The Functions and Mechanisms of Perceptual Learning	93.867	-	202,998	University of California Irvine	2020-1255 A02	202,998	-
Vision Research	93.867	6,518,305	-			6,518,305	936,271
Vision Research	93.867	-	47,939	The Children's Hospital of Philadelphia	3201580224	47,939	-
Vision Research	93.867	-	41,510	University of California San Francisco	12057sc	41,510	-
Vision Research	93.867	-	83,912	University of Michigan	3004206297	83,912	-
Vision Research	93.867	-	189,310	Harvard Medical School	533387	189,310	-
Vision Research	93.867	-	17,718	University of Texas Rio Grande Valley	5R21EY029605(03)	17,718	-
Vision Research	93.867	367,239	-			367,239	16,716
Vision Research	93.867	293,509	-			293,509	-
Vision Research	93.867	543,896	-			543,896	-
Vision Research	93.867	374,786	-			374,786	-
Vision Research	93.867	23,233	-			23,233	-
Vision Research	93.867	19,291	-			19,291	-
Vision Research	93.867	55,610	-			55,610	-
Vision Research	93.867	462,151	-			462,151	-
Vision Research	93.867	161,920	-			161,920	-
Vision Research	93.867	60,913	-			60,913	-
Vision Research	93.867	319,010	-			319,010	-
Vision Research	93.867	325,900	-			325,900	-
Vision Research	93.867	191,965	-			191,965	-
Vision Research	93.867	5,943	-			5,943	-
Vision Research	93.867	14,368	-			14,368	-
Vision Research	93.867	533,624	-			533,624	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
Vision Research	93.867	200,488	-			200,488	-
Vision Research	93.867	336,841	-			336,841	-
Vision Research	93.867	9,024	-			9,024	-
Vision Research	93.867	25,900	-			25,900	-
Vision Research	93.867	11,683	-			11,683	-
Vision Research	93.867	345,395	-			345,395	-
Vision Research	93.867	63,417	-			63,417	-
Vision Research	93.867	(10,738)	-			(10,738)	-
Vision Research	93.867	5,681	-			5,681	-
Vision Research	93.867	80,707	-			80,707	-
Vision Research	93.867	497,499	-			497,499	-
		<u>11,837,560</u>	<u>885,055</u>			<u>12,722,615</u>	<u>952,987</u>
Collaborative Research: Harnessing Patient Generated Data to Identify Causes and Effects of Nutrition during Pregnancy	93.879	-	57,771	Stevens Institute of Technology	2102971-01 Amd 01	57,771	-
Háblame Bebé: Improving health information access for low-income Hispanic children's early language environments	93.879	-	26,608	Florida International University	800010651/000116 Amd 01	26,608	-
Medical Library Assistance	93.879	205,428	-			205,428	-
Medical Library Assistance	93.879	60,966	-			60,966	-
Medical Library Assistance	93.879	-	202,073	University of Washington	20-A0-00-1005170	202,073	-
Medical Library Assistance	93.879	-	35,901	University of Pittsburgh	CNVA00050256 (134222-20)	35,901	-
Medical Library Assistance	93.879	-	9,331	Medical University of South Carolina	A00-3641-S002	9,331	-
Medical Library Assistance	93.879	-	10,151	Medical University of South Carolina	A00-3641-S0003	10,151	-
Medical Library Assistance	93.879	-	2,200	University of Massachusetts School of Medicine	SUB00000030	2,200	-
		<u>266,394</u>	<u>344,035</u>			<u>610,429</u>	-
Grants for Primary Care Training and Enhancement	93.884	(5,715)	-			(5,715)	-
Grants for Primary Care Training and Enhancement	93.884	-	16,576	Mayo Clinic	NYU-268163-01	16,576	-
Primary Care Training and Enhancement	93.884	8,415	-			8,415	-
Primary Care Training and Enhancement	93.884	67,702	-			67,702	-
		<u>70,402</u>	<u>16,576</u>			<u>86,978</u>	-
National Bioterrorism Hospital Preparedness Program	93.889	-	31,975	Public Health Solutions	19-A0-00-1001354	31,975	-
National Bioterrorism Hospital Preparedness Program	93.889	-	963	Public Health Solutions	19-A0-00-1001352	963	-
COVID-19 National Bioterrorism Hospital Preparedness Program	93.889	-	218,490	Greater New York Hospital Foundation	21-A0-00-1006073	218,490	-
TB and Other Pulmonary Complications of AIDS Research Training Program	93.889	-	34,585	Yale University	GR107609 (CON-80001923) Amd 01	34,585	-
		-	<u>286,013</u>			<u>286,013</u>	-
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	747,509	-			747,509	234,027
COVID-19 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	36,178	-			36,178	-
		<u>783,687</u>	-			<u>783,687</u>	<u>234,027</u>
Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants	93.924	275,386	-			275,386	275,386
		<u>275,386</u>	-			<u>275,386</u>	<u>275,386</u>
HIV Demonstration, Research, Public and Professional Education Projects	93.941	92,460	-			92,460	-
		<u>92,460</u>	-			<u>92,460</u>	-
Assistance Programs for Chronic Disease Prevention and Control	93.945	343,613	-			343,613	-
Assistance Programs for Chronic Disease Prevention and Control	93.945	-	3,183	Wake Forest University	20-A0-00-1004457	3,183	-
		<u>343,613</u>	<u>3,183</u>			<u>346,796</u>	-
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards	93.976	11,174	-			11,174	-
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards	93.976	3,191	-			3,191	-
Primary Care Medicine and Dentistry Clinician Educator Career Development Awards	93.976	153,933	-			153,933	-
		<u>168,298</u>	-			<u>168,298</u>	-
Medicare Access and CHIP Reauthorization Act	93.986	-	157,763	Yale New Haven Health System	20-A0-00-1005685	157,763	-
		-	<u>157,763</u>			<u>157,763</u>	-
International Research and Research Training	93.989	608,565	-			608,565	262,141
International Research and Research Training	93.989	-	(30)	University of Chicago	FP056723-B	(30)	-
International Research and Research Training	93.989	-	60,417	Africa Health Research Institute	LoA R99	60,417	-
International Research and Research Training	93.989	50,571	-			50,571	38,137
TYPE A: Interrupting HIV and TB Stigma in the Household during TB Contact Investigation in Uganda	93.989	-	37,542	Yale University	GR107717 (CON-80001953)	37,542	-
		<u>659,136</u>	<u>97,929</u>			<u>757,065</u>	<u>300,278</u>
Engineering an Online STI Prevention Program	93.RD	-	33,877	Pennsylvania State University	S001505-DHHS	33,877	-
Linking State Medicaid and Child Welfare data for Outcomes Research on Treatment for Opioid Use Disorder and Other Behavioral Health Issues	93.RD	-	(39,864)	RTI International	29-312-0214780-65751L	(39,864)	-

