

2013  
KU Endowment  
Annual Report

MOMENTUM

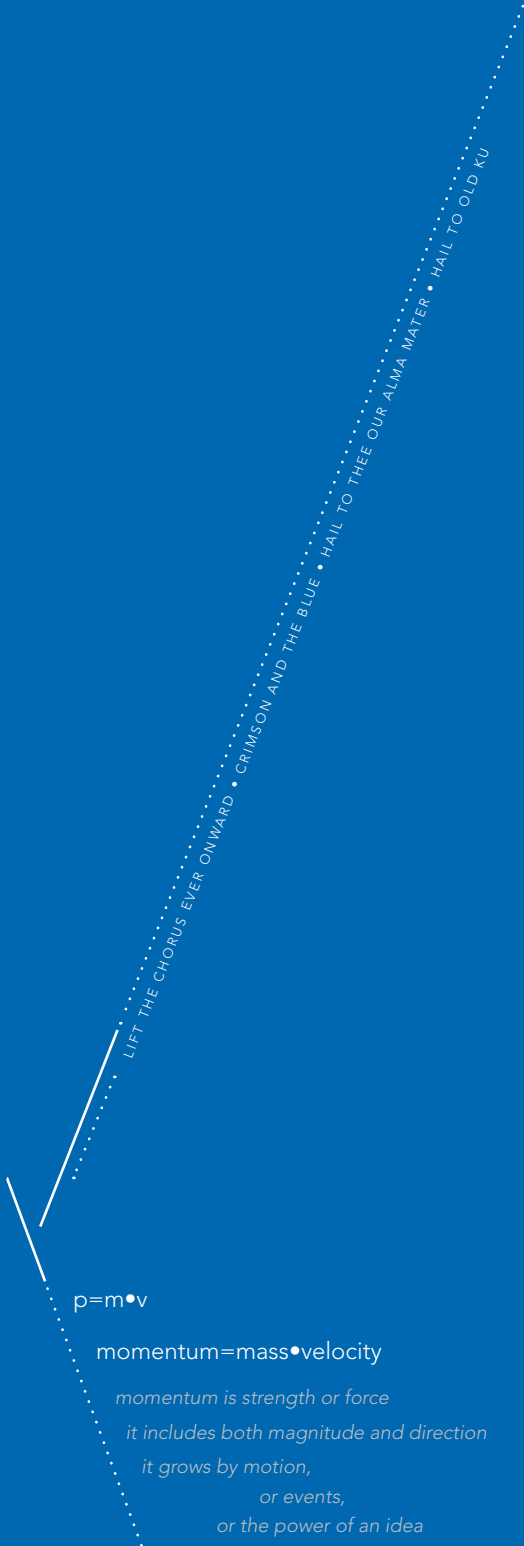
$p=m \cdot v$

FAR ABOVE THE GOLDEN VALLEY • GLORIOUS TO VIEW • STANDS OUR NOBLE ALMA MATER • TOWERING TOWARDS THE BLUE





2013  
KU Endowment  
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$$p=m \cdot v$$

momentum=mass•velocity

momentum is strength or force  
it includes both magnitude and direction  
it grows by motion,  
or events,  
or the power of an idea

*Conservation of momentum is an absolute symmetry of nature — we do not know of anything in nature that violates it.*  
Carl R. Nave, author, *HyperPhysics*

*Momentum is conserved!*  
Richard P. Feynman, theoretical physicist



## DEAR FRIENDS,

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**By any measure, we're moving with unprecedented momentum.**

For the sixth year in a row, donors like you helped us reach new heights in private support, amounting to \$174.2 million in fiscal year 2013—the highest level in our 122-year history at KU Endowment. Through your generosity, you have shown an unwavering belief in the power of philanthropy to transform lives.

At the University of Kansas, this momentum translates into propelling students' dreams toward reality...launching innovative research...inspiring renowned professors...building new facilities...and boosting libraries and museums. At The University of Kansas Hospital, this momentum translates into harnessing the power of academic medicine to provide compassionate care for patients and their families.

This year's fundraising success provides impetus for *Far Above: The Campaign for Kansas*; our goal is to raise \$1.2 billion by 2016. We celebrate this pinnacle in giving not just for its own sake, but because it ties directly to better lives, jobs and economic prosperity for the entire state of Kansas and our region. It's up to us, the alumni and friends of KU, to continue raising it to new heights.

We hope you feel a sense of pride as you review all the accomplishments your contributions made possible this fiscal year. The positive momentum created by your generosity is unstoppable.

With profound appreciation,



Drue Jennings  
Chairman of the Board



Dale Seufferling  
President



Drue Jennings and Dale Seufferling  
outside the Hill Engineering Research  
and Development Center, completed  
in 2013 with the support of donors  
Ronald and Sue Hill.



