UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

Dr. Ann Bersi, Chair
Nevada State Tax Commission

Mr. Matthew J. Ceppi
President's Designee
Cal State San Marcos

Mr. David Chang
Hampton Inn San Diego/
San Marcos

Mr. Tres Conrique
Rancho Santa Fe Technology

Mr. Ken W. Green
Van Dinter & Associates

Dr. Linda L. Hawk
Cal State San Marcos

Mr. Brandon Losey
Student Member

Dr. Colleen Moss
Cal State San Marcos

Dr. Graham Oberem
Cal State San Marcos

Mr. Russell Powell
Community Member

Ms. Susan Schnepf
Attorney at Law

Dr. Camille P. Schuster
Faculty Member

Dr. Ernest E. Zomalt, Vice Chair
Community Member

Regular Meeting of the Board of Directors

February 28, 2013 - 4:00 p.m. – 5:30 p.m.
Center for Children and Families Classroom

AGENDA

I. **Convening of the Regular Board Meeting**
   A. Consideration of Minutes November 15, 2012 Regular Meeting **(Attachment A)**

II. **University Update and Reports**
   A. Finance & Operations Committee *(Bersi)*
   B. Joint Audit Committee *(Green)*
   C. Fuel Cell License and Power Purchase Agreement **(Attachment B)** *(Gary Cinnamon/Ed Johnson, CSUSM)*
   D. Administration Update *(Knoblock)*
   E. University Update *(Ceppi)*

III. **Action Items**
   A. Financial Report 07/01/12 – 12/31/12 *(Svatora)* **(Attachment C)**
   B. Tax Form 990 FY 11/12 *(Svatora)* **(Attachment D)**
   C. Delegation of Authority Policy – Signature Page Revision *(Knoblock)* **(Attachment E)**
   D. Meeting Calendar FY 13/14 *(Knoblock)* **(Attachment F)**

IV. **Special Guest Presentation**
   A. Follett Higher Education Group – Bookstore Presentation
      Stacy Zapko, Regional Manager
      Derek Dioses, University Store Manager
      Tony Pierucci, University Store Assistant Manager

V. **Adjournment of Regular Meeting**
   Next Meeting: May 23, 2013, 4:00 p.m.
   Location: Center for Children and Families Classroom

ATTACHMENT A

Minutes of November 15, 2012 Regular Meeting

UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

Regular Meeting of the Board of Directors
November 15, 2012
President's Board Room

Attendees:

Members: Ann Bersi (Chair), Matthew J. Ceppi, David Chang, Provost Cutrer, Brandon Losey, Colleen Moss, Susan Schnepf, Camille Schuster, Ernest Zomalt (Vice Chair)

Absent: Tres Conrique, Ken Green, VP Hawk, Russell Powell

Staff: Sarah Derho, Michelle Hinojosa, Dora Knoblock, Greg Svatora

Convening of the Regular Meeting
A quorum being present, Chair Bersi called the meeting to order at 4:05 p.m. *Schnepf arrived.*

Minutes of the September 6, 2012 Annual Meeting
A motion was made and seconded (Losey/Schuster) to approve the September 6, 2012 annual meeting minutes. Motion carried.

Minutes of the September 6, 2012 Regular Meeting
A motion was made and seconded (Schnepf/Losey) to approve the September 6, 2012 regular meeting minutes. Motion carried.

University Update and Committee Reports
Finance and Operations Committee
Bersi reported. The Finance & Operations Committee met on November 6th and reviewed the proposed rebalance of UARSC reserves and a revision to the Articles of Incorporation based on a recommendation from the Chancellor's Office; these items will be considered later in the meeting. The Committee also received a report on the Financial Audit which was formally reviewed by the Joint Audit Committee.

Joint Audit Committee
Svatora reported for Green. The Committee met on October 4th to review and move forward for approval, the financial audits of ASI, CSUSM Foundation and University Corporation. The UARSC Audit was reviewed in preliminary draft form. The Committee met again on November 7th to review and move forward for approval the UARSC Financial Audit and A-133 Compliance Report and to review the Audit Committee and Management Letters of all four auxiliaries. The Joint Audit Committee was informed by

the auditors of difficulties in UARSC accounting records being provided in a timely manner at the beginning of field work. Svatora noted that as UARSC grows, it needs to allocate additional time to prepare for audits. The CSUSM Foundation Joint Audit Committee representative and Acting Chair will be assisting the committee in working on processes for staff to work with the auditors next year.

Sponsored Project Committee

IDC is at 16.86% up from 15.89% in 10/11 and CSUSM remains in the top five of CSU campuses for IDC rates. Proposals are currently at $11.6 million up from $2.3 million last year. Proposals have increased due to information sharing and collaboration between the campus, faculty and UARSC. Awards are at $3.8 million, up $200,000 over last year. There were no significant deficiencies in the A-133 Compliance Audit. There was one finding which will be covered later in the meeting.

Administration Update

Knoblock reported. The State side retirement of Dan Zorn has opened up an opportunity for Svatora who will hold the position of University Controller and Chief Financial Officer to the auxiliaries starting December 1st. Though he will no longer be a UARSC employee, he will still be very involved in the auxiliary and attend future Board meetings.

While UARSC signed a Letter of Intent prior to Sodexo coming on campus, the final negotiations are not yet completed for the contract. There is an outstanding issue regarding a mandatory meal plan. Sodexo has finished hiring the management team; the new Executive Chef, Gene Pickardt, will begin on Monday, November 19th, the new General Manager, Donna Provost, started a couple of weeks ago, and previous UARSC employees, Ursula Berger and Carrie Garlejo have joined Sodexo as Food Services Manager and Catering Coordinator, respectively. Sodexo has a great internship program for students and they already have one marketing intern. Sodexo is looking forward to updating and releasing a new catering menu which will be launched in spring and will be seeking input from Event and Conference Services. Sodexo also sponsored and participated in the recent Athletics Cougar Scramble Golf Event.

Follett Higher Education Group will be presenting later in the meeting on bookstore operations. They are working with Cathy Baur in Communications to come up with 25th Anniversary merchandise for the campus.

The Center for Children and Families is at full enrollment and 108 out of the 144 children currently enrolled are University-affiliated and 36 are community children. Knoblock will be inviting Jody Taylor, the Center's Director, to a future Board meeting.

FedEx Kinkos is another great campus partner and they continue to improve online services for faculty, staff and students. They will be coming to campus to meet with ASI and introduce several student discounts available. They are also partnering with Parking

and Commuter Services, to come up with a sustainability program on campus to recycle used FedEx shipping boxes.

Knoblock provided a "Shine the Spotlight" report on Campus Coffee. Owners, Tim and Sandra Sabatini, have been on campus eight years. This past October was their busiest month ever, with an increase in business for the year of 10-15%. They generously donated coffee for the Veteran's Day Observance event at Tukwut Courtyard and also sponsored the Athletics Cougar Scramble event. Campus Coffee recently hired their first employee, Kyle Duran, a CSUSM graduate.

University Update

Ceppi reported. He reviewed the election results. With the passing of Prop 30, $5.4 million will be restored to the CSUSM budget that was being held by the CSU. $1.4 million will be returned to students for the previous tuition fee increase. While $125 million has been promised to the CSU with the approval of Prop 30 and the tuition reimbursement, this money is not guaranteed. The money does not restore the budget cuts in the last few years, the CSU budget remains flat, and there will continue to be funding challenges ahead.

Chancellor Reed attended his last Board of Trustees meeting. The new Chancellor, Tim White, will begin in January and it is hopeful that he will be able to visit CSUSM in the near future. The current Board of Trustees continues to be divided on issues and the campuses will continue to advocate at the Governor and legislative levels.

Ceppi reported on new construction. The Student Health Center was approved, both the State revenue bonds and the planning, design and construction. The new center will be built adjacent to the parking structure. Renovations for Nursing were also approved, though funding has not yet been identified. The new USU building is quickly taking shape.

KPBS has selected CSUSM as its new location for its North County office. This will be great opportunity for exposure and public service announcements.

Ceppi reported that Martha Stoddard Holmes is the recipient of the Harry Brakebill Award on campus and Gerardo Dominguez was named by Diverse Issues in Higher Education as an Emerging Scholar for 2013.

Action Items

06/30/12 Financial Audit Report and A-133 Compliance Report

Svatora reviewed the 6/30/12 Financial Audit and A-133 Compliance Report. UARSC received a clean opinion. Assets were up to $22 million from $14 million due to the transfer of CCF from UCorp to UARSC. He reviewed the two findings on the Financial Audit and the one finding on the A-133 Report. The A-133 finding was due to a late submission of a data collection form at the end of the year to the federal audit clearing

house that collects federal award activity. The form must be filed jointly by UARSC and the auditors. There were no penalties. One UARSC finding was due to how revenues are recorded. ALCI collected funds prior to the end of the fiscal year for a class held in the new fiscal year. These monies must be recorded as deferred revenues. The second UARSC finding was due to allocation of internal expenses that should be netted out for financial purposes. These findings were immaterial and staff will be working the Joint Audit Committee to respond to them. Responses are due to the Chancellor's Office in December. Svatora responded to questions from Board members. *A motion comes moved and seconded from the Joint Audit Committee to approve the 06/30/12 Financial Audit Report and A-133 Compliance Report as presented. Motion carried.*

Rebalancing of Reserves

Svatora reviewed the proposed rebalancing of reserves, which were previously rebalanced in 2008 and 2010. The revision decreases the categories from six to four. The Audit Disallowance Reserve has a goal of 5% of annual grant and contract expenses; $350,000 is needed to meet this goal and the remaining $159,000 was reallocated to the other categories. Due to the recent outsourcing of both bookstore and food services, the commercial operations reserve can be reduced as the vendors now take on a great deal of this obligation. The Capital Equipment Replacement category was rolled into Commercial Operations for the same reason stated above. As UARSC will most likely have an opportunity to move to campus in the next 18 months, the Lease/Loan Contingency category is not needed. The Capital Development reserve has been renamed Capital/Campus Development. This reserve balance is set aside for strategic plan capital needs, usually in the form of requests from campus. The proposed goal has increased to $1 million as the campus is growing. The Board had questions and there was discussion regarding the Post-retiree Health Accrual and the future of that program which is not yet determined. *A motion comes moved and seconded from the Finance & Operations Committee to approve the Reserves Rebalance Proposal for FY 12/13 as presented. Motion carried.*

Articles of Incorporation Revision

Svatora reported that upon a recommendation from the Committee on Finance of the Board of Trustees and at the request of the Chancellor's Office, all auxiliaries are being asked to modify their Articles of Incorporation The change is concerned with moving the administrative aspect of disposition of assets should an auxiliary be dissolved, from the Board of Trustees and the campus president to the Chancellor and the campus president. Discussion ensued as to the reasons behind the Chancellor's Office request. Schuster stated her concerns. It was noted that typically, when an auxiliary is dissolved, the assets are transferred to another auxiliary on the campus with the input of the campus president. *A motion comes moved and seconded from the Finance & Operations Committee to approve the revision to the Articles of Incorporation as presented. Schuster opposed. Motion carried.* A break was called at 5:03 p.m. The meeting reconvened at 5:05 p.m.

Special Guests
Stacy Zapko, Regional Manager, Derek Dioses, Bookstore Manager, and Tony Pierucci, Bookstore Assistant Manager, introduced themselves. As the meeting was running behind schedule, Follett Higher Education offered to provide their bookstore operations updates and presentation during the tour of the bookstore and University Store.

Adjournment
Bersi announced the next meeting will be held on February 28, 2013 at the Center for Children and Families classroom.

The meeting adjourned by acclamation at 5:10 p.m. and a tour of campus enterprise partners was conducted.

Respectfully submitted,
Sarah Derho

I, Dora Knoblock, Secretary, hereby certify that the above Minutes were approved by the University Auxiliary and Research Services Corporation Board of Directors at a regular meeting held on February 28, 2013, at San Marcos, California.