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
NDEWS: A New Paradigm for Drug Early Warning Systems	93.RD	-	(25)	University of Maryland, College Park	87756-20288202	(25)	-
Pilot Testing, Refinement, and Validating of the NBT, and Preparation for Norming Study	93.RD	-	73,216	Northwestern University	SP0064431 60057520 TO2 NYU Amd 1	73,216	-
Promoting and Supporting Innovation in TANF Data	93.RD	-	50,446	MDRC	TDI CLIN 1 Years 3 FUNDING to transfer	50,446	-
		-	117,650			117,650	-
<b>Total US Department of Health and Human Services</b>		<b>404,664,746</b>	<b>57,713,645</b>			<b>462,378,391</b>	<b>71,331,381</b>
<b>Department of Homeland Security</b>							
Assistance to Firefighters Grant	97.044	128,206	-			128,206	-
		128,206	-			128,206	-
Dynamic Resilient Network Planning for Interdependent Critical Infrastructures	97.061	-	(8,674)	University of Illinois at Urbana-Champaign	077083-16373 Mod 04	(8,674)	-
Multi-Layer Cyber-Physical Supply Chain Risk Analysis for Improving the Resilience of IoT-Enabled Critical Infrastructures	97.061	-	101,392	The Board of Trustees at The University of Illinois	077083-17424 Mod 3	101,392	-
		-	92,718			92,718	-
Text-Enabled CVE Gatekeeper Intervention Help-Line & Referral System	97.RD	-	423	Georgia State University	SP00012590-01	423	-
		-	423			423	-
<b>Total Department of Homeland Security</b>		<b>128,206</b>	<b>93,141</b>			<b>221,347</b>	<b>-</b>
<b>U.S. Agency for International Development</b>							
Type A: Novel Pb Alloys Based Composite Foams Containing Hybrid of Fly Ash Microballoons Waste and Gas Pores for Light Weight Batteries	98.001	-	47,841	National Academy of Sciences	2000010558 Mod 01	47,841	-
USAID Foreign Assistance for Programs Overseas	98.001	-	47,935	Purdue University	F9002550402096	47,935	-
<b>Total U.S. Agency for International Development</b>		-	95,776			95,776	-
<b>Total Research and Development Cluster</b>		<b>472,663,296</b>	<b>69,715,728</b>			<b>542,379,024</b>	<b>78,190,413</b>
<b>Highway Planning and Construction Cluster</b>							
<b>U.S. Department of Transportation</b>							
(Kerr) UTRC September 11th Memorial Program Academic Initiative: Transportation Infrastructure Management System for Long Range Needs Assessment	20.205	-	34,002	Research Foundation of CUNY on behalf of City University of New York	Subaward # CM00005104	34,002	-
C2SMART Tier 1 University Transportation Research Center Research Consortium Term Agreement	20.205	-	422,232	New York State Department of Transportation	Task Assignment SR-20-02	422,232	25,298
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	-	3,996	Research Foundation of CUNY on behalf of City College of New York	RF# 57315-01-28 NCE	3,996	-
Phases to Improve Highway Mobility and Drivers Experience							
Task 2. Develop a Multi-agency/Multimodal Construction Management Tool to Enhance Coordination Projects City-wide During Planning and Operation	20.205	-	129,609	Research Foundation of CUNY on behalf of City College of New York	57315-01-29 NCE	129,609	-
Phases to Improve Highway Mobility and Drivers Experience - Phase 3	20.205	-	75,381	Research Foundation of CUNY on behalf of City College of New York	57315-03-29 NCE	75,381	-
Task 7. CIDNY Research on Pedestrian Safety Using ITS Technology in NYC - Phase 3							
<b>Total U.S. Department of Transportation</b>		-	665,220			665,220	25,298
<b>Total Highway Planning and Construction Cluster</b>		-	665,220			665,220	25,298
<b>Trio Cluster</b>							
<b>U.S. Department of Education</b>							
TRIO Student Support Services	84.042	260	-			260	-
TRIO Student Support Services	84.042	417,854	-			417,854	250
<b>Total U.S. Department of Education</b>		<b>418,114</b>	<b>-</b>			<b>418,114</b>	<b>250</b>
<b>Total TRIO Cluster</b>		<b>418,114</b>	<b>-</b>			<b>418,114</b>	<b>250</b>
<b>Student Financial Aid Cluster</b>							
<b>U.S. Department of Education</b>							
Federal Supplemental Educational Opportunity Grants							
Federal Supplemental Educational Opportunity Grants	84.007	3,133,431	-			3,133,431	-
Federal Supplemental Educational Opportunity Grants	84.007	4,520,300	-			4,520,300	-
<b>Total Federal Supplemental Educational Opportunity Grants</b>		<b>7,653,731</b>	<b>-</b>			<b>7,653,731</b>	<b>-</b>
<b>Federal Work-Study Program</b>							
Federal Work-Study Program	84.033	4,614,096	-			4,614,096	65,711
Federal Work-Study Program	84.033	972,051	-			972,051	-
Federal Work-Study Program	84.033	(3,332)	-			(3,332)	-
<b>Total Federal Work-Study Program</b>		<b>5,582,815</b>	<b>-</b>			<b>5,582,815</b>	<b>65,711</b>