## FAR ABOVE: THE CAMPAIGN FOR KANSAS

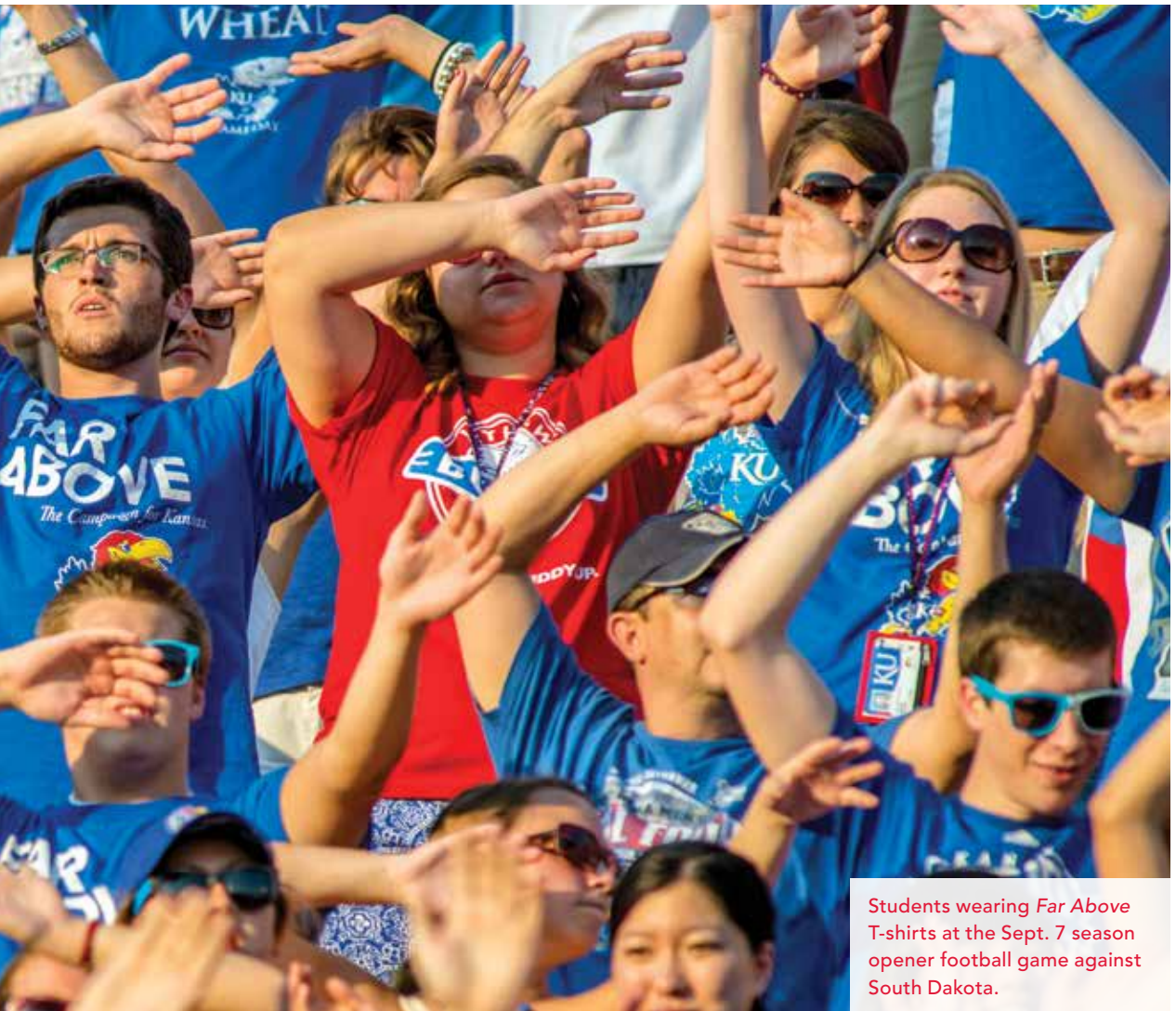
**\$75**  
first gift processed on July 1, 2008, first day of the campaign counting period; for the Dean's Opportunity Fund, School of Social Welfare

**205**  
number of campaign volunteers

**620,692**  
gifts credited toward the campaign

**Alumni and friends** have continued to respond vigorously to the campaign's message: Donor contributions stood at \$854 million as of June 30 (the end of our fiscal year) and climbed to \$923 million by Aug. 31. The overall goal is \$1.2 billion, all to better enable the University of Kansas and The University of Kansas Hospital to educate future leaders, advance medicine, accelerate discovery and drive economic growth to seize the opportunities of the future. The campaign is scheduled to conclude in June 2016.

During the fiscal year, KU Endowment volunteers took the campaign message across the country. At 18 events nationwide, more than 1,000 alumni, friends and supporters have welcomed the good news about the campaign and its importance to the university and the hospital.



Students wearing *Far Above* T-shirts at the Sept. 7 season opener football game against South Dakota.

As with all gifts to KU Endowment, donors designate how their campaign contributions will be used. To date, donors to *Far Above* have provided:

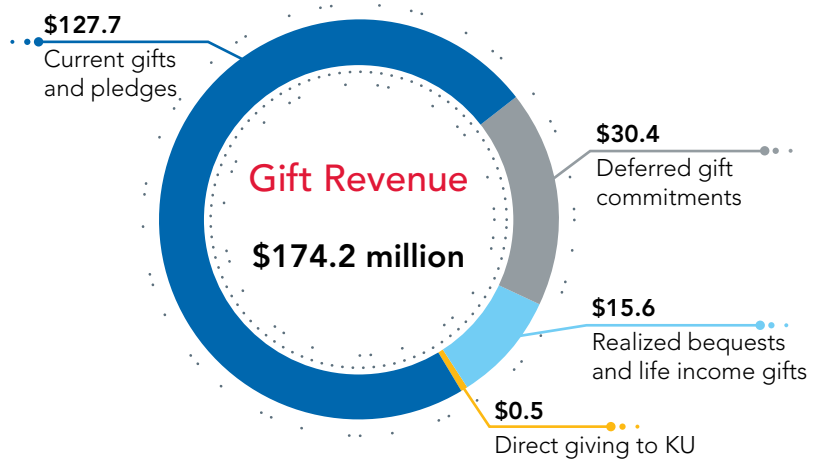
- More than 398 new student scholarships, fellowships and awards;
- Twenty-six professorships and one directorship;
- Facilities, including funds for a Lied Center expansion; a planned School of Business building; a student center that will house the *Rules of Basket Ball*; and an Engineering Research and Development Center, to name four;
- Support for patient care, the nurse navigation program, advanced heart care, and pavilions for cancer care and radiation oncology at The University of Kansas Hospital;
- Funding to strengthen research and academic programs in disciplines across the university and the medical center;
- *And much, much more.*

Additional work remains, no doubt. But we're confident that the continuing engagement of donors who care so deeply for the University of Kansas and The University of Kansas Hospital will carry the day.

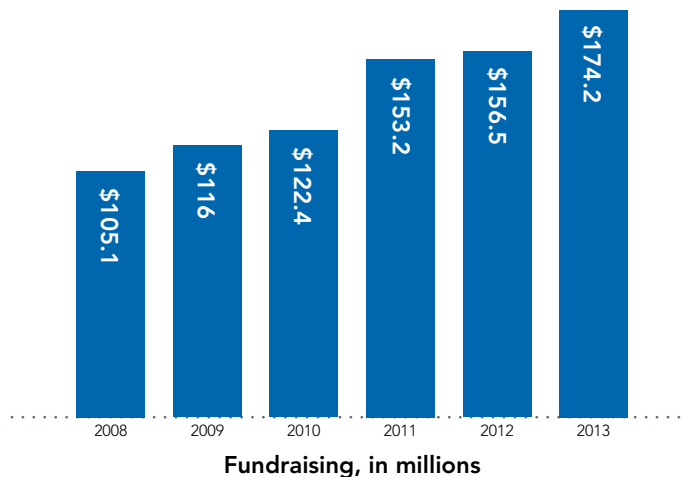
## SIX CONSECUTIVE RECORD YEARS OF DONOR CONTRIBUTIONS

**Donors to KU Endowment** continued to provide generous support for KU and The University of Kansas Hospital through fiscal year 2013. For the sixth year in a row, total fundraising reached a record high: \$174.2 million.

Donations came from 44,574 individuals, corporations and foundations. About 60 percent of donors reside in Kansas, but we also received gifts from donors in all 49 other states, the District of Columbia, Guam, the Virgin Islands, Puerto Rico and almost 30 foreign countries.