_____ _____

Secretary Date

ATTACHMENT B

Fuel Cell License and Power Purchase Agreement

Executive Summary – CSUSM Fuel Cell Project
Prepared for UARSC Regular Board Meeting 02/28/13

Entities Involved

- California State University Trustees
- California State University San Marcos
- University Auxiliary and Research Services Corporation
- BioFuels Energy LLC

Binding Documents

1. Power Purchase Agreement between BioFuels Energy LLC and UARSC
2. Ground Lease between The CSU Trustees (essentially CSUSM) and UARSC
3. Memorandum of Understanding between CSUSM and UARSC

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AB32 – Assembly Bill 32 – State Mandate
EO987 – Executive Order 987 – Chancellor's Office Directive to all 23 CSU Campuses
GHG – Green House Gas
PPA – Power Purchase Agreement with BioFuels Energy LLC
GL – Ground Lease with CSU Trustees
MOU – Memorandum of Understanding with Cal State San Marcos

Background Information and Regulatory Framework

Assembly Bill 32 (AB32) is part of California's Global Climate Solutions Act which requires green house gas (GHG) emissions to be reduced to 1990 levels by 2020.

Executive Order 987 (EO987) is a Chancellor's Office directive which delegates each CSU President or their designee the implementation of the CSU energy conservation, sustainable building practices, and physical plant management policy.

EO987 reaffirms the need to conserve energy in order to achieve the goal originally set in 2001 and continuously re-evaluated by the Chancellor's Office on a periodic basis. This encourages campuses to continue to adopt an integrated design approach that includes sustainable materials and practices. It also requires new goals for energy conservation and the purchase and generation of renewable power.

The Chancellor's Office approved a similar project at CSU Channel Islands, and this is a model that CSUSM has been asked to follow.

Fuel Cell Project Description

California State University San Marcos wishes to proceed with a power purchase agreement with BioFuels to provide financing, design, and construction of two 400kw gas-powered fuel cells to be located in an open area to the north of the University's Central Plant.

The Central Plant is located in the southwest quadrant of the campus. The site is adjacent to the existing Central Plant where a 2,225 square foot concrete slab will be installed to accommodate the fuel cell equipment.

The project consists of entering into a Power Purchase Agreement (PPA) with BioFuels to provide financing, design, and construction of two 400kw gas-powered fuel cells to be connected to the University Central Plant.

BioFuels Energy LLC is a privately held corporation located in San Diego, California. The Company is currently developing renewable energy projects wherein BioFuels collects biomethane gas from landfills, wastewater treatment plants and anaerobic digesters, purifies and condenses the biomethane and then delivers the product, either in CNG trucks or via utility pipelines to BioFuels' customers' locations. The biomethane product can be used in clean-burning fuel cells producing energy for the customer, input directly into customers existing power generation units and/or used as CNG to provide fuel for vehicles. The result for the customer is cheaper electricity while reducing green house gas emissions.

It is BioFuels' objective to:

- Destroy biomethane, a very potent greenhouse gas that is a key contributor to global climate change (over 21 times stronger than CO2). This will help to off-set the use of non-renewable resources such as coal, natural gas and oil.
- Develop cost effective options for reducing biomethane emissions while generating energy.
- Help reduce local air pollution.
- Develop projects that create jobs, revenue, and cost savings.

BioFuels LLC will own and operate the two 400kw fuel cells for 15 years per the terms of the PPA. The campus must purchase all electricity generated by the fuel cell from BioFuels. At the end of the 15 years, the campus will have the option to purchase the equipment at an appraised value, renew the contract of otherwise BioFuels will remove all the equipment and restore the area to its original condition.

Why This Project Is Important

The project will provide cost effective renewable energy to the campus meeting the requirements of AB32, the California Global Warming Solutions Act, and EO987, Chancellor's Office Executive Order, while also providing back-up power source to the central plant and the entire University.

The fuel cells will provide approximately 70 percent of the campus heating hot water needs and 30 percent of the campus electrical needs at less than what the campus is paying for the energy now and in the future. It is anticipated that this project will net the campus over $1,700,000 for the life of the project. This project will also help provide reliability to the central plant.

Another benefit of the project is the opportunity to purchase bio fuel gas to operate the fuel cell which also helps the campus towards meeting the goals of AB32.

UARSC's Role

Due to the complexity of the project and the precedent set by a sister campus (CSU Channel Islands), the Chancellor's Office requests that CSUSM follow the CSUCI model and run the PPA through UARSC. This gives the campus more latitude with contract terms and conditions to the financial benefit of the campus and with future energy projects of this nature.

UARSC will serve as a pass-through mechanism for the financial transactions; however, oversight and management of the project will reside with the University.

The University will indemnify UARSC against any liability or expenses arising out of the PPA, and reimburse UARSC for costs or expenses that may be incurred as a result of entering into the PPA. The Memorandum of Understanding between the University and UARSC will outline the payments for any administrative services provided by UARSC. The University and UARSC will periodically re-assess these administrative fees throughout the project term, and determine if the administrative fees need to be adjusted.

There will be three separate agreements established:

1. The Power Purchase Agreement between UARSC and Bio Fuels LLC
2. The Ground Lease between the CSU Trustees (in essence Cal State San Marcos) and UARSC, and
3. The Memorandum of Understanding between the University and UARSC

Executive Summary Prepared By:

Dora Knoblock
Executive Director
University Auxiliary and Research Services Corporation

Gary Cinnamon
Associate Vice President
Facilities Development Management
California State University San Marcos

Ed Johnson
Director
Sustainability & Utility Services
California State University San Marcos

ATTACHMENT C

Financial Report 07/01/12 – 12/31/12

University Auxiliary and Research Services Corporation

Summary of 12/31/12 Financial Statements

Statement of Financial Position (pg 1) and Net Asset Summary (pg 2)

- Assets: Total assets at 12/31/12 were $21,481,277, a slight drop of about 3% from the 6/30/12 balance. During the period, the Food Service inventory of $29k at 6/30/12 was acquired by Sodexo who is managing our food service operations. Cash held on behalf of the Foundation totaled $8.5 million and had no significant change in amount during the period.

- Liabilities: Liabilities decreased about $1 million from the amount of $12 million at 6/30/12 to about $11 million at 12/31/12. The $8.5 million of Foundation cash mentioned above accounted for the major portion of the liability. Accounts payable decreased about $1 million due to vendor payments that were accrued at the end of the 6/30/12 period.

- Net Assets: Page 2 of the financial statements provides a breakout of the Net Assets shown on Page 1, the Statement of Financial Position. The Operating Reserves section shows the separate reserve balances after the re-allocation that was approved at the November, 2012 board meeting. Current year-to-date net operating revenues are ($3,543) and are described below under Net Operating Revenue Summary.

Program Revenue Activity Summary (pg 3)

- Total Grants and Contracts activity from Jul-Dec , 2012, is about 7% below budget. January and February activity will be reviewed to see if the trend looks to improve. Campus and Designated programs are exceeding budget.

- The Bookstore and Food Service Operations are no longer shown on this schedule since they are now outsourced activities.
  Follett Higher Education Group, the bookstore operator, is now half-way through their second year of operating the bookstore. A schedule of the monthly sales and the amount of commissions paid to UARSC is included at the end of the financial statements. Fiscal year-to-date sales through December are 15% higher than last year, as well as commission payments.

Sodexo, the food service operator, began operating the food services in mid August just prior to the Fall semester start date. There are no commissions being paid at this point since contract negotiations are still in process.

Net Operating Revenue Summary (pg 4)

- Total administrative fee recovery from Grants and Contracts is below mid-year budget by about $89k. The annual budget projected net admin fee recovery of $861k and this is a concern to see if this goal can be met. January and February activity will be reviewed to see if there will be changes in the trend.

- Except for food services, the other service activities providing administrative fee revenues are at or above budget. As mentioned above, the bookstore is doing well and could generate commission payments to UARSC at $400k or above for the fiscal year vs. the budgeted amount of $344k.

- Food Service – Net Operating Revenue, represents the food sales in the Food Court, Starbucks, and the Market (c-store). This area is showing a deficit of $58k through December due to UARSC needing to manage the operations from July through mid August when there is minimal sales due to summer break. Now that Sodexo has taken over operations, the deficit amount will be stabilized – however UARSC will need to cover this unplanned cost.

- Food Service – Net Contract Revenue represent revenues from our other food service partners, notably Campus Coffee and Pepsi. The revenues from this area being reviewed to see if we plan to meet the annual $80k net revenue budget.

- UARSC Operations At mid-year, UARSC is showing total administrative expenses of $904k, about $86k over budget. Approximately $36k was due to one-time vacation payouts to Deborah Davis and myself at the end of November when transitioning to campus "state-side" employment. Other costs included additional audit fees and banking fees while transitioning the San Marcos Univ Corp and ALCI programs to campus. For the remainder of the year, Deborah's and my salary is being shared between the campus and UARSC so that by year-end, total salary costs will be close to budget. Other operating costs and service fee reimbursements will be monitored closely so that total expenses will be able to meet the operating budget by year-end.

- The net operating revenues for the above during the period July-December, 2012, was ($3,543) and is shown on the Statement of Financial Position and Net Asset Summary.

UARSC
Statement of Financial Position
December 31, 2012

	Balance 12/31/12	Balance 06/30/12	Fiscal Year Increase/ (Decrease)
Assets			
Cash and Short-Term Investments-(UARSC)	$ 5,654,365	$ 6,370,697	$ (716,332)
Cash and Short-Term Investments-(CSUSMF)	8,518,895	8,373,994	144,901
Accts Receivable-Sponsored Programs	907,368	672,906	234,462
Other Receivables	242,313	384,916	(142,603)
Inventory - Bookstore	-	-	-
Inventory - Food Service	-	29,326	(29,326)
Other Assets	166,358	61,081	105,277
CCF-Bldg & Fixtures (Net)	5,739,363	5,921,445	(182,082)
Property & Equipment (Net)	252,615	322,894	(70,279)
Total Assets	**$ 21,481,277**	**$ 22,137,260**	**$ (655,983)**
Liabilities & Net Assets			
Liabilities:			
Accounts Payable and Accrued Expenses	$ 566,683	$ 1,533,707	$ (967,024)
Due to CSUSMF - Cash and Short-Term Invest's	8,518,895	8,373,994	144,901
Deferred Revenue	450,261	902,316	(452,055)
Post-Retiree Health Benefit Accrual	1,344,258	1,205,268	138,990
Total Liabilities	**$ 10,880,097**	**$ 12,015,285**	**$ (1,135,188)**
Net Assets:			
Unrestricted:			
Operating Reserves	$ 1,475,858	$ 1,465,858	$ 10,000
Designated Programs	668,472	628,707	39,765
Campus Programs	2,468,414	1,783,070	685,344
Current Year Net Asset Activity	(3,543)	-	(3,543)
CCF-Bldg & Fixtures	5,739,363	5,921,445	(182,082)
Equipment	252,615	322,894	(70,279)
Total Unrestricted Net Assets	**$ 10,601,179**	**$ 10,121,974**	**$ 479,205**
Temporarily Restricted	-	-	-
Permanently Restricted	-	-	-
Total Net Assets	**$ 10,601,179**	**$ 10,121,974**	**$ 479,205**
Total Liabilities & Net Assets	**$ 21,481,277**	**$ 22,137,259**	**$ (655,983)**

UARSC
Net Asset Summary Detail
December 31, 2012

Unrestricted Net Assets	Balance 12/31/12	Balance 6/30/12	Fiscal Year Increase/ (Decrease)
Operating Reserves			
Audit Disallowance	$ 350,000	$ 509,168	$ (159,168)
Commercial Operations	200,000	196,032	3,968
Capital Equipment Replacement	-	75,001	(75,001)
Lease/Loan Contingency	-	45,001	(45,001)
Working Capital	509,999	330,435	179,564
Capital Development	415,859	310,223	105,636
Total Operating Reserves	**$ 1,475,858**	**$ 1,465,858**	**$ 10,000**
Designated Programs			
Inventories-Food Service	-	29,326	(29,326)
Other DesignatedPrograms	668,472	599,381	69,091
Total Designated Programs	**$ 668,472**	**$ 628,707**	**$ 39,765**
Campus Programs	2,468,414	1,783,070	685,344
CCF Bldg & Fixtures	5,739,363	5,921,445	(182,082)
Equipment	252,615	322,894	(70,279)
Current Year Net Asset Activity	(3,543)	-	(3,543)
Total Other Net Assets	**$ 8,456,849**	**$ 8,027,409**	**$ 429,440**
TOTAL UNRESTRICTED NET ASSETS	**$ 10,601,179**	**$ 10,121,974**	**$ 479,205**