The accompanying notes are an integral part of this schedule

# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
SMART grant 2010-2011	84.375	2,000	-			2,000	-
		2,000	-			2,000	-
ACG 2010-2011	84.376	3,184	-			3,184	-
		3,184	-			3,184	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379	193,897	-			193,897	-
		193,897	-			193,897	-
Federal Direct Loan Program							
Federal Direct Student Loans	84.268	639,181,356	-			639,181,356	-
Total Federal Direct Student Loans		639,181,356	-			639,181,356	-
Federal Pell Grant Program							
Federal Pell Grant Program	84.063	29,891,271	-			29,891,271	-
Total Federal Pell Grant Program		29,891,271	-			29,891,271	-
Federal Perkins Loan Program							
Federal Perkins Loan Program	84.038	42,531,278	-			42,531,278	-
• Outstanding loans at September 1, 2020		42,531,278	-			42,531,278	-
Total Federal Perkins Loan Program		42,531,278	-			42,531,278	-
<b>Total U.S. Department of Education</b>		<b>725,039,532</b>	<b>-</b>			<b>725,039,532</b>	<b>65,711</b>
<b>U.S. Department of Health and Human Services</b>							
Health Professions Student Loan Program							
Health Professions Student Loan Program/Loans to Disadvantaged Students	93.342	20,052,823	-			20,052,823	-
• Outstanding loans at September 1, 2020		6,042,971	-			6,042,971	-
• New loans issued during fiscal year 2021		13,989,852	-			13,989,852	-
Total Health Professions Student Loan Program		26,095,794	-			26,095,794	-
Nursing Student Loans							
Undergraduate Nursing Student Loans	93.364	1,297,134	-			1,297,134	-
• Outstanding loans at September 1, 2020		265,984	-			265,984	-
• New loans issued during fiscal year 2021		1,031,150	-			1,031,150	-
Total Nursing Student Loan Program		1,563,118	-			1,563,118	-
Graduate Nursing Loans							
Graduate Nursing Student Loans	93.364	147,954	-			147,954	-
• Outstanding loans at September 1, 2020		-	-			-	-
• New loans issued during fiscal year 2021		147,954	-			147,954	-
Total Graduate Nursing Loan Program		147,954	-			147,954	-
Nursing Faculty Loans							
Faculty Nursing Student Loans	93.264	830,618	-			830,618	-
• Outstanding loans at September 1, 2020		15,000	-			15,000	-
• New loans issued during fiscal year 2021		815,618	-			815,618	-
Total Nursing Faculty Loans		845,618	-			845,618	-
<b>Total U.S. Department of Health and Human Services</b>		<b>28,652,484</b>	<b>-</b>			<b>28,652,484</b>	<b>-</b>
<b>Total Student Financial Aid Cluster</b>		<b>753,692,016</b>	<b>-</b>			<b>753,692,016</b>	<b>65,711</b>
<b>Other Programs</b>							
U.S. Department of Defense							
Basic Scientific Research	12.431	156,694	-			156,694	-
Basic Scientific Research	12.431	126,086	-			126,086	-
Basic Scientific Research	12.431	5,000	-			5,000	-
Hybrid Epitaxial Semiconductor-Superconductor Qubits	12.431	-	150,375	University of Maryland	60590-Z8078201 Amd C	150,375	-
		287,780	150,375			438,155	-
Arches: Autonomous Resilient Cognitive Heterogeneous Swarms	12.630	-	942	University of Pennsylvania	572622	942	-
		-	942			942	-
Language Grant Program	12.900	46,800	-			46,800	18,000
		46,800	-			46,800	18,000
Air force Medical Readiness Agency Mental Health Resilience Program Evaluation and Enhancement	12.U01	-	75,928	Cherokee Insights LLC	29700-0005	75,928	-
		-	75,928			75,928	-
<b>Total U.S. Department of Defense</b>		<b>334,580</b>	<b>227,245</b>			<b>561,825</b>	<b>18,000</b>