### Six years of record giving



#### \$250

first gift of the fiscal year, for infectious disease research, July 1, 2012, 12:02 a.m.

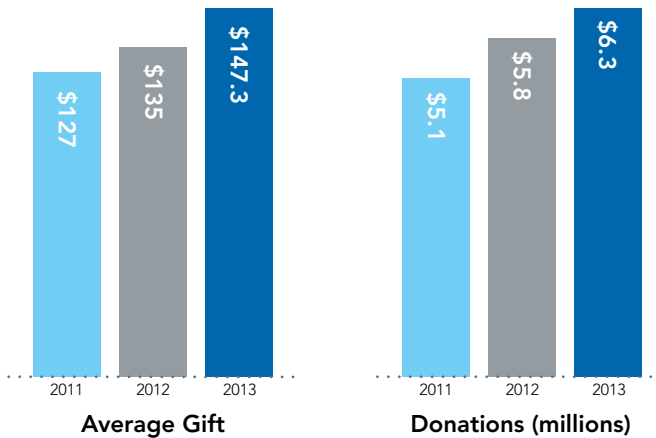
#### \$100

last gift of the fiscal year, for the School of Law, June 30, 2013, 10:32 p.m.



## Annual Giving

Our Annual Giving department seeks annual gifts for KU through direct mail, email and telephone appeals. In fiscal 2013, these combined appeals raised \$6.3 million, a record amount. Donors made 42,937 gifts this year through Annual Giving; the average gift was \$147.29, the highest average ever.



## The digital dollar

KU Endowment announced its “easy, fast, secure” online giving system ten years ago. Since then, donors have increasingly taken advantage of the dozens of giving options available at kuendowment.org. Online donations have topped \$1 million annually for the past three years.