UARSC
Program Revenue Activity Summary
7/1/12 to 12/31/12

Program Activity	Annual Budget FY 12/13	Quarter 1 & 2 7/1/12 - 12/31/12 Budget	Quarter 1 & 2 7/1/12 - 12/31/12 Actual	Quarter 1 & 2 7/1/12 - 12/31/12 Variance	Fiscal Year To Date 7/1/12 - 12/31/12 Budget	Fiscal Year To Date 7/1/12 - 12/31/12 Actual	Fiscal Year To Date 7/1/12 - 12/31/12 Variance	Comparison of Prior FYTD Actual to Current FYTD Actual: Prior FYTD 12/31/2011	Current FYTD 12/31/2012	% Inc. (Dec.)	% of Prior Year
Grants/Contracts											
Federal	$ 5,570,640	$ 2,785,320	$ 2,999,110	$ 213,790	$ 2,785,320	$ 2,999,110	$ 213,790	$ 3,097,378	$ 2,999,110	-3%	97%
State/Private/Other	2,166,360	1,083,180	583,049	(500,131)	1,083,180	583,049	(500,131)	735,812	583,049	-21%	79%
Total Grants/Contracts	$ 7,737,000	$ 3,868,500	$ 3,582,159	$ (286,341)	$ 3,868,500	$ 3,582,159	$ (286,341)	$ 3,833,190	$ 3,582,159	-7%	93%
Campus/Designated Programs	$ 3,500,000	$ 1,750,000	$ 2,119,436	$ 369,436	$ 1,750,000	$ 2,119,436	$ 369,436	$ 2,095,724	$ 2,119,436	1%	101%
Total Program Revenues	$ 11,237,000	$ 5,618,500	$ 5,701,595	$ 83,095	$ 5,618,500	$ 5,701,595	$ 83,095	$ 5,928,914	$ 5,701,595	-4%	96%

UARSC
Net Operating Revenue Summary
FY 12/13 Quarters 1 & 2
7/1/12 to 12/31/12

Revenue	Annual Budget FY 12/13	Quarter 1 & 2 7/1/12 to 12/31/12 Budget	Actual	Variance	Fiscal Year To Date 7/1/12 to 12/31/12 Budget	Actual	Variance	Comparison of Prior FYTD Actual to Current FYTD Actual: Prior FYTD 12/31/11	Current FYTD 12/31/2012	% change inc./-dec.	% of Prior Yr Balance
Grant/Contract Admin Fees	$ 1,257,000	$ 628,500	$ 539,380	$ (89,120)	$ 628,500	$ 539,380	$ (89,120)	$ 549,108	$ 539,380	-2%	98%
Less: Unallowance Reserve	-	-	-	-	-	-	-	(125,807)	-	0%	0%
Less: University Sharing	(396,000)	-	-	-	-	-	-	(384,316)	-	0%	0%
Net Grant/Contract Admin Fees	$ 861,000	$ 628,500	$ 539,380	$ (89,120)	$ 628,500	$ 539,380	$ (89,120)	$ 38,985	$ 539,380	1284%	1384%
Admin Fees - Campus Programs	175,000	87,500	111,910	24,410	87,500	111,910	24,410	114,789	111,910	-3%	97%
Admin Fees - Endowments	80,000	40,000	39,609	(391)	40,000	39,609	(391)	32,610	39,609	21%	121%
Bookstore Net Revenue	344,000	172,000	192,405	20,405	172,000	192,405	20,405	202,656	192,405	-5%	95%
Food Service - Net Operating Revenue	12,000	6,000	(58,407)	(64,407)	6,000	(58,407)	(64,407)	(13,142)	(58,407)	344%	444%
Food Service - Net Contract Revenue	80,000	40,000	23,227	(16,773)	40,000	23,227	(16,773)	-	23,227	#DIV/0!	#DIV/0!
Investment Income	45,000	22,500	29,470	6,970	22,500	29,470	6,970	32,560	29,470	-9%	91%
Leases/Mgmt Fees/Support	47,000	23,500	23,500	-	23,500	23,500	-	23,500	23,500	0%	100%
Total Revenue	$ 1,644,000	$ 1,020,000	$ 901,094	$ (118,906)	$ 1,020,000	$ 901,094	$ (118,906)	$ 431,958	$ 901,094	109%	209%
Expenses: UARSC Operations	$ 1,636,000	$ 818,000	$ 904,637	$ (86,637)	$ 818,000	$ 904,637	$ (86,637)	$ 731,616	$ 904,637	24%	124%
Net Operating Revenues	$ 8,000	$ 202,000	$ (3,543)	$ (205,543)	$ 202,000	$ (3,543)	$ (205,543)	$ (299,658)	$ (3,543)	99%	1%

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HIGHER EDUCATION GROUP

Store # 1259

FY 12/13

CALIFORNIA STATE UNIVERSITY SAN MARCOS BOOKSTORE
COMMISSION COMPUTATION
JULY, 2012 - JUNE, 2013

	Gross Sales	Exempt Sales	Net Sales	vs PY
Jul-12	$ 61,495.71	$ (1,240.20)	$ 60,255.51	
Aug-12	$ 1,182,079.30	$ (12,064.95)	$ 1,170,014.35	
Sep-12	$ 279,541.06	$ (2,649.21)	$ 276,891.85	
Oct-12	$ 41,155.37	$ (1,199.73)	$ 39,955.64	
Nov-12	$ 32,264.99	$ (1,137.99)	$ 31,127.00	
Dec-12	$ 60,561.21	$ (3,252.32)	$ 57,308.89	
Jan-13	$ -	$ -	$ -	
Feb-13	$ -	$ -	$ -	
Mar-13	$ -	$ -	$ -	
Apr-13	$ -	$ -	$ -	
May-13	$ -	$ -	$ -	
Jun-13	$ -	$ -	$ -	
Total Net Sales	$ 1,657,097.64	$ (21,544.40)	$ **1,635,553.24**	***15%***

Commission

12.5%	$ 1,635,553.24	= $ 204,444.16		
13.5% >	$ 4,000,000.00	$ -		
Total Commission			$ 204,444.16	***15%***

Less: Payments Previously Made

Jul-12	$ (7,531.94)
Aug-12	$ (146,251.79)
Sep-12	$ (34,611.48)
Oct-12	$ (4,994.46)
Nov-12	$ (3,890.87)
Dec-12	$ -
Jan-13	$ -
Feb-13	$ -
Mar-13	$ -
Apr-13	$ -
May-13	$ -
Jun-13	$ -
	$ (197,280.54)

Commission Due $ 7,163.61

FY 11/12

CALIFORNIA STATE UNIVERSITY SAN MARCOS BOOKSTORE
COMMISSION COMPUTATION
JULY, 2011 - JUNE, 2012

	Gross Sales	Exempt Sales	Net Sales
Jul-11	*$ 40,969*	*$ (879)*	*$ 40,090*
Aug-11	*810,314*	*(9,066)*	*801,248*
Sep-11	*428,052*	*(968)*	*427,084*
Oct-11	*73,163*	*(2,108)*	*71,055*
Nov-11	*36,059*	(2,352)	33,707
Dec-11	*45,670*	(1,438)	44,232
Jan-12	*835,397*	(922)	834,475
Feb-12	*133,297*	(2,167)	131,130
Mar-12	*135,078*	(967)	134,111
Apr-12	*85,471*	(2,018)	83,454
May-12	*111,464*	(12,637)	98,827
Jun-12	*81,664*	(888)	80,776
	$ 2,816,597	*$ (36,408.95)*	*$ 2,780,188.53*

Commission

12.5%	*$ 2,780,188.53*	=	*$ 347,523.57*	
13.5% >	*$ 4,000,000.00*			
				$ 347,523.57

Please email any questions or concerns to FollettComDept@fheg.follett.com

1818 Swift Drive, Oak Brook, IL 60523-1576
ph: 800.323.4506 fax: 630.850.1969 www.fheg.follett.com

ATTACHMENT D

Tax Form 990 FY 11/12

EXTENDED UNTIL MAY 15, 2013

Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

OMB No. 1545-0047

2011

Open to Public Inspection

A For the 2011 calendar year, or tax year beginning JUL 1, 2011 and ending JUN 30, 2012

B Check if applicable:
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Termin-ated
- ☐ Amended return
- ☐ Applica-tion pending

C Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Doing Business As

Number and street (or P.O. box if mail is not delivered to street address) 435 E. CARMEL STREET

Room/suite

City or town, state or country, and ZIP + 4 SAN MARCOS, CA 92078

F Name and address of principal officer: DORA KNOBLOCK
SAME AS C ABOVE

D Employer identification number 33-0397688

E Telephone number 760-750-4700

G Gross receipts $ 13,292,117.

H(a) Is this a group return for affiliates? ☐ Yes ☒ No

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

H(c) Group exemption number ▶

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

J Website: ▶ WWW.CSUSM.EDU/UARSC

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

L Year of formation: 1990 **M** State of legal domicile: CA

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities: TO PROVIDE FINANCIAL AND PROGRAM ADMINISTRATIVE SUPPORT TO CALIFORNIA STATE UNIVERSITY SAN MARCOS.

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

3	Number of voting members of the governing body (Part VI, line 1a)	3	13
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	8
5	Total number of individuals employed in calendar year 2011 (Part V, line 2a)	5	715
6	Total number of volunteers (estimate if necessary)	6	105
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0.

		Prior Year	Current Year
Revenue			
8	Contributions and grants (Part VIII, line 1h)	9,060,395.	7,789,329.
9	Program service revenue (Part VIII, line 2g)	2,750,209.	3,332,302.
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	30,868.	37,344.
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	1,751,209.	1,258,750.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	13,592,681.	12,417,725.
Expenses			
13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	54,988.	48,627.
14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	6,524,495.	6,427,933.
16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 0.		
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	7,629,651.	6,414,108.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	14,209,134.	12,890,668.
19	Revenue less expenses. Subtract line 18 from line 12	-616,453.	-472,943.

		Beginning of Current Year	End of Year
Net Assets or Fund Balances			
20	Total assets (Part X, line 16)	14,539,768.	22,137,260.
21	Total liabilities (Part X, line 26)	10,224,201.	12,015,285.
22	Net assets or fund balances. Subtract line 21 from line 20	4,315,567.	10,121,975.

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Part II Signature Block

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

Sign Here

▶ Signature of officer — Date

▶ GREG SVATORA, CFO
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: ROSEMARIE BROWN	Preparer's signature	Date	Check ☐ if self-employed	PTIN: P01278077
Firm's name ▶ MCGLADREY LLP			Firm's EIN ▶ 42-0714325	
Firm's address ▶ 515 S FLOWER STREET, 41ST FLOOR LOS ANGELES, CA 90071			Phone no. 213-330-4800	

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

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III ..... [X]

1 Briefly describe the organization's mission:
SEE SCHEDULE O

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ..... [X] Yes [ ] No
If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? ..... [ ] Yes [X] No
If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses $ 1,604,854. including grants of $) (Revenue $)
OPERATION OF THE CAMPUS FOOD SERVICE AND BOOKSTORE ACTIVITIES FOR THE STUDENTS, FACULTY, AND STAFF OF CALIFORNIA STATE UNIVERSITY SAN MARCOS

4b (Code:) (Expenses $ 5,768,443. including grants of $ 48,627.) (Revenue $ 3,332,302.)
PROVISION OF FINANCIAL AND ADMINISTRATIVE SUPPORT SERVICES TO VARIOUS CAMPUS PROGRAMS AND ACTIVITIES INCLUDING THE PHILANTHROPIC FOUNDATION, STUDENT HOUSING, AND ASSOCIATED STUDENTS ORGANIZATIONS. OTHER CAMPUS PROGAMS FOR WHICH SERVICES WERE PROVIDED INCLUDE THE AMERICAN LANGUAGE AND CULTURE INSTITUTE, FACULTY RESEARCH DEVELOPMENT, AND VARIOUS COMMUNITY OUTREACH PROGRAMS.