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
<b>U.S. Department of Justice</b>							
Implementing Task force Data Collection Recommendations in California	16.710	-	(553)	State of California Office of the Attorney General	2016-CK-WX-K016 A01	(553)	-
		-	(553)			(553)	-
<b>Total U.S. Department of Justice</b>		-	(553)			(553)	-
<b>U.S. Department of State</b>							
Investing in People in The Middle East and North Africa	19.021	2,082	-			2,082	-
Investing in People in The Middle East and North Africa	19.021	12,096	-			12,096	-
Investing in People in The Middle East and North Africa	19.021	14,774	-			14,774	-
Investing in People in The Middle East and North Africa	19.021	29,329	-			29,329	-
		58,281	-			58,281	-
Educational and Cultural Exchange Programs Appropriation Overseas Grants	19.022	18,695	-			18,695	-
Strengthening Academic Institutions and Cultures at the University of Fallujah	19.022	-	87,929	International Research and Exchange Board	FY21-ILUF-NYU-01 NCE	87,929	23,797
		18,695	87,929			106,624	23,797
Public Diplomacy Programs	19.040	31,142	-			31,142	-
		31,142	-			31,142	-
<b>Total U.S. Department of State</b>		108,118	87,929			196,047	23,797
<b>U.S. Department of Transportation</b>							
Engineering Design and Inspection Services Citywide for Intelligent Transportation (ITS) Related and Planning Projects	20.200	-	391	Research Foundation of CUNY on behalf of City College of New York	70025-01-28 NCE No. 3	391	-
		-	391			391	-
Highway Training and Education	20.215	17,500	-			17,500	-
Highway Training and Education	20.215	4,950	-			4,950	-
		22,450	-			22,450	-
University Transportation Centers Program	20.701	1,368,860	-			1,368,860	515,293
		1,368,860	-			1,368,860	515,293
<b>Total U.S. Department of Transportation</b>		1,391,310	391			1,391,701	515,293
<b>Federal Communications Commission (FCC)</b>							
COVID-19 Telehealth Program	32.006	963,948	-			963,948	-
<b>Total Federal Communications Commission</b>		963,948	-			963,948	-
<b>National Aeronautics and Space Administration</b>							
(Pope) Finding Planets around Naked Eye Stars	43.001	-	17,265	Jet Propulsion Laboratory	1592259	17,265	-
Seeing in the dark: Revealing dark matter microphysics with substructure lensing	43.001	-	12,321	Ohio State University	60067578 A04	12,321	-
<b>Total National Aeronautics and Space Administration</b>		-	29,586			29,586	-
<b>Federal Council on the Arts and The Humanities</b>							
Promotion of the Arts Grants to Organizations and Individuals	45.024	763	-			763	-
Promotion of the Arts Grants to Organizations and Individuals	45.024	10,000	-			10,000	-
		10,763	-			10,763	-
Education in Intellectual Property and Tribal Governance for Negotiating With Cultural Institution	45.311	-	2,223	Penobscot Nation	NG-03-18-0183-18	2,223	-
		-	2,223			2,223	-
<b>Total Federal Council on the Arts and The Humanities</b>		10,763	2,223			12,986	-
<b>Institute of Museum and Library Services</b>							
Laura Bush 21st Century Librarian Program	45.313	61,231	-			61,231	49,974
Laura Bush 21st Century Librarian Program	45.313	12,790	-			12,790	10,151
<b>Total Institute of Museum and Library Services</b>		74,021	-			74,021	60,125
<b>National Endowment for the Humanities</b>							
Promotion of the Humanities Division of Preservation and Access	45.149	72,743	-			72,743	-
		72,743	-			72,743	-
<b>Total National Endowment for the Humanities</b>		72,743	-			72,743	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
<b>Department of Veterans Affairs</b>							
Management of Severe Hearing Loss in the Veterans Health Administration	64.054	-	15,003	Veterans Affairs New York Harbor Healthcare System	N/A	15,003	-
		-	15,003			15,003	-
Vocational Rehabilitation for Disabled Veterans	64.116	22,600	-			22,600	-
		22,600	-			22,600	-
A multi-modal physician-centered intervention to improve guideline-concordant prostate cancer imaging	64.U01	(174)	-			(174)	-
		(174)	-			(174)	-
<b>Total Department of Veterans Affairs</b>		22,426	15,003			37,429	-
<b>Environmental Protection Agency</b>							
Environmental Education Grants	66.951	9,739	-			9,739	7,389
<b>Total Environmental Protection Agency</b>		9,739	-			9,739	7,389
<b>U.S. Department of Energy</b>							
Breakthrough Electrolytes for Energy Storage (BEES)	81.049	-	138,553	Case Western Reserve University	RES513719	138,553	-
office of Science Financial Assistance Program	81.049	174,734	-			174,734	-
office of Science Financial Assistance Program	81.049	380,272	-			380,272	-
Quantum Materials for Energy Efficient Neuromorphic Computing (Q-MEEN-C)	81.049	-	174,484	University of California San Diego	111163617 (S9002150) A002	174,484	-
		555,006	313,037			868,043	-
Multi-modal Energy-optimal Trip Scheduling in Real-time (METS-R) for Transportation Hubs	81.086	-	28,452	Purdue University	14000391-018 Amd 2	28,452	-
		-	28,452			28,452	-
Ice Sheet Model Optimization and Uncertainty Quantification	81.U01	-	147,840	Triad National Security LLC	458494 Mod 5	147,840	-
		-	147,840			147,840	-
<b>Total U.S. Department of Energy</b>		555,006	489,329			1,044,335	-
<b>U.S. Department of Education</b>							
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	237,110	-			237,110	65,775
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	274,562	-			274,562	14,265
TYPE A: 84.051A CU-NYU Latin American & Caribbean Studies Consortium Project	84.015	-	81,960	Columbia University	1(GG013993) Amendment 3	81,960	-
		511,672	81,960			593,632	80,040
P-TECH 9-14: An Impact Implementation and Cost Study	84.305	-	20,848	MDRC	1168-NYU-01 Mod 02	20,848	-
School Support School Connectedness and the Educational Outcomes of for Military- Connected Students:							
An Exploratory Study of Student Mobility	84.305	-	69,025	Boston University	4500002734	69,025	-
Transdisciplinary Approaches to Improving Opportunities and Achievement for English Learners in Secondary Settings	84.305	-	204,450	University of Houston	R-20-0084 Amd 1	204,450	-
		-	294,323			294,323	-
Summative Study of the Teacher School Leaders Bronx Human Capital Initiative on Teacher Preparation Hiring and Retention.	84.374	-	40,397	Eskolta School Research and Design Inc.	N/A	40,397	-
		-	40,397			40,397	-
COVID-19 CARES Act: Higher Education Emergency Relief Fund - Institutional Portion	84.425F	58,088,378	-			58,088,378	-
COVID-19 CARES Act: Higher Education Emergency Relief Fund	84.425E	48,971,724	-			48,971,724	-
		107,060,102	-			107,060,102	-
<b>Total U.S. Department of Education</b>		107,571,774	416,680			107,988,454	80,040
<b>US Department of Health and Human Services</b>							
Training in General, Pediatric, and Public Health Dentistry	93.059	13,492	-			13,492	-
Training in General, Pediatric, and Public Health Dentistry	93.059	215,086	-			215,086	-
		228,578	-			228,578	-
Sexual Risk Avoidance Education	93.060	51,541	-			51,541	-
Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHPEP) Aligned Cooperative Agreements	93.074	51,541	-			51,541	-
		-	172,588	Public Health Solutions	17-A0-00-1001354	172,588	-
		-	172,588			172,588	-
Healthy Marriage and Relationship Education Grants	93.086	-	76,330	Phoenix House	N/A	76,330	-
		-	76,330			76,330	-
93.243SAMHSA Grant SM08785-01 and the Central East MHTTC Danya Institute Inc.	93.243	-	10,788	The Danya Institute Inc.	SM08785-01	10,788	-