**Make a Gift**

**4,617**  
online gifts = **\$1,507,190**

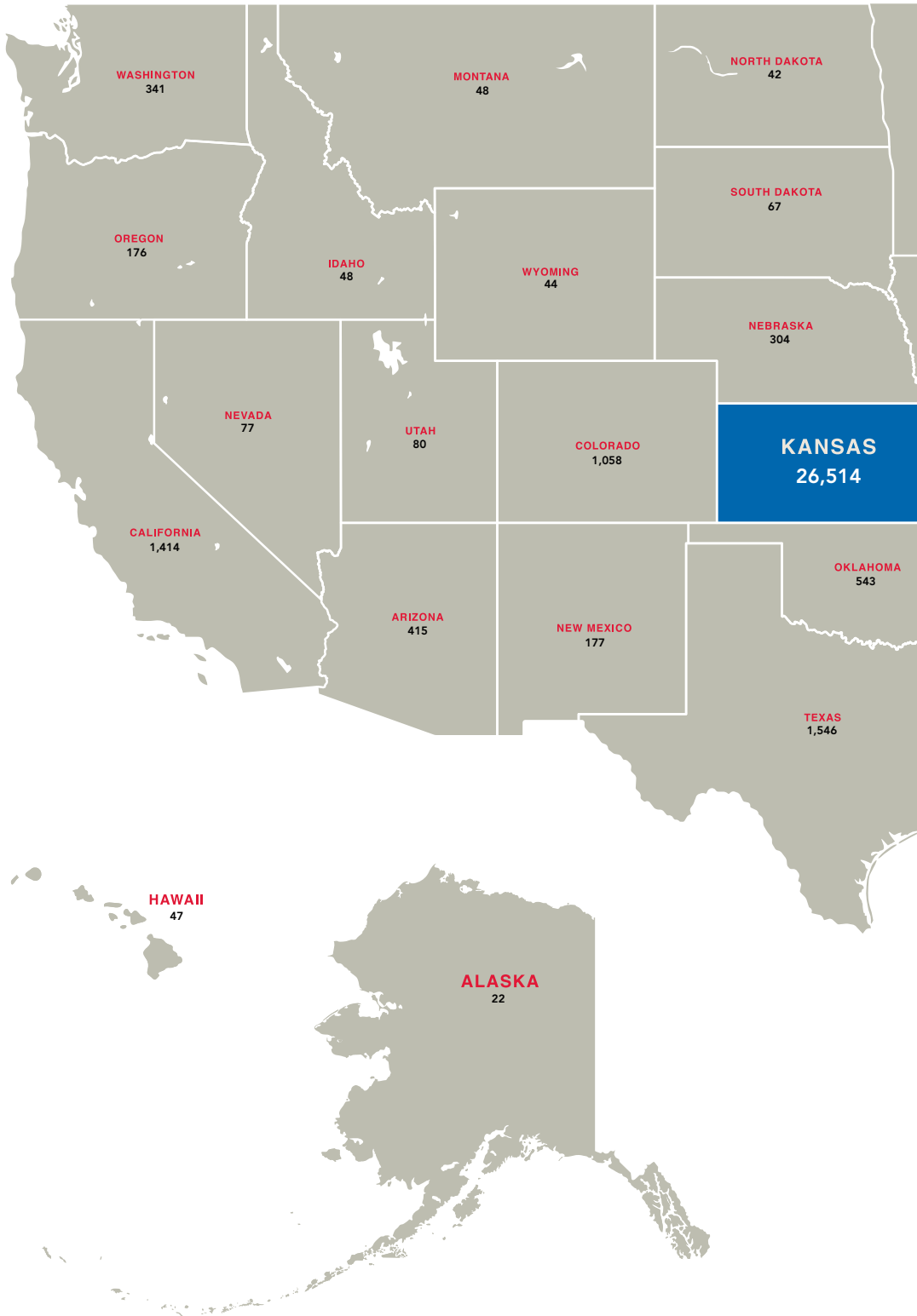
— •• —

**26,722**  
gifts from outside Kansas

**\$89,888,000+**  
value of gifts from  
outside Kansas

••

# WHERE OUR DONORS COME FROM



## OUR DONORS

**25,932**  
alumni individuals

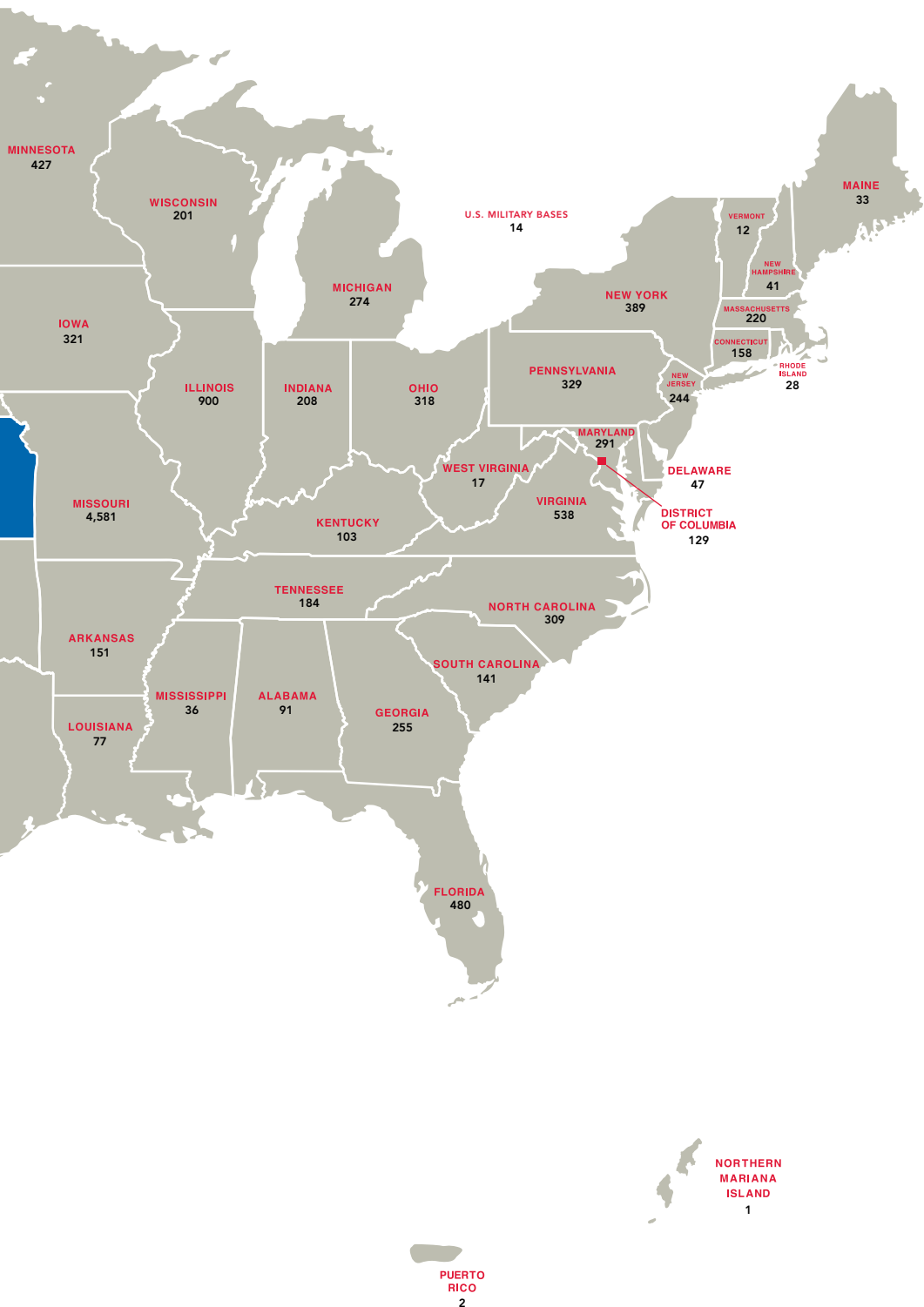
**16,936**  
non-alumni individuals

**1,706**  
organizations

**44,574**  
total

**8,520**  
first-time donors

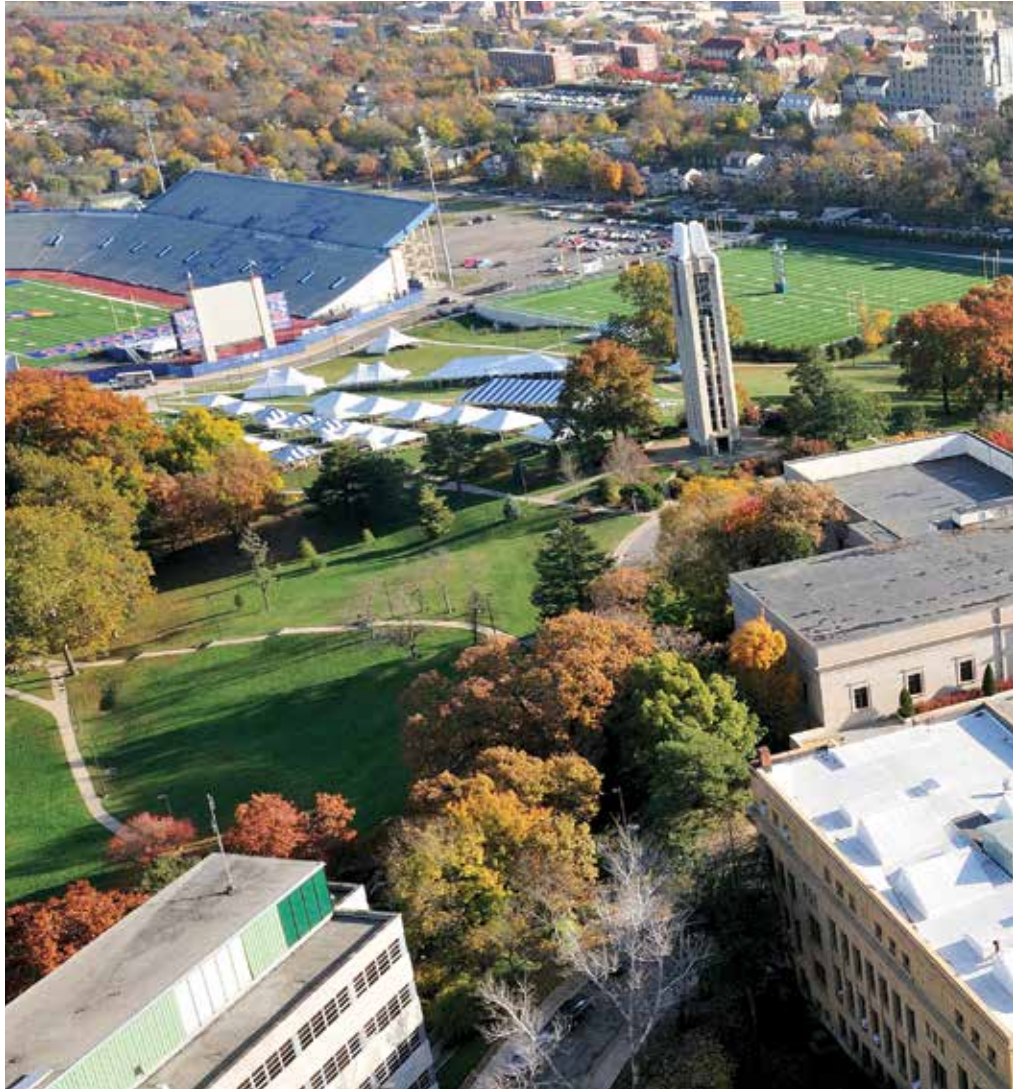
**\$10,128,589**  
total donations from  
first-time donors