4c (Code:) (Expenses $ 4,092,722. including grants of $) (Revenue $)
ADMINISTRATION OF RESEARCH AND TRAINING GRANTS AWARDED TO THE CAMPUS FACULTY FROM VARIOUS FEDERAL, STATE, AND OTHER GOVERNMENTAL AGENCIES AND PRIVATE FOUNDATIONS. FEDERAL GRANTS TOTALED $6.7 MILLION WHILE STATE AND LOCAL GOVERNMENT AGENCY GRANTS TOTALED $1.0 MILLION. GRANTS AND AWARDS FROM PRIVATE FOUNDATIONS AND OTHER NON-GOVERNMENTAL ENTITIES TOTALED $1.3 MILLION.

4d Other program services (Describe in Schedule O.)
(Expenses $ including grants of $) (Revenue $)

4e **Total program service expenses** ▶ 11,466,019.

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Part IV Checklist of Required Schedules

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

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Part IV Checklist of Required Schedules *(continued)*

			Yes	No
21	Did the organization report more than $5,000 of grants and other assistance to any government or organization in the United States on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21		X
22	Did the organization report more than $5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22	X	
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	23	X	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No", go to line 25*	24a		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	25a		X
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	25b		X
26	Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? *If "Yes," complete Schedule L, Part II*	26		X
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	27		X
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28a		X
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28b		X
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	28c		X
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		X
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		X
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		X
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	32		X
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? *If "Yes," complete Schedule R, Part I*	33		X
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1*	34	X	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		X
b	Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35b		X
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	36		X
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	37		X
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? **Note.** All Form 990 filers are required to complete Schedule O	38	X	

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Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response to any question in this Part V ☐

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	218		
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c		X	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	715		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b			X
	Note. If the sum of lines 1a and 2a is greater than 250, you may be required to *e-file* (see instructions)				
3a	Did the organization have unrelated business gross income of $1,000 or more during the year?	3a			X
b	If "Yes," has it filed a Form 990-T for this year? *If "No," provide an explanation in Schedule O*	3b			
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a			X
b	If "Yes," enter the name of the foreign country: ▶ _____ See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.				
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a			X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b			X
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	5c			
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible?	6a			X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b			
7	**Organizations that may receive deductible contributions under section 170(c).**				
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?	7a			X
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b			
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c			X
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e			X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f			X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g			
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h			
8	**Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8			
9	**Sponsoring organizations maintaining donor advised funds.**				
a	Did the organization make any taxable distributions under section 4966?	9a			
b	Did the organization make a distribution to a donor, donor advisor, or related person?	9b			
10	**Section 501(c)(7) organizations.** Enter:				
a	Initiation fees and capital contributions included on Part VIII, line 12	10a			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b			
11	**Section 501(c)(12) organizations.** Enter:				
a	Gross income from members or shareholders	11a			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?	12a			
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**				
a	Is the organization licensed to issue qualified health plans in more than one state?	13a			
	Note. See the instructions for additional information the organization must report on Schedule O.				
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b			
c	Enter the amount of reserves on hand	13c			
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a			X
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O*	14b			

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

Check if Schedule O contains a response to any question in this Part VI X

Section A. Governing Body and Management

				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year ..... If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.	1a	13		
b	Enter the number of voting members included in line 1a, above, who are independent	1b	8		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2			X
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?	3			X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4			X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5			X
6	Did the organization have members or stockholders?	6			X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a			X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b			X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a	The governing body?	8a		X	
b	Each committee with authority to act on behalf of the governing body?	8b		X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*	9			X

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

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

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ▶ CA

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

X Own website X Another's website X Upon request

19 Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: ▶

GREG SVATORA, CHIEF FINANCIAL OFFICER - 760-750-4719
435 E. CARMEL STREET, SAN MARCOS, CA 92078

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

Check if Schedule O contains a response to any question in this Part VII ☒

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

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

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

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

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

(A) Name and Title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) ANN BERSI DIRECTOR/CHAIR	3.00	X						0.	0.	0.
(2) TRES CONRIQUE DIRECTOR	1.00	X						0.	0.	0.
(3) EMILY CUTRER, PROVOST DIRECTOR	1.00	X						0.	204,642.	50,579.
(4) KEN GREEN DIRECTOR	1.00	X						0.	0.	0.
(5) LINDA HAWK, CSUSM VP FINANCE DIRECTOR	1.00	X						0.	192,090.	48,350.
(6) JOHN HAWTHORNE DIRECTOR	1.00	X						0.	0.	0.
(7) KAREN HAYNES, CSUSM PRESIDENT DIRECTOR	1.00	X						0.	338,417.	62,846.
(8) BRANDON LOSEY, STUDENT DIRECTOR	1.00	X						0.	0.	0.
(9) COLLEEN MOSS, FACULTY DIRECTOR	1.00	X						0.	65,329.	11,048.
(10) RUSSELL POWELL DIRECTOR	1.00	X						0.	0.	0.
(11) SUSAN SCHNEPF DIRECTOR	1.00	X						0.	0.	0.
(12) CAMILLE SCHUSTER, FACULTY DIRECTOR	1.00	X						0.	0.	0.
(13) ERNEST ZOMALT DIRECTOR/VICE CHAIR	1.00	X						0.	0.	0.
(14) DORA KNOBLOCK, SECRETARY, EXEC. SECRETARY	40.00			X				0.	125,262.	40,877.
(15) GREG SVATORA, TREASURER/CFO TREASURER	40.00			X				121,253.	0.	24,251.
(16) GRANT HUBBARD DIR., SPONSORED PROGRAMS	40.00					X		105,626.	0.	34,857.

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

(A) Name and title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
1b Sub-total								226,879.	925,740.	272,808.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								226,879.	925,740.	272,808.

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶ 2

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation
NONE		

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶ 0

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Part VIII Statement of Revenue

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
Contributions, Gifts, Grants and Other Similar Amounts	1a Federated campaigns	1a				
	b Membership dues	1b				
	c Fundraising events	1c				
	d Related organizations	1d				
	e Government grants (contributions)	1e	7,246,015.			
	f All other contributions, gifts, grants, and similar amounts not included above	1f	543,314.			
	g Noncash contributions included in lines 1a-1f: $					
	h Total. Add lines 1a-1f		7,789,329.			
Program Service Revenue		Business Code				
	2a CAMPUS PROGRAMS	900099	3,332,302.	3,332,302.		
	b					
	c					
	d					
	e					
	f All other program service revenue					
	g Total. Add lines 2a-2f		3,332,302.			
Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)		37,344.			37,344.
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties					
		(i) Real	(ii) Personal			
	6a Gross rents	145,680.				
	b Less: rental expenses	86,871.				
	c Rental income or (loss)	58,809.				
	d Net rental income or (loss)		58,809.			58,809.
		(i) Securities	(ii) Other			
	7a Gross amount from sales of assets other than inventory					
	b Less: cost or other basis and sales expenses					
	c Gain or (loss)					
	d Net gain or (loss)					
	8a Gross income from fundraising events (not including $ _____ of contributions reported on line 1c). See Part IV, line 18 a					
	b Less: direct expenses b					
	c Net income or (loss) from fundraising events					
	9a Gross income from gaming activities. See Part IV, line 19 a					
	b Less: direct expenses b					
	c Net income or (loss) from gaming activities					
	10a Gross sales of inventory, less returns and allowances a	1639947.				
	b Less: cost of goods sold b	787,521.				
	c Net income or (loss) from sales of inventory		852,426.			852,426.
	Miscellaneous Revenue	Business Code				
	11a COMMISSIONS - BOOKSTOR	900099	347,515.			347,515.
	b					
	c					
	d All other revenue					
	e Total. Add lines 11a-11d		347,515.			
	12 Total revenue. See instructions.		12417725.	3,332,302.	0.	1296094.

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Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

Check if Schedule O contains a response to any question in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States. See Part IV, line 21				
2 Grants and other assistance to individuals in the United States. See Part IV, line 22	48,627.	48,627.		
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	119,034.	95,227.	23,807.	
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	4,941,551.	4,402,638.	538,913.	
8 Pension plan accruals and contributions (include section 401(k) and section 403(b) employer contributions)	213,428.	168,410.	45,018.	
9 Other employee benefits	834,135.	523,228.	310,907.	
10 Payroll taxes	319,785.	280,395.	39,390.	
11 Fees for services (non-employees):				
a Management				
b Legal	15,000.		15,000.	
c Accounting	90,300.		90,300.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other	321,884.	298,659.	23,225.	
12 Advertising and promotion				
13 Office expenses	477,274.	445,459.	31,815.	
14 Information technology				
15 Royalties				
16 Occupancy	369,523.	251,567.	117,956.	
17 Travel	337,913.	334,878.	3,035.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	104,482.	94,156.	10,326.	
20 Interest				
21 Payments to affiliates	1,701,094.	1,666,875.	34,219.	
22 Depreciation, depletion, and amortization	539,130.	539,130.		
23 Insurance	23,453.		23,453.	
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a STIPENDS/HONORARIA	1,011,242.	1,011,242.		
b SERVICE FEES	837,187.	746,611.	90,576.	
c PROGRAM EXPENSES	408,705.	382,892.	25,813.	
d TRANSFERS TO ENDOWMENTS	132,138.	132,138.		
e All other expenses	44,783.	43,887.	896.	
25 **Total functional expenses.** Add lines 1 through 24e	12,890,668.	11,466,019.	1,424,649.	0.
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)				

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Part X Balance Sheet

			(A) Beginning of year		(B) End of year
Assets	1	Cash - non-interest-bearing	145,612.	1	641,078.
	2	Savings and temporary cash investments	11,178,825.	2	14,093,263.
	3	Pledges and grants receivable, net		3	
	4	Accounts receivable, net	1,577,875.	4	1,028,023.
	5	Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6	Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions)		6	
	7	Notes and loans receivable, net		7	
	8	Inventories for sale or use	196,354.	8	29,326.
	9	Prepaid expenses and deferred charges	35,436.	9	40,150.
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D — 10a: 9,182,927.			
	b	Less: accumulated depreciation — 10b: 2,938,588.	500,359.	10c	6,244,339.
	11	Investments - publicly traded securities		11	
	12	Investments - other securities. See Part IV, line 11		12	
	13	Investments - program-related. See Part IV, line 11		13	
	14	Intangible assets		14	
	15	Other assets. See Part IV, line 11	905,307.	15	61,081.
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)	14,539,768.	16	22,137,260.
Liabilities	17	Accounts payable and accrued expenses	1,756,035.	17	1,533,707.
	18	Grants payable		18	
	19	Deferred revenue	898,604.	19	902,316.
	20	Tax-exempt bond liabilities		20	
	21	Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22	Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23	Secured mortgages and notes payable to unrelated third parties		23	
	24	Unsecured notes and loans payable to unrelated third parties		24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	7,569,562.	25	9,579,262.
	26	**Total liabilities.** Add lines 17 through 25	10,224,201.	26	12,015,285.
Net Assets or Fund Balances		**Organizations that follow SFAS 117, check here ▶ [X] and complete lines 27 through 29, and lines 33 and 34.**			
	27	Unrestricted net assets	4,315,567.	27	10,121,975.
	28	Temporarily restricted net assets		28	
	29	Permanently restricted net assets		29	
		Organizations that do not follow SFAS 117, check here ▶ [ ] and complete lines 30 through 34.			
	30	Capital stock or trust principal, or current funds		30	
	31	Paid-in or capital surplus, or land, building, or equipment fund		31	
	32	Retained earnings, endowment, accumulated income, or other funds		32	
	33	Total net assets or fund balances	4,315,567.	33	10,121,975.
	34	Total liabilities and net assets/fund balances	14,539,768.	34	22,137,260.