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# New York University

## Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

Federal Program	Assistance Listing	Direct	Pass-Through	Pass-Through Entity	Pass-Through Entity Sponsor Number / Contract Award Number	Total Expenditures	Passed to Sub-Recipients
SAMHSA Grant SM08785-02 and the Central East MHTTC Danya Institute Inc.	93.243	-	19,245	The Danya Institute Inc.	Agreement SM08785-03	19,245	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243	99,894	-			99,894	-
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243	205,565	-			205,565	-
		<u>305,459</u>	<u>30,033</u>			<u>335,492</u>	-
Resilient and Responsive Health Systems (RRHS) Initiative	93.266	-	230,839	Brigham and Women's Hospital	116337 Amendment 8	230,839	-
Type A: Resilient and Responsive Health Systems (RRHS) Initiative	93.266	-	(95)	Brigham and Women's Hospital	116337 Amendment 5	(95)	-
		-	<u>230,744</u>			<u>230,744</u>	-
COVID-19 Testing for the Uninsured	93.461	5,897,125	-			5,897,125	32,238
		<u>5,897,125</u>	-			<u>5,897,125</u>	<u>32,238</u>
COVID-19 CARES Act Provider Relief Fund	93.498	546,348,945	-			546,348,945	-
		<u>546,348,945</u>	-			<u>546,348,945</u>	-
PPHF Geriatric Education Centers	93.969	127	-			127	-
		<u>127</u>	-			<u>127</u>	-
Preventive Health and Health Services Block Grant	93.991	-	119,874	NYS Department of Health	18-A0-00-1001993	119,874	-
		-	<u>119,874</u>			<u>119,874</u>	-
Maternal and Child Health Services Block Grant to the States	93.994	-	5,293	NYS Department of Health	17-WH-CN-100010	5,293	-
		-	<u>5,293</u>			<u>5,293</u>	-
The Rest of Us	93.U01	-	8,869	The Danya Institute Inc.	MHTTC-03	8,869	-
Whole Genome Sequencing: The Intergenerational Impact of Genetic and Psychological Factors is on Body Mass Index Study on African Americans	93.U01	17,513	-			17,513	14,278
		<u>17,513</u>	<u>8,869</u>			<u>26,382</u>	<u>14,278</u>
<b>Total US Department of Health and Human Services</b>		<u>552,849,288</u>	<u>643,731</u>			<u>553,493,019</u>	<u>46,516</u>
<b>Corporation for National and Community Service</b>							
Evaluation of the Corporation for Supportive Housing's Social Innovation Fund Initiative	94.019	-	25	Corporation for Supportive Housing	11SIHNY001	25	-
<b>Total Corporation for National and Community Service</b>		-	<u>25</u>			<u>25</u>	-
<b>U.S. Department of Homeland Security</b>							
Capped Grant	97.036	-	16,912,713	NYS Division of Homeland Security and Emergency Management	PW4005	16,912,713	-
Project Worksheets	97.036	-	370,735	NYS Division of Homeland Security and Emergency Management	PW 00006, PW 00007	370,735	-
COVID-19 Expedited Project Worksheets	97.036	-	214,026,443	NYS Division of Homeland Security and Emergency Management	PW 00006, PW 00180	214,026,443	-
<b>Total U.S. Department of Homeland Security</b>		-	<u>231,309,891</u>			<u>231,309,891</u>	-
<b>Total Other Programs</b>		<u>663,963,716</u>	<u>233,221,480</u>			<u>897,185,196</u>	<u>751,160</u>
<b>Total Expenditures of Federal Awards</b>		<u>\$ 1,890,737,142</u>	<u>\$ 303,602,428</u>			<u>\$ 2,194,339,570</u>	<u>\$ 79,032,832</u>