TOP TEN OTHER COUNTRIES BY GIFTS

- Canada
- United Kingdom
- Japan
- Republic of Korea
- Germany
- Costa Rica
- Finland
- Hong Kong
- Republic of Singapore
- China, People's Republic





## TO REACH OUR ASPIRATIONS

27,784  
KU's total enrollment

25.3  
average incoming  
ACT score

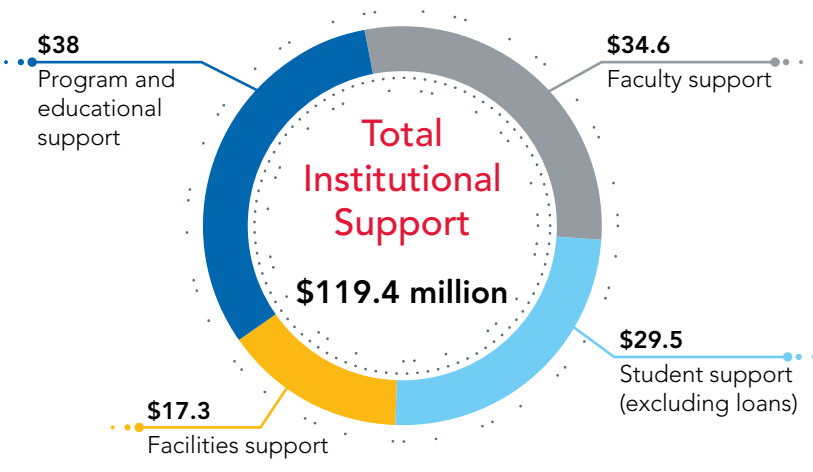
48  
nationally ranked  
academic programs

9  
specialties at  
The University of Kansas  
Hospital ranked on *U.S.  
News & World Report's*  
Best Hospitals list

**Private giving through KU Endowment** is increasingly necessary to maintain the momentum of KU. In fiscal 2013, KU Endowment's support totaled \$119.4 million, a new all-time record, surpassing the previous high set in fiscal 2012. Since our founding in 1891, we have provided more than \$2 billion in support.



Central campus on a bright fall morning — where else would you rather be?



# TO MOVE STUDENTS FORWARD

**“Professors with a passion for learning really helped me to discover** that I had a passion for learning,” Topeka senior Ted Christensen says.

That passion shows. Christensen, a biochemistry major, has received numerous top-level scholarships and awards from the university. And in 2012, he was one of just four KU students, and one of 282 nationwide, to win a Barry M. Goldwater Scholarship. He calls that award “the crowning achievement of the undergraduate science researcher.”

Moreover, he sees a connection between the KU scholarships and the Goldwater: “If I hadn’t had the Summerfield or University Scholarships, I don’t think I would have been able to compete for the Goldwater Scholarship. I wouldn’t have had the early research involvement and experience to compete for that.”

Since his freshman year, he has assisted with research in the lab of Liang Tang, associate professor of molecular bioscience.

“It’s a structural biology lab. We look at proteins from infective agents like salmonella or herpes to see how their structure supports their infectiveness,” he says. “We use X-ray crystallography to see structural changes in the proteins, and then we can hypothesize about how they work and how to prevent them from working. This could lead to new drugs that could bind to the shapes of these proteins.”

This year, more than 6,000 students received scholarships from KU Endowment funds, totaling \$27.2 million. In addition, loans, fellowships, awards and prizes raised the total to \$32.7 million in direct aid to students.

Private donations during the year created 79 new scholarship funds and 20 new student award and prize funds. KU Endowment funds virtually all scholarships and fellowships at KU.

**26**  
 Rhodes scholars, more than all other Kansas schools combined

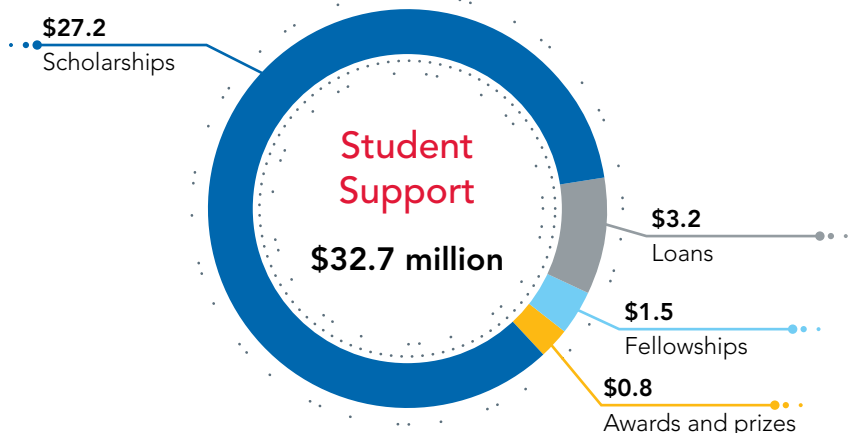
**83 percent**  
 proportion of students receiving aid who reside in Kansas

**105**  
 Kansas counties that are home to KU students

**50**  
 states that are home to KU students

**101**  
 other countries that are home to KU students

**600**  
 on-campus organizations created by students





Ted Christensen: University Scholarship, Summerfield Scholarship, Del and Carol Shankel Bio-Medical Scholarship, David Paretsky Honors Program Book Award

## TO INSPIRE FACULTY

**Winifred “Winnie” Dunn calls teaching** “the ultimate human experience— sharing knowledge and interests in a way that changes both teacher and student to be better than they could have been without each other.” Dunn is professor and chair of Occupational Therapy Education, School of Health Professions. She also researches how people understand and use the sensory input they’ve received, and how sensory processing abilities affect individuals’ performance in daily life. Her practice expertise is with children and families in community settings, such as public schools, early intervention programs, day care centers and family homes.