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Part XI Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI X

1	Total revenue (must equal Part VIII, column (A), line 12)	1	12,417,725.
2	Total expenses (must equal Part IX, column (A), line 25)	2	12,890,668.
3	Revenue less expenses. Subtract line 2 from line 1	3	-472,943.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	4,315,567.
5	Other changes in net assets or fund balances (explain in Schedule O)	5	6,279,351.
6	Net assets or fund balances at end of year. Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B))	6	10,121,975.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII X

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

Form 990 (2011)

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SCHEDULE A (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

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

▶ **Attach to Form 990 or Form 990-EZ.** ▶ **See separate instructions.**

OMB No. 1545-0047

2011

Open to Public Inspection

Name of the organization	Employer identification number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	33-0397688

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

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

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

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

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

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

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

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

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

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

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

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

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

a ☐ Type I b ☐ Type II c ☐ Type III - Functionally integrated d ☐ Type III - Other

e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).

f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box ..... ☐

g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

		Yes	No
(i)	A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?	11g(i)	
(ii)	A family member of a person described in (i) above?	11g(ii)	
(iii)	A 35% controlled entity of a person described in (i) or (ii) above?	11g(iii)	

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

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document? Yes	(iv) No	(v) Did you notify the organization in col. (i) of your support? Yes	(v) No	(vi) Is the organization in col. (i) organized in the U.S.? Yes	(vi) No	(vii) Amount of support
Total									

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Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	7365840.	7828953.	7845577.	9060395.	7789329.	39890094.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 **Total.** Add lines 1 through 3	7365840.	7828953.	7845577.	9060395.	7789329.	39890094.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 **Public support.** Subtract line 5 from line 4.						39890094.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
7 Amounts from line 4	7365840.	7828953.	7845577.	9060395.	7789329.	39890094.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	821,781.	575,632.	398,277.	176,548.	183,024.	2155262.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
11 **Total support.** Add lines 7 through 10						42045356.

12 Gross receipts from related activities, etc. (see instructions) 12 59,376,062.

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

Section C. Computation of Public Support Percentage

14 Public support percentage for 2011 (line 6, column (f) divided by line 11, column (f)) 14 94.87 %

15 Public support percentage from 2010 Schedule A, Part II, line 14 15 91.06 %

16a **33 1/3% support test - 2011.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☒

b **33 1/3% support test - 2010.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

17a **10% -facts-and-circumstances test - 2011.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

b **10% -facts-and-circumstances test - 2010.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

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

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Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 **Total support** (Add lines 9, 10c, 11, and 12.)						

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

Section C. Computation of Public Support Percentage

15 Public support percentage for 2011 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2010 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2011** (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from **2010** Schedule A, Part III, line 17	18	%

19a **33 1/3% support tests - 2011.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3% support tests - 2010.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

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

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

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No. 1545-0047

2011

Name of the organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

Organization type (check one):

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

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

General Rule

☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

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

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

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of $5,000 or more during the year. ..... ▶ $ _____

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

DRAFT

Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DEPARTMENT OF HEALTH & HUMAN SERVICES 200 INDEPENDENCE AVENUE, S.W. WASHINGTON, DC 20201	$ 323,945.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
2	ENVIRONMENTAL PROTECTION AGENCY 1200 PENNSYLVANIA AVENUE NW WASHINGTON, DC 20460	$ 161,669.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
3	NATIONAL INSTITUTES OF HEALTH 9000 ROCKVILLE PIKE BETHESDA, MD 20892	$ 2,638,694.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
4	THE NATIONAL SCIENCE FOUNDATION 4201 WILSON BOULEVARD ARLINGTON, VA 22230	$ 1,079,699.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
5	U.S. DEPARTMENT OF EDUCATION 400 MARYLAND AVENUE, SW WASHINGTON, DC 20202	$ 1,875,252.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
6	USDA FOREST SERVICE 701 N. SANTA ANITA AVENUE ARCADIA, CA 91006	$ 172,986.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)

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Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	CA INSTITUTE FOR REGENERATIVE MEDICINE 210 KING STREET SAN FRANCISCO, CA 94107	$ 616,150.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)

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Name of organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

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

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

DRAFT

Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

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

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047

2011

Open to Public Inspection

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

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

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate contributions to (during year)		
3	Aggregate grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ☐ Yes ☐ No

Part II Conservation Easements. Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

		Amount
c Beginning balance	1c	
d Additions during the year	1d	
e Distributions during the year	1e	
f Ending balance	1f	

2a Did the organization include an amount on Form 990, Part X, line 21? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIV.

Part V Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

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

a Board designated or quasi-endowment ▶ _____ %
b Permanent endowment ▶ _____ %
c Temporarily restricted endowment ▶ _____ %

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

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

		Yes	No
(i) unrelated organizations	3a(i)		
(ii) related organizations	3a(ii)	X	
b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?	3b		

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

Part VI Land, Buildings, and Equipment. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings	4,102,220.		167,610.	3,934,610.
c Leasehold improvements	3,556,583.		1,552,165.	2,004,418.
d Equipment	1,524,124.		1,218,813.	305,311.
e Other				
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶				6,244,339.

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Part VII Investments - Other Securities. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
(I)		
Total. (Col (b) must equal Form 990, Part X, col (B) line 12.) ▶		

Part VIII Investments - Program Related. See Form 990, Part X, line 13.

(a) Description of investment type	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		
Total. (Col (b) must equal Form 990, Part X, col (B) line 13.) ▶		

Part IX Other Assets. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total. *(Column (b) must equal Form 990, Part X, col (B) line 15.)* ▶	

Part X Other Liabilities. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) POST RETIREMENT BENEFITS	1,205,268.
(3) DUE TO SAN MARCOS FOUNDATION	8,373,994.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
Total. *(Column (b) must equal Form 990, Part X, col (B) line 25.)* ▶	9,579,262.

2. FIN 48 (ASC 740) Footnote. In Part XIV, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740).

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Part XI Reconciliation of Change in Net Assets from Form 990 to Audited Financial Statements

1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	12,417,725.
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	12,890,668.
3	Excess or (deficit) for the year. Subtract line 2 from line 1	3	-472,943.
4	Net unrealized gains (losses) on investments	4	-6,260.
5	Donated services and use of facilities	5	
6	Investment expenses	6	
7	Prior period adjustments	7	
8	Other (Describe in Part XIV.)	8	6,285,611.
9	Total adjustments (net). Add lines 4 through 8	9	6,279,351.
10	Excess or (deficit) for the year per audited financial statements. Combine lines 3 and 9	10	5,806,408.

Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

1	Total revenue, gains, and other support per audited financial statements			1	14,017,506.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:				
a	Net unrealized gains on investments	2a	-6,260.		
b	Donated services and use of facilities	2b			
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIV.)	2d	1,606,041.		
e	Add lines 2a through 2d			2e	1,599,781.
3	Subtract line 2e from line 1			3	12,417,725.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIV.)	4b			
c	Add lines 4a and 4b			4c	0.
5	Total revenue. Add lines 3 and 4c. *(This must equal Form 990, Part I, line 12.)*			5	12,417,725.

Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1	Total expenses and losses per audited financial statements			1	14,496,709.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:				
a	Donated services and use of facilities	2a			
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIV.)	2d	1,606,041.		
e	Add lines 2a through 2d			2e	1,606,041.
3	Subtract line 2e from line 1			3	12,890,668.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a			
b	Other (Describe in Part XIV.)	4b			
c	Add lines 4a and 4b			4c	0.
5	Total expenses. Add lines 3 and 4c. *(This must equal Form 990, Part I, line 18.)*			5	12,890,668.

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Part XIV Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, line 8; Part XII, lines 2d and 4b; and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

PART X, LINE 2: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION HAS ADOPTED CERTAIN PROVISIONS OF ASC 740 (FIN 48), ACCOUNTING FOR INCOME TAXES. THE ORGANIZATION HAS REVIEWED ITS TAX POSITION FOR ALL OPEN TAX YEARS AND CONCLUDED THAT THE ADOPTION OF THE PROVISIONS OF ASC 740 (FIN 48) DID NOT HAVE AN IMPACT ON THE FINANCIAL STATEMENT POSITION.

PART XI, LINE 8 - OTHER ADJUSTMENTS:

TRANSFER OF NET ASSETS FROM RELATED ORG - SAN MARCOS UNIV

Part XIV Supplemental Information *(continued)*

CORP	6,285,611.

PART XII, LINE 2D - OTHER ADJUSTMENTS:

COST OF GOODS SOLD - NETTED TO REVENUE	787,521.
RENT EXPENSE - NETTED TO REVENUE	86,871.
DONATED FACILITY REVENUE - EXCLUDE FROM FORM 990	731,649.
TOTAL TO SCHEDULE D, PART XII, LINE 2D	1,606,041.

PART XIII, LINE 2D - OTHER ADJUSTMENTS:

COST OF GOODS SOLD - NETTED TO REVENUE	787,521.
RENT EXPENSE - NETTED TO REVENUE	86,871.
DONATED FACILITY EXPENSE - EXCLUDE FROM FORM 990	731,649.
TOTAL TO SCHEDULE D, PART XIII, LINE 2D	1,606,041.

OTHER SUPPLEMENTAL INFORMATION:

PART VI, LAND, BUILDINGS, AND EQUIPMENT:

THE ORGANIZATION ASSUMED OVERSIGHT OF THE CAMPUS CHILD CARE CENTER OPERATIONS WHICH WERE TRANSFERRED FROM A RELATED ORGANIZATION, SAN MARCOS UNIVERSITY CORPORATION. IN ADDITION, THE CHILD CARE CENTER ASSETS -- CONSISTING OF A BUILDING, LAND IMPROVEMENTS, AND RELATED FURNITURE AND EQUIPMENT WITH A COMBINED VALUE OF $6,285,611 -- WERE ALSO TRANSFERRED TO THE ORGANIZATION. SEE SCHED O.

DRAFT

SCHEDULE I (Form 990)

Department of the Treasury
Internal Revenue Service

Grants and Other Assistance to Organizations, Governments, and Individuals in the United States

Complete if the organization answered "Yes" to Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

OMB No. 1545-0047

2011

Open to Public Inspection

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ..... [X] Yes [ ] No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Governments and Organizations in the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 21, for any recipient that received more than $5,000. Check this box if no one recipient received more than $5,000. Part II can be duplicated if additional space is needed ..... ▶ [ ]

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance

DRAFT

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ..... ▶

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

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

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
CAL STATE SAN MARCOS STUDENT SCHOLARSHIPS	42	48,627.	0.	CASH VALUE	

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Part IV **Supplemental Information.** Complete this part to provide the information required in Part I, line 2, and any other additional information.

SCHEDULE I, PART I, LINE 2: GRANTS GIVEN TO CSUSM ARE FOR STUDENT SCHOLARSHIPS AND THE UNIVERSITY MONITORS THE FUNDS GIVEN TO EACH STUDENT. THE FINANCIAL AID OFFICE OF THE UNIVERSITY QUALIFIES APPLICANTS FOR SCHOLARSHIPS BASED ON CRITERIA OVER WHICH UARSC HAS NO CONTROL. EXPENDITURES ON GRANTS AND CONTRACTS ARE CLOSELY MONITORED BY THE UARSC STAFF TO COMPLY WITH SPONSOR REQUIREMENTS.