The accompanying notes are an integral part of this schedule

# New York University

## Notes to Schedule of Expenditures of Federal Awards

### Year Ended August 31, 2021

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#### 1. Basis of Presentation

The accompanying schedule of expenditures of federal awards (“the Schedule”) presents the federal grant activity of 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 NYU 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, with the exception of NYU Langone Hospitals, as described in Note 2, does not use the 10% de-minimis indirect cost rate for sponsored programs.

#### 2. Facilities and Administrative Cost Rates

The University had predetermined facilities and administrative cost rates for the fiscal year ended 2021, 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 2021. The base rate for off-campus research was 26% for fiscal 2021.

NYUGSoM and NYU Long Island School of Medicine had predetermined facilities and administrative cost rates for the fiscal year ended 2021, under separate rate agreements with the DHHS, their federal cognizant agency. The NYUGSoM base rates for on-campus and off-campus research, respectively, were 69.5% and 26% for fiscal 2021. The NYU Long Island School of Medicine base rates for on-campus and off-campus research, respectively, were 54% and 17% for fiscal 2021.



**New York University**  
**Notes to Schedule of Expenditures of Federal Awards**  
**Year Ended August 31, 2021**

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**3. 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, 2021 are presented below.

<b>Program</b>	<b>Assistance Listing</b>	<b>Amount Outstanding at August 31, 2021</b>
Federal Perkins Loan	84.038	\$ 35,225,238
Health Professions Student Loans - Loans to Disadvantaged Students	93.342	4,175,489
Health Professions Student Loans	93.342	19,293,225
Nursing Student Loans	93.364	1,387,806
Graduate Nursing Loans	93.364	134,503
Nursing Faculty Loans	93.264	699,606
Nursing Faculty Loans - ARRA	93.264	57,318
		<u>\$ 60,973,185</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, 2021.

The administrative cost allowance for the Pell Grant Program of \$27,765 and for the College Work Study Program of \$615,981 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, 2021.

**4. HRSA COVID-19 Testing and Treatment for the Uninsured**

NYU Langone Health conducted COVID-19 testing and/or provided treatment for uninsured individuals with a COVID-19 primary diagnosis on or after February 4, 2020 and as such has requested claims reimbursement under CFDA #93.461 Health Resources and Services Administration's ("HRSA") COVID-19 Claims Reimbursement to Health Care Providers and Facilities for Testing, Treatment and Vaccine Administration for the Uninsured program.

NYU has recorded \$5,897,125 on the Schedule of Expenditures of Federal Awards consisting of \$5,776,508 reimbursed to date from HRSA on claims with service dates during fiscal year 2021 and \$402,787 in claims with service dates in fiscal year 2021 that have either not yet been submitted to HRSA or have been submitted, but have not yet been reimbursed, and an adjustment of (\$282,170) related to claims with service dates during fiscal year 2020. Claims not yet submitted or reimbursed have been estimated based on services provided and expected reimbursement rates and any adjustments based on actual cash receipts, will be reflected in NYU's fiscal year 2022 Schedule of Expenditures of Federal Awards.

**New York University**  
**Notes to Schedule of Expenditures of Federal Awards**  
**Year Ended August 31, 2021**

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**5. Department of Health and Human Services Provider Relief Funds**

The Schedule includes grant activity related to the DHHS Coronavirus Aid Relief and Economic Security ("CARES") Act Assistance Listing Number 93.498. As required based on guidance in the 2021 OMB Compliance Supplement, the Schedule includes all Period 1 funds received between April 10, 2020 and June 30, 2020 and expended by June 30, 2021 as reported to HRSA via the PRF Reporting Portal.