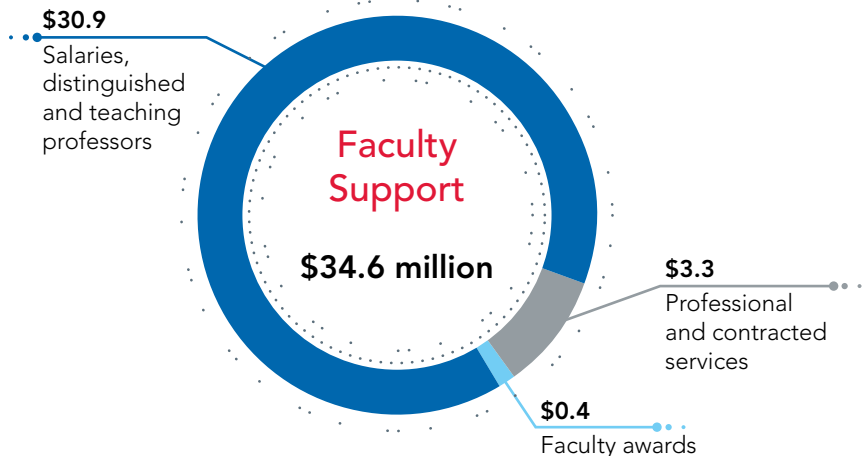
She joined KU’s faculty in 1986. In 2012, she was named a Chancellors Club Teaching Professor. That title is held by outstanding faculty who are chosen by students and colleagues; it is retained as long as they teach at KU.

KU’s success depends largely on faculty members like Dunn. These individuals— now more than 2,600 strong—teach our students, carry on ambitious research and provide public service across Kansas and beyond.

This year, KU Endowment provided \$34.6 million in direct support to faculty, including 179 named, endowed positions. Private funding augments salaries and supports awards, professional travel and professional development.

In fiscal 2013, donors gave \$3.7 million to establish seven new professorships, four at the KU Medical Center and three in Lawrence. Endowed professorships often qualify for additional salary enhancement by the Kansas Partnership for Faculty of Distinction Program. Since the state established this program in 2000, donor support for KU faculty has enabled the university to receive \$9.5 million in supplemental funding.

- 20**  
National Endowment for the Humanities Fellowships since 1999
- 2**  
KU’s rank in the nation for faculty Fulbright awards (304)
- 24**  
active faculty Fellows of the American Association for the Advancement of Science
- 30**  
National Science Foundation Career Award recipients
- 35**  
Guggenheim Memorial Foundation Fellowship recipients







Winifred "Winnie" Dunn:  
W. T. Kemper Fellowship for  
Teaching Excellence, 2004;  
Chancellors Club Teaching  
Professorship, 2012



## TO ACCELERATE ACADEMICS

345  
degree programs,  
including 112 healthcare-  
related programs

1,400  
students studying abroad  
annually

40+  
languages taught

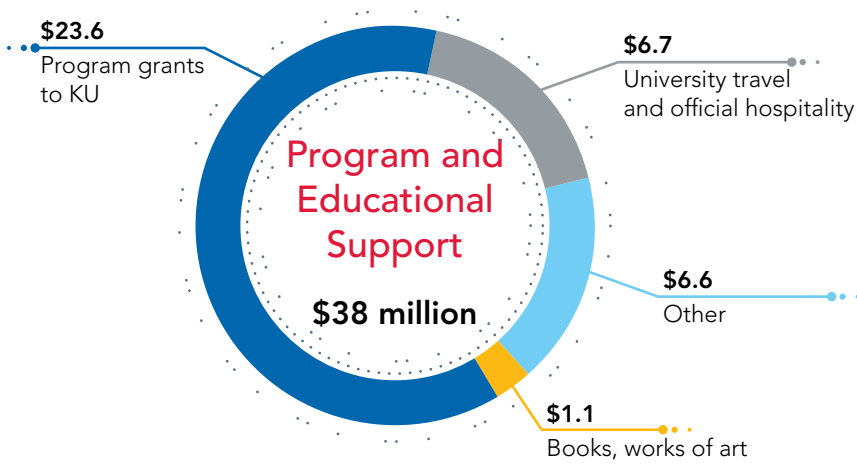
24  
active companies created  
from KU research

**Academic programs across the university** drew strength from private giving through KU Endowment. Philanthropy enabled KU to attract accomplished visiting scholars, compelling lecturers and spellbinding performers. It also bolstered outreach programs throughout the state and supported significant acquisitions by KU's library system and museums.

This year, donors enabled KU Endowment to provide \$38 million to support educational and program activities at KU.



The KU Wind Ensemble onstage in Helzberg Hall at Kansas City's Kauffman Center for the Performing Arts. In March, the ensemble traveled to Carnegie Hall in New York to play the world premiere of a symphony — all made possible by donor support.





## TO SUPPORT FACILITIES

50  
percentage of Kansas  
doctors educated at KU

100  
percentage of Kansas  
counties served through  
educational, patient care  
and research initiatives

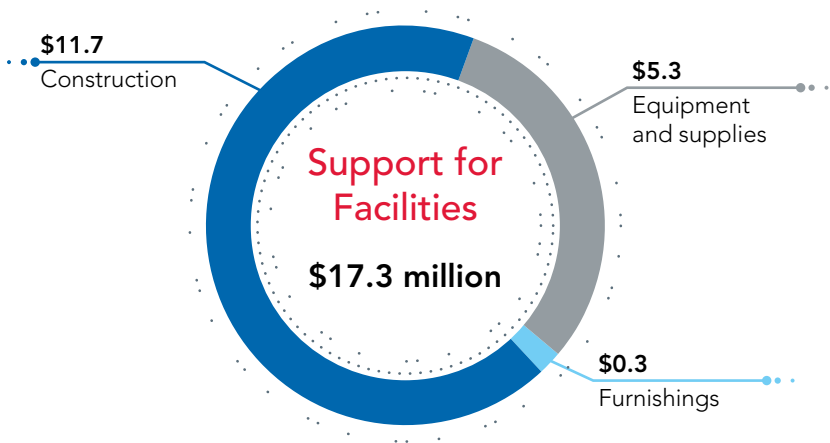
243  
acres owned by  
KU Endowment on  
or adjacent to KU's  
campuses in Lawrence,  
Kansas City and Wichita

**Expenditures for facilities** were about 18 percent higher in fiscal 2013 than last year. These expenditures are determined by the timing of construction projects and often shift significantly from year to year. Since 2000, support for construction, furnishings, equipment and supplies has totaled \$312.4 million.

Over the decades, private giving has provided about two-thirds of campus buildings and about 85 percent of the land available for campus expansion, both in Lawrence and in Kansas City.



For more than a century, the KU Medical Center has been training health care professionals for leadership roles in education, scientific research and clinical care.