SCHEDULE J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ **Complete if the organization answered "Yes" to Form 990, Part IV, line 23.**

▶ **Attach to Form 990.** ▶ **See separate instructions.**

OMB No. 1545-0047

2011

Open to Public Inspection

Name of the organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.			
	☐ First-class or charter travel	☐ Housing allowance or residence for personal use		
	☐ Travel for companions	☐ Payments for business use of personal residence		
	☐ Tax indemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (e.g., maid, chauffeur, chef)		
b	If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	1b		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?	2		
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director. Explain in Part III.			
	☐ Compensation committee	☐ Written employment contract		
	☐ Independent compensation consultant	☐ Compensation survey or study		
	☐ Form 990 of other organizations	☐ Approval by the board or compensation committee		
4	During the year, did any person listed in Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:			
a	Receive a severance payment or change-of-control payment?	4a		X
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	4b		X
c	Participate in, or receive payment from, an equity-based compensation arrangement?	4c		X
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.			
	Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9.			
5	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	5a		X
b	Any related organization?	5b		X
	If "Yes" to line 5a or 5b, describe in Part III.			
6	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:			
a	The organization?	6a		X
b	Any related organization?	6b		X
	If "Yes" to line 6a or 6b, describe in Part III.			
7	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III	7		X
8	Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	8		X
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	9		

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

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

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

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1 EMILY CUTRER, PROVOST	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	204,642.	0.	0.	36,783.	13,796.	255,221.	0.
2 LINDA HAWK, CSUSM VP FINANCE	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	192,090.	0.	0.	34,554.	13,796.	240,440.	0.
3 KAREN HAYNES, CSUSM PRESIDENT	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	270,568.	0.	67,849.	48,694.	14,152.	401,263.	0.
4 DORA KNOBLOCK, SECRETARY, EXEC. DIR.	(i)	0.	0.	0.	0.	0.	0.	0.
	(ii)	125,262.	0.	0.	22,497.	18,380.	166,139.	0.
5	(i)							
	(ii)							
6	(i)							
	(ii)							
7	(i)							
	(ii)							
8	(i)							
	(ii)							
9	(i)							
	(ii)							
10	(i)							
	(ii)							
11	(i)							
	(ii)							
12	(i)							
	(ii)							
13	(i)							
	(ii)							
14	(i)							
	(ii)							
15	(i)							
	(ii)							
16	(i)							
	(ii)							

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Part III Supplemental Information

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

PART I, LINE 3:

THE OFFICERS LISTED ON SCHEDULE J ARE EMPLOYEES OF THE RELATED ORGANIZATION, CALIFORNIA STATE UNIVERSITY SAN MARCOS. THE RELATED ORGANIZATION HAS POLICIES IN PLACE WHICH ARE USED TO DETERMINE COMPENSATION. THROUGH THE RELATED ORGANIZATION'S EXECUTIVE COMPENSATION COMMITTEE - WHICH IS COMPRISED OF THE UNIVERSITY PRESIDENT WHO SERVES AS AN EX-OFFICIO MEMBER OF THE BOARD - COMPENSATION FOR THE ORGANIZATION'S OFFICERS IS REVIEWED ON AN ANNUAL BASIS. THE REVIEW OF CURRENT SALARY LEVELS FOR EACH EXECUTIVE EMPLOYEE IS PERFORMED BY ANALYZING EXECUTIVE COMPENSATION OF OTHER SIMILAR AUXILIARY ORGANIZATIONS WITHIN THE CALIFORNIA STATE UNIVERSITY SYSTEM, AS WELL AS SURVEYS OF OTHER NON-PROFIT CHARITABLE ORGANIZATIONS OF SIMILAR ASSET SIZE AND FUNCTIONS. THE EXECUTIVE COMPENSATION COMMITTEE THEN RECOMMENDS THE APPROPRIATE SALARY LEVELS TO THE ORGANIZATION'S BOARD OF DIRECTORS FOR APPROVAL.

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SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.

OMB No. 1545-0047

2011

Open to Public Inspection

Name of the organization	Employer identification number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	33-0397688

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

THE UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION IS A NON-PROFIT TAX EXEMPT ORGANIZATION ESTABLISHED TO PROVIDE ADMINISTRATIVE AND OTHER BUSINESS SERVICES TO CALIFORNIA STATE UNIVERSITY SAN MARCOS. SERVICES INCLUDE THE ADMINISTRATION OF RESEARCH AND TRAINING GRANT AWARDS TO CAMPUS FACULTY, AND OPERATION OF VARIOUS CAMPUS COMMERCIAL OPERATIONS INCLUDING THE BOOKSTORE AND FOOD SERVICES. OTHER SERVICES PROVIDED INCLUDE FINANCIAL MANAGEMENT SUPPORT TO OTHER CAMPUS ENTITIES AND PROGRAMS SUCH AS THE PHILANTHROPIC FOUNDATION, STUDENT HOUSING, STUDENT GOVERNMENT, AND OTHER ACTIVITIES THAT FALL WITHIN THE MISSION OF THE UNIVERSITY.

FORM 990, PART III, LINE 2, NEW PROGRAM SERVICES:

THE ORGANIZATION ASSUMED OVERSIGHT OF THE CAMPUS CHILD CARE CENTER WHICH WAS TRANSFERRED FROM A RELATED ORGANIZATION, SAN MARCOS UNIVERSITY CORPORATION.

FORM 990, PART III, LINE 4D, OTHER PROGRAM SERVICES:

THE ORGANIZATION ASSUMED OVERSIGHT OF THE CAMPUS CHILD CARE CENTER WHICH WAS TRANSFERRED FROM A RELATED ORGANIZATION, SAN MARCOS UNIVERSITY CORPORATION.

FORM 990, PART VI, SECTION B, LINE 11: THE ENTITY'S BOARD HAS DELEGATED AUTHORITY TO THE AUDIT COMMITTEE TO REVIEW THE ANNUAL FORM 990. THE REVIEW IS DONE PRIOR TO FILING THE FORM WITH THE IRS. ALL OTHER BOARD MEMBERS ARE ALSO PROVIDED A COPY OF THE RETURN.

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Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

FORM 990, PART VI, SECTION B, LINE 12C: AT THE BEGINNING OF EACH FISCAL YEAR ALL MEMBERS OF THE AUXILIARY'S BOARD OF DIRECTORS ARE REQUIRED TO SIGN A CONFLICT OF INTEREST STATEMENT. THIS POLICY ALSO APPLIES TO ALL DIRECTOR LEVEL POSITIONS, INCLUDING THE EXECUTIVE DIRECTOR, AND ALL OTHER POSITIONS THAT HAVE SIGNIFICANT EXPOSURE AND/OR DECISION MAKING AUTHORITY TO WARRANT REGULAR MONITORING OF THE CONFLICT OF INTEREST ACTIVITIES.

FORM 990, PART VI, SECTION B, LINE 15: THROUGH THE ORGANIZATION'S EXECUTIVE COMPENSATION COMMITTEE - WHICH IS COMPRISED OF THE UNIVERSITY PRESIDENT WHO SERVES AS AN EX-OFFICIO MEMBER OF THE BOARD - COMPENSATION FOR THE ORGANIZATION'S OFFICERS IS REVIEWED ON AN ANNUAL BASIS. THE REVIEW OF CURRENT SALARY LEVELS FOR EACH EXECUTIVE EMPLOYEE IS PERFORMED BY ANALYZING EXECUTIVE COMPENSATION OF OTHER SIMILAR AUXILIARY ORGANIZATIONS WITHIN THE CALIFORNIA STATE UNIVERSITY SYSTEM, AS WELL AS SURVEYS OF OTHER NON-PROFIT CHARITABLE ORGANIZATIONS OF SIMILAR ASSET SIZE AND FUNCTIONS. THE EXECUTIVE COMPENSATION COMMITTEE THEN RECOMMENDS THE APPROPRIATE SALARY LEVELS TO THE ORGANIZATION'S BOARD OF DIRECTORS FOR APPROVAL.

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FORM 990, PART VI, SECTION C, LINE 19: THE GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY, FINANCIAL STATEMENTS, AND FORMS 990 (FROM THE PREVIOUS THREE YEARS) ARE AVAILABLE FOR INSPECTION OR COPYING AT THE ORGANIZATION'S MAIN OFFICE DURING NORMAL BUSINESS HOURS WITHOUT INQUIRING AS TO THE REASON FOR THE PUBLIC INSPECTION REQUEST.

FORM 990, PART VII, SECTION A, LINE 1A, COLUMN B:

AVERAGE HOURS PER WEEK DEVOTED TO RELATED ORGANIZATIONS

THE FOLLOWING LIST PROVIDES THE AVERAGE HOURS PER WEEK DEVOTED TO

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

UARSC'S RELATED ORGANIZATIONS BY UARSC OFFICERS AND DIRECTORS WHO RECEIVED COMPENSATION FROM RELATED ORGANIZATIONS:

EMILY CUTRER - 40 HRS

LINDA HAWK - 40 HRS

KAREN HAYNES - 40 HRS

COLLEEN MOSS - 40 HRS

DORA KNOBLOCK - 0 HRS

FORM 990, PART XI, LINE 5, CHANGES IN NET ASSETS:

NET UNREALIZED LOSSES ON INVESTMENTS:	-6,260.
TRANSFER OF NET ASSETS FROM RELATED ORG - SAN MARCOS UNIV CORP	6,285,611.
TOTAL TO FORM 990, PART XI, LINE 5	6,279,351.

FORM 990, PART XII, LINE 2C:

THERE WERE NO CHANGES IN THE OVERSIGHT AND SELECTION PROCESS.

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SCHEDULE R (Form 990)
Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 33, 34, 35, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047
2011
Open to Public Inspection

Name of the organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

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

(a) Name, address, and EIN of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity? Yes	(g) No
CALIFORNIA STATE UNIVERSITY SAN MARCOS - 33-0535371, 333 S. TWIN OAKS VALLEY ROAD, SAN MARCOS, CA 92096	CALIFORNIA STATE UNIVERSITY - HIGHER EDUCATIONAL INSTITUTION	CALIFORNIA	115	GOVERNMENT	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
SAN MARCOS UNIVERSITY CORPORATION - 33-0971982, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	ON-CAMPUS PROGRAM MANAGEMENT	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
ASSOCIATED STUDENTS, INC CALIFORNIA STATE UNIVERSITY SAN MARCOS - 33-0556915, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	STUDENT LEADERSHIP, ACTIVITIES, & RECREATION	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
CALIFORNIA STATE UNIVERSITY SAN MARCOS FOUNDATION - 80-0390564, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	FUNDRAISING & GRANTS ADMINISTRATION	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X

Part III **Identification of Related Organizations Taxable as a Partnership** (Complete if the organization answered "Yes" to Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations? Yes	(h) No	(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner? Yes	(j) No	(k) Percentage ownership

Part IV **Identification of Related Organizations Taxable as a Corporation or Trust** (Complete if the organization answered "Yes" to Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership

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

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

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

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

	(a) Name of other organization	(b) Transaction type (a-r)	(c) Amount involved	(d) Method of determining amount involved
(1)	CALIFORNIA STATE UNIVERSITY SAN MARCOS	I	145,680.	CASH VALUE
(2)	CALIFORNIA STATE UNIVERSITY SAN MARCOS	O	4,604,583.	CASH VALUE
(3)	CALIFORNIA STATE UNIVERSITY SAN MARCOS	P	984,523.	CASH VALUE
(4)	SAN MARCOS UNIVERSITY CORPORATION	K	273,960.	CASH VALUE
(5)	ASSOCIATED STUDENTS, INC OF CSU SAN MARCOS	K	816,268.	CASH VALUE
(6)	SAN MARCOS UNIVERSITY CORPORATION	C	6,285,611.	NET ASSET BOOK VALUE

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Part VI **Unrelated Organizations Taxable as a Partnership** (Complete if the organization answered "Yes" to Form 990, Part IV, line 37.)

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

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

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Part VII Supplemental Information

Complete this part to provide additional information for responses to questions on Schedule R (see instructions).

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TAXABLE YEAR **2011**

California Exempt Organization Annual Information Return

128941 12-15-11
FORM **199**

Calendar Year 2011 or fiscal year beginning month JULY day 1 year 2011, and ending month JUNE day 30 year 2012.

Corporation/Organization name	California corporation number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	1662131
Address (suite, room, or PMB no.)	**FEIN**
435 E. CARMEL STREET	33-0397688
City / **State** / **ZIP Code**	
SAN MARCOS / CA / 92078	

A First Return ..... ☐ Yes ☒ No

B Amended Return ..... ● ☐ Yes ☒ No

C IRC Section 4947(a)(1)trust ..... ☐ Yes ☒ No

D Final Return ..... ☐ Yes ☒ No

● ☐ Dissolved ● ☐ Surrendered (Withdrawn)

● ☐ Merged/Reorganized Enter date: ● _____

E Check accounting method:

(1) ☐ Cash (2) ☒ Accrual (3) ☐ Other

F Federal return filed?