# New York University

## Schedule of Financial Responsibility Ratios

### Year Ended August 31, 2021

(in thousands of dollars)

NYU participates in federal Title IV student financial assistance programs, which require it to meet standards of financial responsibility based on criteria determined by the U.S. Department of Education (ED), as set forth in 34 CFR 668.171. The criteria for private institutions include the annual calculation by ED of a financial responsibility composite score, as further specified in 34 CFR 668.172, using the institution's audited financial statements submitted with the annual Uniform Guidance (UG) report through ED's eZ-Audit system. The composite score is based on three ratios: Primary Reserve, Equity, and Net Income. Effective September 1, 2019, NYU is required to report the inputs used to calculate these three ratios as a disclosure in the UG report. These ratios utilize the following financial data of NYU, as of and for the year ended August 31, 2021:

Location in financial statements or related notes	Financial element	GAAP financial statement line item or disclosure	Amount used as ratio input
<b>Primary Reserve Ratio: Expendable Net Assets</b>			
Balance Sheet	Net assets without donor restrictions	\$ 6,936,140	\$ 6,936,140
Balance Sheet	Net assets with donor restrictions	5,112,901	5,112,901
Note 20, Financial Responsibility Ratios	Unsecured related party receivable	134,773	134,773
Note 20, Financial Responsibility Ratios	Total property, plant, and equipment, net	12,900,693	
Note 20, Financial Responsibility Ratios	Property, plant and equipment, net - pre-implementation		9,756,414
Note 20, Financial Responsibility Ratios	Property, plant and equipment, net - post-implementation with outstanding debt for original purchase		1,257,957
Note 20, Financial Responsibility Ratios	Property, plant and equipment, net - post-implementation without outstanding debt for original purchase		604,838
Note 20, Financial Responsibility Ratios	Construction in progress		1,281,485
Balance Sheet	Total lease right-of-use assets	2,154,999	
N/A	Lease right-of-use assets, pre-implementation		-
Balance Sheet	Lease right-of-use assets, post-implementation		2,154,999
Note 8, Other Assets	Intangible assets	51,293	51,293
Balance Sheet	Accrued benefit obligation	537,447	537,447
	Accrued postretirement obligation (Accrued employee benefit liabilities)	632,710	632,710
Note 20, Financial Responsibility Ratios	Total long-term debt	9,640,911	
Note 20, Financial Responsibility Ratios	Long-term debt - for long-term purposes pre-implementation		7,050,234
Note 20, Financial Responsibility Ratios	Long-term debt - for long-term purposes post-implementation		2,546,277
Note 20, Financial Responsibility Ratios	Line of Credit for Construction in progress		44,400
Balance Sheet	Total liability related to lease right-of-use assets	2,295,086	
N/A	Liability related to lease right-of-use assets - pre-implementation		-
Balance Sheet	Liability related to lease right-of-use assets - post-implementation		2,295,086
Note 20, Financial Responsibility Ratios	Annuities and life income funds with donor restrictions		99,113
Note 20, Financial Responsibility Ratios	Term endowments with donor restrictions		4,815
Note 20, Financial Responsibility Ratios	Net assets with donor restrictions: restricted in perpetuity		2,592,090
<b>Primary Reserve Ratio: Expenses and Losses</b>			
Note 20, Financial Responsibility Ratios	Total expenses and losses without donor restrictions	13,168,178	13,168,178
<b>Equity Ratio: Modified Net Assets</b>			
Balance Sheet	Net assets without donor restrictions	6,936,140	6,936,140
Balance Sheet	Net assets with donor restrictions	5,112,901	5,112,901
Note 8, Other Assets	Intangible assets	51,293	51,293
Note 20, Financial Responsibility Ratios	Unsecured related party receivable		134,773
<b>Equity Ratio: Modified Assets</b>			
Balance Sheet	Total assets	30,995,441	30,995,441
N/A	Lease right-of-use assets, pre-implementation		-
Note 8, Other Assets	Intangible assets	51,293	51,293
Note 20, Financial Responsibility Ratios	Unsecured related party receivable		134,773
<b>Net Income Ratio</b>			
Statement of activities	Increase in net assets without donor restrictions	1,305,425	1,305,425
Note 20, Financial Responsibility Ratios	Total revenues and gains without donor restrictions	14,473,603	14,473,603

**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, 2021, 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, 2021, except for Note 20 to the consolidated financial statements and with respect to the opinion on the schedule of financial responsibility ratios, as to which the date is April 28, 2022. Our opinion is not modified with respect to these matters.

**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) as a basis for designing 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 financial statements. 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.

*PricewaterhouseCoopers LLP*

New York, New York

December 13, 2021, except for Note 20 to the consolidated financial statements and with respect to the opinion on the schedule of financial responsibility ratios, as to which the date is April 28, 2022



**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, 2021. 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.

***Auditors' 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, 2021.

### ***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 2021-001. Our opinion on each major federal program is not modified with respect to these matters.

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.