## STATEMENT OF FINANCIAL POSITION

ASSETS	<i>thousands</i> June 30, 2013	<i>thousands</i> June 30, 2012
Cash and cash equivalents	\$ 9,162	\$ 6,808
Receivables: <i>Loans, pledges, other</i>	\$ 86,634	\$ 98,479
Investments: <i>Securities, trusts held by others, interest in other KU Endowment entities*, real estate</i>	\$ 1,426,315	\$ 1,306,469
Property on or adjacent to university campus: <i>Land, buildings, equipment &amp; furnishings, less accumulated depreciation</i>	\$ 34,785	\$ 25,979
Deposits and other assets	\$ 5,783	\$ 5,708
<b>TOTAL ASSETS</b>	<b>\$ 1,562,679</b>	<b>\$ 1,443,443</b>

LIABILITIES AND NET ASSETS		
Liabilities: <i>Accounts payable, accrued expenses, securities lending obligation, life income gift payables, agency funds</i>	\$ 95,889	\$ 106,063
<b>TOTAL NET ASSETS</b>	<b>\$ 1,466,790</b>	<b>\$ 1,337,380</b>
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$ 1,562,679</b>	<b>\$ 1,443,443</b>

\*Other entities include the KU Endowment Charitable Gift Fund, a separate 501(c)3 entity that administers gifts divided between KU Endowment and other charitable beneficiaries.

The Statement of Financial Position and Statement of Activities are excerpted from KU Endowment's 2013 financial statements, which have been audited by Ernst & Young, LLP. The full statements are posted at [www.kuendowment.org/auditreport](http://www.kuendowment.org/auditreport).

# STATEMENT OF ACTIVITIES

<b>REVENUES, GAINS AND OTHER SUPPORT</b>	<i>thousands</i> June 30, 2013	<i>thousands</i> June 30, 2012
Fundraising: <i>Contributions &amp; grants received &amp; pledged; bequests; life income gifts; other</i>	\$ 143,318	\$ 121,406
Income from asset holdings: <i>Investments; realized and unrealized gains (losses) on investments and trusts held by others; real estate; other income</i>	\$ 120,550	\$ (20,471)
Other receipts	\$ 3,047	\$ 3,427
<b>TOTAL REVENUES, GAINS &amp; OTHER SUPPORT</b>	<b>\$ 266,915</b>	<b>\$ 104,362</b>
<b>EXPENSES</b>		
University support (see note below): <i>Student support; faculty support and contractual services; construction, furnishings, equipment &amp; supplies; program and other educational support</i>	\$ 119,444	\$ 119,313
Supporting services: <i>Administrative and fundraising support; asset management expense; depreciation</i>	\$ 18,061	\$ 24,261
<b>TOTAL EXPENSES</b>	<b>\$ 137,505</b>	<b>\$ 143,574</b>
<b>CHANGE IN NET ASSETS</b>	<b>\$ 129,410</b>	<b>\$ (39,212)</b>
<b>NET ASSETS AT BEGINNING OF YEAR</b>	<b>\$ 1,337,380</b>	<b>\$ 1,376,592</b>
<b>NET ASSETS AT END OF YEAR</b>	<b>\$ 1,466,790</b>	<b>\$ 1,337,380</b>

Note: Expenditures from agency funds, which are owned by the university but managed by KU Endowment, provided additional university support of \$10 million in Fiscal 2013 and \$11.7 million in Fiscal 2012.

# ASSET VALUES AND ALLOCATIONS

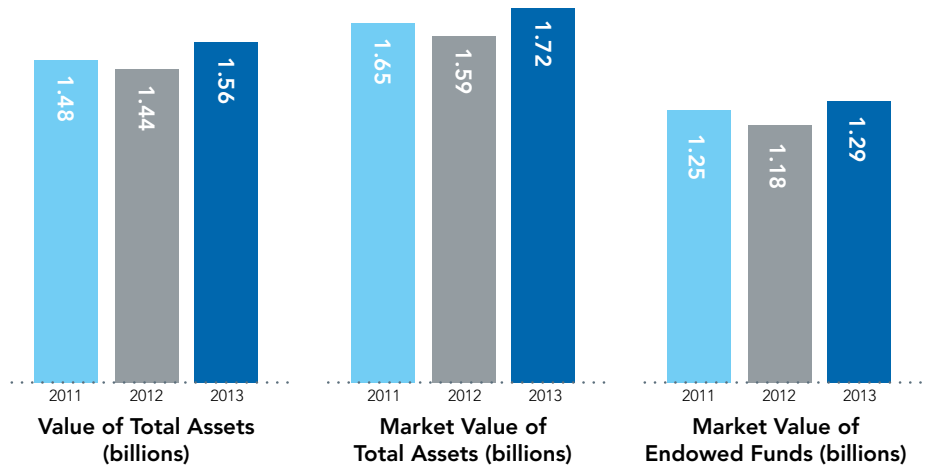
**Marketable securities** compose 88 percent of KU Endowment’s total assets; the balance is primarily real estate owned by KU Endowment, loans to KU students and faculty, and outstanding pledges.

**Value of total assets**—Book value of assets, plus unrealized gain or loss on marketable securities, according to audited financial statements. This excludes unrealized appreciation of real estate and other special holdings.\*

**Market value of total assets**—Includes unrealized appreciation of real estate and other special holdings.\*

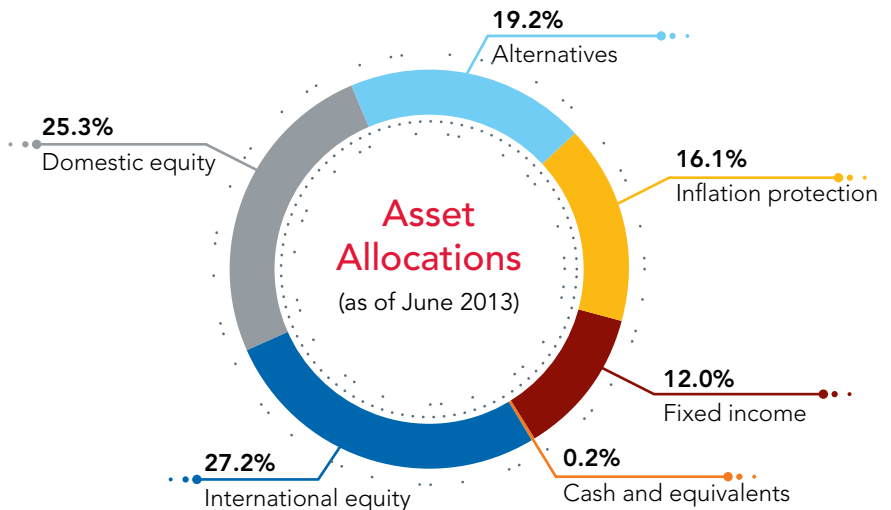
**Market value of endowment**—Reported in accordance with the Standards of the National Association of College and University Business Officers.