(1) ● ☐ 990T (2) ● ☐ 990(PF) (3) ● ☐ Sch H (990)

G Is this a group filing for the subordinates/affiliates? ... ● ☐ Yes ☒ No

If "Yes," attach a roster. See instructions

H Is this organization in a group exemption? ..... ☐ Yes ☒ No

If "Yes," what is the parent's name?

I Did the organization have any changes in its activities, governing instrument, articles of incorporation, or bylaws that have not been reported to the Franchise Tax Board? ..... ● ☐ Yes ☒ No

If "Yes," explain, and attach copies of revised documents.

J If exempt under R&TC Section 23701d, has the organization during the year: (1) participated in any political campaign, or (2) attempted to influence legislation or any ballot measure, or (3) made an election under R&TC Section 23704.5 (relating to lobbying by public charities)? ..... ● ☐ Yes ☒ No

If "Yes," complete and attach form FTB 3509.

K Is the organization exempt under R&TC Section 23701g? ● ☐ Yes ☒ No

If "Yes," enter the gross receipts from nonmember sources ..... $ _____

L If organization is exempt under R&TC Section 23701d and is exclusively religious, educational, or charitable, and is supported primarily (50% or more) by public contributions, check box. No filing fee is required. ..... ● ☐

M Is the organization a Limited Liability Company? ..... ● ☐ Yes ☒ No

N Did the organization file Form 100 or Form 109 to report taxable income? ..... ● ☐ Yes ☒ No

O Is the organization under audit by the IRS or has the IRS audited in a prior year? ..... ● ☐ Yes ☒ No

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Part I **Complete Part I unless not required to file this form. See General Instructions B and C.**

Receipts and Revenues	1	Gross sales or receipts from other sources. From Side 2, Part II, line 8 ●		1	5,502,788.00
	2	Gross dues and assessments from members and affiliates ●		2	00
	3	Gross contributions, gifts, grants, and similar amounts received STMT 1 ●		3	7,789,329.00
	4	Total gross receipts for filing requirement test. Add line 1 through line 3. **This line must be completed.** If the result is less than $25,000, see General Instruction B ●		4	13,292,117.00
	5	Cost of goods sold STMT 3 STMT 2 ●	5 787,521.00		
	6	Cost or other basis, and sales expenses of assets sold ●	6 00		
	7	Total costs. Add line 5 and line 6		7	787,521.00
	8	Total gross income. Subtract line 7 from line 4 ●		8	12,504,596.00
Expenses	9	Total expenses and disbursements. From Side 2, Part II, line 18 ●		9	12,977,539.00
	10	Excess of receipts over expenses and disbursements. Subtract line 9 from line 8 ●		10	-472,943.00
Filing Fee	11	Filing fee $10 or $25. See General Instruction F		11	10.00
	12	Total payments		12	00
	13	Penalties and Interest. See General Instruction J		13	00
	14	Use tax. See General Instruction K ●		14	00
	15	**Balance due.** Add line 11, line 13, and line 14. Then subtract line 12 from the result		15	10.00

Sign Here

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

Signature of officer ▶ | Title: CFO | Date | ● Telephone

Paid Preparer's Use Only

Preparer's signature ▶ | Date | Check if self-employed ▶ ☐ | ● PTIN P01278077

Firm's name (or yours, if self-employed) and address ▶ MCGLADREY LLP
515 S FLOWER STREET, 41ST FLOOR
LOS ANGELES, CA 90071

● FEIN 42-0714325

● Telephone 213-330-4800

May the FTB discuss this return with the preparer shown above? See instructions ..... ● ☒ Yes ☐ No

UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION 33-0397688

Part II Organizations with gross receipts of more than $25,000 and private foundations regardless of amount of gross receipts - complete Part II or furnish substitute information. See Specific Line Instructions. 128951 12-08-11

Receipts from Other Sources	1	Gross sales or receipts from all business activities. See instructions	1	1,639,947. 00
	2	Interest	2	37,344. 00
	3	Dividends	3	00
	4	Gross rents	4	145,680. 00
	5	Gross royalties	5	00
	6	Gross amount received from sale of assets (See Instructions)	6	00
	7	Other income SEE STATEMENT 4	7	3,679,817. 00
	8	**Total** gross sales or receipts from other sources. Add line 1 through line 7. Enter here and on Side 1, Part I, line 1	8	5,502,788. 00
Expenses and Disbursements	9	Contributions, gifts, grants, and similar amounts paid STATEMENT 5	9	48,627. 00
	10	Disbursements to or for members	10	00
	11	Compensation of officers, directors, and trustees SEE STATEMENT 6	11	119,034. 00
	12	Other salaries and wages	12	4,941,551. 00
	13	Interest	13	00
	14	Taxes	14	319,785. 00
	15	Rents	15	369,523. 00
	16	Depreciation and depletion (See instructions)	16	539,130. 00
	17	Other Expenses and Disbursements SEE STATEMENT 7	17	6,639,889. 00
	18	**Total** expenses and disbursements. Add line 9 through line 17. Enter here and on Side 1, Part I, line 9	18	12,977,539. 00

Schedule L Balance Sheets

Assets	Beginning of taxable year (a)	(b)	End of taxable year (c)	(d)
1 Cash		11,324,437.		14,734,341.
2 Net accounts receivable		1,577,875.		1,028,023.
3 Net notes receivable				
4 Inventories		198,354.		29,326.
5 Federal and state government obligations				
6 Investments in other bonds				
7 Investments in stock				
8 Mortgage loans				
9 Other investments				
10 a Depreciable assets	2,897,316.		9,182,927.	
b Less accumulated depreciation	(2,396,957.)	500,359.	(2,938,588.)	6,244,339.
11 Land				
12 Other assets STMT 8		940,743.		101,231.
13 Total assets		14,539,768.		22,137,260.
Liabilities and net worth				
14 Accounts payable		1,756,035.		1,533,707.
15 Contributions, gifts, or grants payable				
16 Bonds and notes payable				
17 Mortgages payable				
18 Other liabilities STMT 9		8,468,166.		10,481,578.
19 Capital stock or principle fund				
20 Paid-in or capital surplus. Attach reconciliation				
21 Retained earnings or income fund		4,315,567.		10,121,975.
22 Total liabilities and net worth		14,539,768.		22,137,260.

Schedule M-1 Reconciliation of income per books with income per return

Do not complete this schedule if the amount on Schedule L, line 13, column (d), is less than $25,000

1 Net income per books	-479,203.	7 Income recorded on books this year not included in this return	
2 Federal income tax			
3 Excess of capital losses over capital gains			
4 Income not recorded on books this year		8 Deductions in this return not charged against book income this year	
5 Expenses recorded on books this year not deducted in this return STMT 10	6,260.	9 Total. Add line 7 and line 8	
6 Total. Add line 1 through line 5	-472,943.	10 Net income per return. Subtract line 9 from line 6	-472,943.

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FORM 199 CASH CONTRIBUTIONS OF $5000 OR MORE INCLUDED ON PART I, LINE 3 STATEMENT 1

CONTRIBUTOR'S NAME	CONTRIBUTOR'S ADDRESS	DATE OF GIFT	AMOUNT
CSU OFFICE OF THE CHANCELLOR	401 GOLDEN SHORE, 5TH FLOOR LONG BEACH, CA, 90802		48,000.
DEPARTMENT OF HEALTH & HUMAN SERVICES	200 INDEPENDENCE AVENUE, S.W. WASHINGTON, DC, 20201		323,945.
DEPARTMENT OF HOUSING & URBAN DEVELOPMENT	1200 PENNSYLVANIA AVENUE NW WASHINGTON, DC, 20460		10,004.
ENVIRONMENTAL PROTECTION AGENCY	1200 PENNSYLVANIA AVENUE NW WASHINGTON, DC, 20460		161,669.
NATIONAL INSTITUTES OF HEALTH	9000 ROCKVILLE PIKE BETHESDA, MD, 20892		2,638,694.
THE NATIONAL SCIENCE FOUNDATION	4201 WILSON BOULEVARD ARLINGTON, VA, 22230		1,079,699.
U.S. DEPARTMENT OF EDUCATION	400 MARYLAND AVENUE, SW WASHINGTON, DC, 20202		1,875,252.
USDA FOREST SERVICE	701 N. SANTA ANITA AVENUE ARCADIA, CA, 91006		172,986.
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION	300 E ST SW WASHINGTON, DC, 20024		26,112.
LEARN & SERVE AMERICA HIGHER EDUCATION	1201 NEW YORK AVENUE, NW WASHINGTON, DC, 20525		18,970.
NATIONAL ENDOWMENT FOR THE ARTS	1100 PENNSYLVANIA AVE NW WASHINGTON, DC, 20506		18,000.
COUNTY OF SAN DIEGO, HEALTH AND HUMAN SVCS	3255 CAMINO DEL RIO SOUTH SAN DIEGO, CA, 92108		50,000.
SAN DIEGO COUNTY MEDICAL SOCIETY FOUNDATION	5575 RUFFIN ROAD, SUITE 250 SAN DIEGO, CA, 92123		59,645.
UCOP-CA WRITING PROJECT	1111 FRANKLIN STREET, 9TH FLOOR OAKLAND, CA, 94607		25,000.
BRAVO FOUNDATION	1042 N. EL CAMINO REAL SUITE B409 ENCINITAS, CA, 92024		15,000.
NARSAD	60 CUTTER MILL ROAD, SUITE 404 GREAT NECK, NY, 11021		29,550.

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MARYLAND TRANSIT ADMINISTRATION	1515 WASHINGTON BLVD. BALTIMORE, MD, 21230-1794	27,404.
THE CALIFORNIA ENDOWMENT	5060 SHOREHAM PLACE, SUITE 350 SAN DIEGO, CA, 92122	50,000.
CA INSTITUTE FOR REGENERATIVE MEDICINE	210 KING STREET SAN FRANCISCO, CA, 94107	616,150.
IMPERIAL VISIONS	P.O. BOX 269 LA JOLLA, CA, 92038-0269	10,000.
UCSD OPC	9500 GILMAN DRIVE, DEPT. 0232 LA JOLLA, CA, 92093	92,473.
SAN JOSE STATE UNIV RESEARCH FOUNDATION	7544 SANDHOLDT ROAD MOSS LANDING, CA, 95039	12,120.
COUNTY OF SAN DIEGO	1600 PACIFIC HIGHWAY ROOM 352 SAN DIEGO, CA, 92101	10,000.
TOTAL INCLUDED ON LINE 3		7,370,673.

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FORM 199 COST OF GOODS SOLD INCLUDED ON PART I, LINE 5 STATEMENT 2

COST OF GOODS SOLD

1.	INVENTORY AT BEGINNING OF YEAR		196,354
2.	MERCHANDISE PURCHASED.		
3.	COST OF LABOR.		
4.	MATERIALS AND SUPPLIES		
5.	OTHER COSTS.	620,493	
6.	ADD LINES 1 THROUGH 5		816,847
7.	INVENTORY AT END OF YEAR		29,326
8.	COST OF GOODS SOLD (LINE 6 LESS LINE 7)		787,521

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FORM 199 COST OF GOODS SOLD - OTHER COSTS STATEMENT 3

DESCRIPTION	AMOUNT
OTHER COSTS	620,493.
TOTAL INCLUDED ON FORM 199, PART I, LINE 5	620,493.

FORM 199 OTHER INCOME STATEMENT 4

DESCRIPTION	AMOUNT
COMMISSIONS - BOOKSTORE	347,515.
CAMPUS PROGRAMS	3,332,302.
TOTAL TO FORM 199, PART II, LINE 7	3,679,817.

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FORM 199 CASH CONTRIBUTIONS, GIFTS, GRANTS AND SIMILAR AMOUNTS PAID STATEMENT 5

ACTIVITY CLASSIFICATION: SCHOLARSHIPS

DONEES NAME	DONEES ADDRESS	RELATIONSHIP	AMOUNT
STUDENTS AT CSU-SAN MARCOS		NONE	48,627.
	TOTAL FOR THIS ACTIVITY		48,627.
TOTAL INCLUDED ON FORM 199, PART II, LINE 9			48,627.