*PricewaterhouseCoopers LLP*

New York, New York  
April 28, 2022

**Part IV**  
**Findings**

**New York University  
 Schedule of Findings and Questioned Costs  
 Year Ended August 31, 2021**

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**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  No
- Significant deficiency(ies) identified that are not considered to be material weaknesses?  Yes  None reported
- Noncompliance material to financial statements noted?  Yes  No

**Federal Awards**

Internal control over major programs:

- Material weakness(es) identified?  Yes  No
- Significant deficiency(ies) identified that are not considered to be material weaknesses?  Yes  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)?  Yes  No

**Identification of major programs:**

**Assistance Listing Number(s)**

**Name of Federal Program or Cluster**

<p>Various</p> <p>93.498</p> <p>84.425E, 84.425F</p> <p>93.461</p> <p>97.036</p>	<p>Student Financial Assistance Cluster</p> <p>COVID-19 CARES Act: Provider Relief Fund</p> <p>COVID-19 CARES Act: Higher Education Emergency Relief Fund</p> <p>COVID-19 Testing for the Uninsured</p> <p>COVID-19 Expedited Project Worksheets</p>
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Dollar threshold used to distinguish between type A and type B programs:

\$6,583,019

Auditee qualified as low-risk auditee?

Yes  No

# New York University

## Schedule of Findings and Questioned Costs

### Year Ended August 31, 2021

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#### 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

##### 2021-001: Advertising Expense Duplication

**Federal Agency: Department of Health and Human Services**

**Program: COVID-19 CARES Act Provider Relief Fund**

**Assistance Listing #: 93.498**

##### Criteria

In accordance with the Health Resources and Services Administration (HRSA) Provider Relief Fund Terms and Conditions, eligible providers may use Provider Relief Funds to prevent, prepare for, and respond to coronavirus, and for related expenses or lost revenues attributable to coronavirus.

##### Condition

Within its PRF – Reporting Period 1 report submitted in the HRSA portal, NYU Langone Hospitals reported total lost revenues of \$1,174,754,451, which exceeds the total payments received during the period (\$437,151,870) by \$737,602,581. NYU Langone Hospitals also reported total eligible expenditures of \$8,737,869. The expenditure listing included a duplication of expenditures related to three advertising invoices incurred to respond to coronavirus which totaled \$2,087,585.

##### Cause

Because the related invoices were for services provided over time, NYU Langone Hospitals appropriately recorded the invoices as prepaid expenses within the general ledger, and amortized the expense over the service period. However, in preparing the PRF – Reporting Period 1 submission, management did not identify the duplicate entries relating to advertising expenses, thus resulting in both the original invoice amounts and the related amortization expense being included in NYU Langone Hospitals' total expenses reported to HRSA.

##### Effect

The result of the condition caused a duplication of expenses reported within NYU Langone Hospitals' PRF – Reporting Period 1 submission.

##### Questioned Costs

There are no questioned costs associated with the finding. While NYU Langone Hospitals' submission to HRSA included \$2,087,585 of duplicate expenditures, the amount of lost revenues reported was far in excess of the funding received from the Provider Relief Program, such that this finding does not impact the total Provider Relief Program expenses recorded within the SEFA.

##### Recommendation

We recommend NYU Langone Hospitals perform a thorough review of all expenditures related to services provided over time charged to the grant to ensure transactions are not duplicated as well as adjust the expenses reported in the PRF – Reporting Period 2 report submission to HRSA.

##### 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**  
**Year Ended August 31, 2021**

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**Section II - Financial Statement Findings – 2020**

There are no findings from prior year that require an update in this report.

**Section III - Federal Award Findings and Questioned Costs – 2020**

There are no findings from prior year that require an update in this report.



**Management's View and Corrective Action Plan  
August 31, 2021**

**2021-001: Advertising Expense Duplication**

**Management Views and Opinion**

NYU Langone Health management agrees that expenditures reported on the PRF – Reporting Period 1 report submitted in the HRSA portal were overstated by \$2,087,585. The duplicated costs were for services provided over time and the invoices were appropriately recorded as prepaid expenses within the general ledger and amortized over the service period. However, in preparing the PRF - Reporting Period 1, both the amortized cost and the original invoice were included as unreimbursed COVID-19 expenses resulting in a duplication of costs on the PRF – Reporting Period 1 submission.

**Corrective Action Plan**

Upon identification, NYU Langone Health management's Research Finance department reviewed general ledger activity for other similar instances of prepaid amortizations reported in the PRF submission alongside the original invoice, noting no similar such instances. In addition, a listing of all prepaid expenses amortized over the reporting period was reviewed by NYU Langone Health management's Finance department noting that no other prepaid expenses were related to COVID-19 and thus no other expenses reported on the period 1 PRF report were at risk.

NYU Langone Health management will perform a similar review of prepaid expenses for the PRF – Reporting Period 2 submission and in that submission will adjust the total amount of reported expenditures down for the identified duplication.

**Timeline for Action Plan**

The corrective action plan will be implemented as follows:

NYU Langone Health management including Research Finance will immediately begin to monitor all prepaid amortizations to ensure that the original invoice is not duplicated with the amortized cost. In addition, when compiling future PRF – Reporting Period submissions, Financial Reporting will review the listing of all prepaid costs for the relevant period and ensure appropriate accounting occurred for any prepaid costs identified as related to COVID-19.

**Responsible Individual:** Timothy Fitzsimmons, Director Research Finance Operations  
Email: [timothy.fitzsimmons@nyulangone.org](mailto:timothy.fitzsimmons@nyulangone.org)

**Signature:** \_\_\_\_\_