\*Unrealized appreciation of real estate and other special holdings is not audited and is not recorded on the Statement of Financial Position.



## Asset allocations

The Long-term Investment Program is designed to generate the maximum return consistent with minimum volatility. It is diversified both by asset class and within asset classes.





# THE LONG INVESTMENT TRAJECTORY

**To stimulate learning, discovery, patient care and public service,** KU Endowment manages endowed funds with care to provide a stable, perpetual source of support. We invest endowed funds and other long-term funds collectively in our Long-term Investment Program, which includes more than 3,400 individual fund accounts. The value of these funds makes up 71.6 percent of KU Endowment's total assets.

The Long-term Investment Program returned 10.9 percent in fiscal 2013. Combining the returns over three years yields an average annual compound return of 9.6 percent. During this period, we have continued to manage the Long-term Investment Program to maintain liquidity, increase diversification and enhance the portfolio's overall risk/return profile.

Global equity markets provided strong returns for the fiscal year, despite faltering in late May and June because of concerns about the Federal Reserve's "tapering" its asset purchases. These concerns raise the issue of how long global markets can be driven by monetary easing policies rather than by investment fundamentals. Given an environment where prices are supported in large measure by central bank liquidity, we are continuing to adhere to our fundamental principles of investing in high-quality assets that are broadly diversified and rigorously rebalanced within portfolio guidelines.

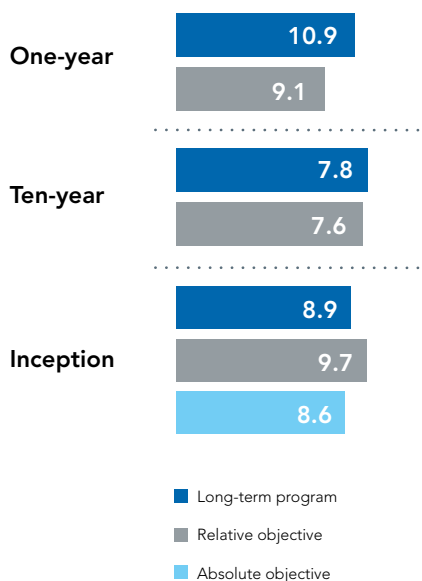
## Performance objectives

Over the long term, the absolute objective is to achieve a total return that meets or exceeds the rate of inflation, as measured by the Consumer Price Index, plus the total spending rate from the Long-term Investment Program. The relative objective is to achieve a total return that meets or exceeds a combined benchmark of appropriate capital market indices, weighted according to the portfolio's target asset allocation. This chart shows the total return for the portfolio since the inception of performance measurement in June 1988.

Past performance is not necessarily indicative of future performance. Performance is net of external investment-related expenses (e.g., managers, custodians and consultants).

## Long-term Investment Program Performance

(as of June 2013)



# BOARD OF TRUSTEES

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- A. Drue Jennings, chair
- William R. Docking
- R. A. Edwards
- Charles E. Heath
- M. D. Michaelis
- Linda Ellis Sims
- Todd L. Sutherland
- Deanell Reece Tacha
- Robert D. Taylor
- Kurt D. Watson •

**The Executive Committee of the Board of Trustees** governs KU Endowment and takes responsibility for ensuring that it will provide significant support for KU now and in the future. Members of the board at large elect the Executive Committee.

The entire board, up to 75 members representing KU throughout the United States, meets annually during the fall on one of the KU campuses. Six standing committees oversee specific areas of operation and meet throughout the year. Board members receive no compensation for their service.

### Audit Committee

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- Janet Martin McKinney
- John W. Mize
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- M. D. Michaelis
- Deanell Reece Tacha
- Robert D. Taylor

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- Philip F. Anschutz
- Lydia I. Beebe
- Dan P. Bolen
- David G. Booth
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- Ken Wagnon

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- Charles E. Heath, chair
- John B. Dicus
- R. A. Edwards
- Ray D. Evans
- Edward J. Healy
- Jay Howard
- Todd L. Sutherland

## IN MEMORIAM

•••

Polly Roth Bales, of Lawrence, died June 28, 2013, at age 92. She studied organ in the late 1930s at KU, where she met Dane G. Bales, whom she married in 1941. Moving to Logan after Dane's return from service in WWII, she established a decades-long record of service to a wide variety of causes. Among many other gifts to KU, she and Dane funded the Bales Organ Recital Hall, a world-class venue attached to the Lied Center of Kansas.

Richard "Dick" B. Cray, of Mission Hills, died July 23, 2013, at the age of 85. He earned a marketing and finance degree from KU in 1949. He spent decades reviving and expanding the McCormick Distillery, building it to wide distribution across the Midwest. He later served on many corporate and philanthropic advisory boards.

• Chair Emeritus



For the second consecutive year, KU has received a prestigious national Educational Fundraising Award for Overall Performance from the Council for Advancement and Support of Education. KU was one of only four universities in the nation honored in the category of public research/doctoral institutions with endowments over \$250 million. The award was based on judges' analysis of fundraising results for the three-year period ending June 30, 2012. Criteria include growth in total support, influence of the 12 largest gifts and growth in each program area.

## CHANCELLORS CLUB HONOR ROLL

**More than 1,400 individuals** appear in this 2013 Roll of Honor. They represent a community of leaders, loyal alumni and friends who understand the power of philanthropic support to build a greater university. As leadership donors to KU Endowment, they have earned recognition within our top giving societies. Their generous contributions strengthen KU today, tomorrow and into the future.

### Mount Oread Society

#### Cumulative outright giving of \$5 million or more

Dana & Sue Anderson  
Justin R. & Jean Pinne Anderson  
Dr. & Mrs. Marc A. Asher  
David G. & Suzanne Deal Booth  
A. Joseph &  
Jean Stiner Brandmeyer  
Bob & Connie Eaton  
Donald J. Hall Sr.  
Mr. & Mrs. Forrest E. Hoglund  
Julie Kivisto  
Tom L. Kivisto  
The Hon. Carl C. Krehbiel  
Charles W. Oswald  
Mr. & Mrs. A. Scott Ritchie  
Lila M. Self  
Judy & Don Slawson  
Mrs. Louis L. Ward

### Mount Oread Society

#### Cumulative outright giving of \$1 million or more

Margaret Amini  
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The University of Kansas Hospital continues to lead the Kansas City healthcare marketplace, as it grows in size and national stature. The hospital recently added three more floors to its Center for Advanced Heart Care to accommodate patient demand. Programs in the heart center continue to benefit greatly from philanthropy. The University of Kansas Hospital, an independent authority of the State of Kansas, has chosen to be a partner in philanthropy with KU Endowment for its fundraising efforts.