FORM 199 COMPENSATION OF OFFICERS, DIRECTORS AND TRUSTEES STATEMENT 6

NAME AND ADDRESS	TITLE AND AVERAGE HRS WORKED/WK	COMPENSATION
ANN BERSI 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR/CHAIR 3.00	0.
TRES CONRIQUE 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
EMILY CUTRER, PROVOST 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
KEN GREEN 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
LINDA HAWK, CSUSM VP FINANCE 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
JOHN HAWTHORNE 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.

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KAREN HAYNES, CSUSM PRESIDENT 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
BRANDON LOSEY, STUDENT 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
COLLEEN MOSS, FACULTY 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
RUSSELL POWELL 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
SUSAN SCHNEPF 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
CAMILLE SCHUSTER, FACULTY 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR 1.00	0.
ERNEST ZOMALT 435 E. CARMEL STREET SAN MARCOS, CA 92078	DIRECTOR/VICE CHAIR 1.00	0.
DORA KNOBLOCK, SECRETARY, EXEC. DIR. 435 E. CARMEL STREET SAN MARCOS, CA 92078	SECRETARY 40.00	0.
GREG SVATORA, TREASURER/CFO 435 E. CARMEL STREET SAN MARCOS, CA 92078	TREASURER 40.00	119,034.
TOTAL TO FORM 199, PART II, LINE 11		119,034.

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FORM 199 OTHER EXPENSES STATEMENT 7

DESCRIPTION	AMOUNT
STIPENDS/HONORARIA	1,011,242.
SERVICE FEES	837,187.
PROGRAM EXPENSES	408,705.
TRANSFERS TO ENDOWMENTS	132,138.
RENTAL EXPENSE	86,871.
PAYMENTS TO AFFILIATES	1,701,094.
PENSION PLAN CONTRIBUTIONS	213,428.
OTHER EMPLOYEE BENEFITS	834,135.

LEGAL FEES	15,000.
ACCOUNTING FEES	90,300.
OTHER PROFESSIONAL FEES	321,884.
OFFICE EXPENSES	477,274.
TRAVEL	337,913.
CONFERENCES AND CONVENTIONS	104,482.
INSURANCE	23,453.
ALL OTHER EXPENSES	44,783.
TOTAL TO FORM 199, PART II, LINE 17	6,639,889.

FORM 199 OTHER ASSETS STATEMENT 8

DESCRIPTION	BEG. OF YEAR	END OF YEAR
PREPAID EXPENSES AND DEFERRED CHARGES	35,436.	40,150.
OTHER ASSETS	61,081.	61,081.
DEPOSITS	844,226.	0.
TOTAL TO FORM 199, SCHEDULE L, LINE 12	940,743.	101,231.

FORM 199 OTHER LIABILITIES STATEMENT 9

DESCRIPTION	BEG. OF YEAR	END OF YEAR
POST RETIREMENT BENEFITS	1,027,987.	1,205,268.
DUE TO SAN MARCOS FOUNDATION	6,541,575.	8,373,994.
DEFERRED REVENUE	898,604.	902,316.
TOTAL TO FORM 199, SCHEDULE L, LINE 18	8,468,166.	10,481,578.

FORM 199 EXPENSES RECORDED ON BOOKS THIS YEAR NOT DEDUCTED IN THIS RETURN STATEMENT 10

DESCRIPTION	AMOUNT
NET UNREALIZED LOSS	6,260.
TOTAL TO FORM 199, SCHEDULE M-1, LINE 5	6,260.

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MAIL TO:
Registry of Charitable Trusts
P.O. Box 903447
Sacramento, CA 94203-4470
Telephone: (916) 445-2021

WEB SITE ADDRESS:
http://ag.ca.gov/charities/

ANNUAL REGISTRATION RENEWAL FEE REPORT TO ATTORNEY GENERAL OF CALIFORNIA

Sections 12586 and 12587, California Government Code
11 Cal. Code Regs. sections 301-307, 311 and 312

Failure to submit this report annually no later than four months and fifteen days after the end of the organization's accounting period may result in the loss of tax exemption and the assessment of a minimum tax of $800, plus interest, and/or fines or filing penalties as defined in Government Code section 12586.1. IRS extensions will be honored.

State Charity Registration Number: CT 77893

UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION
Name of Organization

435 E. CARMEL STREET
Address (Number and Street)

SAN MARCOS, CA 92078
City or Town, State and ZIP Code

Check if:
☐ Change of address
☐ Amended report

Corporate or Organization No. 1662131

Federal Employer I.D. No. 33-0397688

ANNUAL REGISTRATION RENEWAL FEE SCHEDULE (11 Cal. Code Regs. sections 301-307, 311 and 312)
Make Check Payable to Attorney General's Registry of Charitable Trusts

Gross Annual Revenue	Fee	Gross Annual Revenue	Fee	Gross Annual Revenue	Fee
Less than $25,000	0	Between $100,001 and $250,000	$50	Between $1,000,001 and $10 million	$150
Between $25,000 and $100,000	$25	Between $250,001 and $1 million	$75	Between $10,000,001 and $50 million	$225
				Greater than $50 million	$300

PART A - ACTIVITIES

For your most recent full accounting period (beginning 07/01/2011 ending 06/30/2012) list:
Gross annual revenue $ 12,417,725. Total assets $ 22,137,260.

PART B - STATEMENTS REGARDING ORGANIZATION DURING THE PERIOD OF THIS REPORT

Note: If you answer "yes" to any of the questions below, you must attach a separate sheet providing an explanation and details for each "yes" response. Please review RRF-1 instructions for information required.

		Yes	No
1.	During this reporting period, were there any contracts, loans, leases or other financial transactions between the organization and any officer, director or trustee thereof either directly or with an entity in which any such officer, director or trustee had any financial interest?		X
2.	During this reporting period, was there any theft, embezzlement, diversion or misuse of the organization's charitable property or funds?		X
3.	During this reporting period, did non-program expenditures exceed 50% of gross revenues?		X
4.	During this reporting period, were any organization funds used to pay any penalty, fine or judgment? If you filed a Form 4720 with the Internal Revenue Service, attach a copy.		X
5.	During this reporting period, were the services of a commercial fundraiser or fundraising counsel for charitable purposes used? If "yes," provide an attachment listing the name, address, and telephone number of the service provider.		X
6.	During this reporting period, did the organization receive any governmental funding? If so, provide an attachment listing the name of the agency, mailing address, contact person, and telephone number. SEE STATEMENT 11	X	
7.	During this reporting period, did the organization hold a raffle for charitable purposes? If "yes," provide an attachment indicating the number of raffles and the date(s) they occurred.		X
8.	Does the organization conduct a vehicle donation program? If "yes," provide an attachment indicating whether the program is operated by the charity or whether the organization contracts with a commercial fundraiser for charitable purposes.		X
9.	Did your organization have prepared an audited financial statement in accordance with generally accepted accounting principles for this reporting period?	X	

Organization's area code and telephone number 760-750-4700

Organization's e-mail address

I declare under penalty of perjury that I have examined this report, including accompanying documents, and to the best of my knowledge and belief, it is true, correct and complete.

GREG SVATORA	CFO	
Printed Name	Title	Date

Signature of authorized officer

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FORM RRF-1 INFORMATION REGARDING GOVERNMENT FUNDING STATEMENT 11
PART B, LINE 6

DEPARTMENT OF HEALTH & HUMAN SERVICES
200 INDEPENDENCE AVENUE, S.W.
WASHINGTON, DC, 20201
202-619-0257

DEPARTMENT OF HOUSING & URBAN DEVELOPMENT
1200 PENNSYLVANIA AVENUE NW
WASHINGTON, DC, 20460
202-708-2370

ENVIRONMENTAL PROTECTION AGENCY
1200 PENNSYLVANIA AVENUE NW
WASHINGTON, DC, 20460
202-272-0167

NATIONAL INSTITUTES OF HEALTH
9000 ROCKVILLE PIKE
BETHESDA, MD, 20892
301-496-4000

THE NATIONAL SCIENCE FOUNDATION
4201 WILSON BOULEVARD
ARLINGTON, VA, 22230
703-292-5111

U.S. DEPARTMENT OF EDUCATION
400 MARYLAND AVENUE, SW
WASHINGTON, DC, 20202
202-401-2000

USDA FOREST SERVICE
701 N. SANTA ANITA AVENUE
ARCADIA, CA, 91006
626-574-1613

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
300 E ST SW WASHINGTON, DC, 20024
202-358-0000

LEARN & SERVE AMERICA HIGHER EDUCATION
1201 NEW YORK AVENUE, NW
WASHINGTON, DC, 20525
202-606-5000

NATIONAL ENDOWMENT FOR THE ARTS
1100 PENNSYLVANIA AVE NW
WASHINGTON, DC, 20506
202-682-5402

COUNTY OF SAN DIEGO, HEALTH AND HUMAN SERVICES

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3255 CAMINO DEL RIO SOUTH
SAN DIEGO, CA 92108

CITY OF ENCINITAS
505 S VULCAN AVE
ENCINITAS, CA 92024
760-633-2600

COUNTY OF SAN DIEGO
1600 PACIFIC HWY RM 352
SAN DIEGO, CA 92101
866-901-3212

MD TRANSIT ADMINISTRATION
1515 WASHINGTON BLVD
BALTIMORE, MD 21230-1794
410-539-5000

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ATTACHMENT E

Delegation of Authority Policy – Signature Page Revision

UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University, San Marcos

DELEGATION OF AUTHORITY

Background and Purpose

The University Auxiliary and Research Services Corporation is engaged in a variety of transactions that require prudent control over the authorization to execute documents that obligate the Corporation or which otherwise confirm financial or contractual transactions.

This statement lists the document types and corresponding signatories required thereon to authorize the transaction associated with each type of document.

Policy

The Executive Director is authorized to establish written management guidelines consistent with and in implementation of this policy statement, including delegation of authority granted through this policy.

Those with delegated authority may re-delegate in writing to officers, employees or agents of the Corporation, with the approval of the Executive Director and the Board Chairman.

Attached is a description of document types and corresponding authorized signatures.

The undersigned Secretary hereby certifies that the foregoing is a full, true and correct copy of the policy of the Board of Directors of the University Auxiliary and Research Services Corporation duly made at a regular Board meeting on March 26, 2009.

Dora Knoblock
Dora Knoblock, Secretary

03-26-09
Date

Policy Revision Date: 03/26/09
Issue Date: 10/18/01

Account Transactions	
Bank and Investment Account Transfers, Withdrawals, Deposits ***Two signatures required on transfers/withdrawals***	Grant Hubbard Dora Knoblock Greg Svatora
Contractual Documents	
Agreements or contracts, including property conveyances, service agreements, leases, licenses in the ordinary course of business of UARSC	Grant Hubbard Dora Knoblock Greg Svatora
Expenditure Request/Authorization	
Procurement documentation, including check requests, requisitions, purchase orders in the ordinary course of business of UARSC	Deborah Davis Grant Hubbard Dora Knoblock Greg Svatora
Under $500	Jan Cushman
Under $500	Patti Kastner
Under $500	Selma McDermid
Under $500	Michelle Meeks
Negotiable Instruments – Under $5,000	
Commercial checks, sight drafts, other negotiable instruments	Deborah Davis Michelle Hinojosa Grant Hubbard Dora Knoblock Greg Svatora
Negotiable Instruments – More than $5,000	
Commercial checks, sight drafts, other negotiable instruments ***Two signatures required on checks over $5,000***	Deborah Davis Michelle Hinojosa Grant Hubbard Dora Knoblock Greg Svatora
Other	
Any transactions outside the ordinary course of business of UARSC will be presented to the Finance and Operations Committee for review and determination of whether Board action is required.	

Signature authority revision approved by the Board of Directors at the 022813 meeting

ATTACHMENT F

Meeting Calendar FY 13/14

UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

BOARD OF DIRECTORS

PROPOSED FY 13/14 Meeting Calendar

Location: Center for Children and Families Classroom
Meeting Time: 4:00 p.m. – 5:30 p.m.

September 5, 2013 (Annual Meeting)

November 14, 2013

February 27, 2014

May 22, 2014

Approved at a meeting of the
Board of Directors on _____