



A Second Consecutive Record-Breaking Fundraising Year for UConn Nation

The UConn Foundation is pleased to present the 2021 Annual Report and share that we have recorded the highest fundraising total in our history for the second year in a row. Thank you for your role in helping us continue to raise the bar.

The collective efforts of the UConn community are what make our fundraising success possible. In fiscal 2021, nearly 23,000 alumni and friends contributed \$93.3 million in new gifts and commitments, a 4.2 percent increase over fiscal 2020.

Your gifts provide support across UConn, benefiting students, faculty, patients, researchers, and more. Donations for scholarships and fellowships rose from \$23.1 million in fiscal 2020 to \$28.5 million, an increase that will allow even more students to access a UConn education. Support for UConn Health totaled \$17.2 million, providing critical funding to advance patient care, research, and academic programs. And donations for the Division of Athletics totaled \$21.4 million, including generous support for the ice hockey program, which broke ground on a new hockey arena in May.

When you give to UConn, you make a difference in the lives of our students and faculty, now and into the future. Thank you for your generous support.



Endowment Momentum

Dramatic 10-Year Endowment Growth

STUDENTS ▶ \$246.9M

Scholarships and fellowships put a UConn education within reach of promising students from diverse backgrounds.

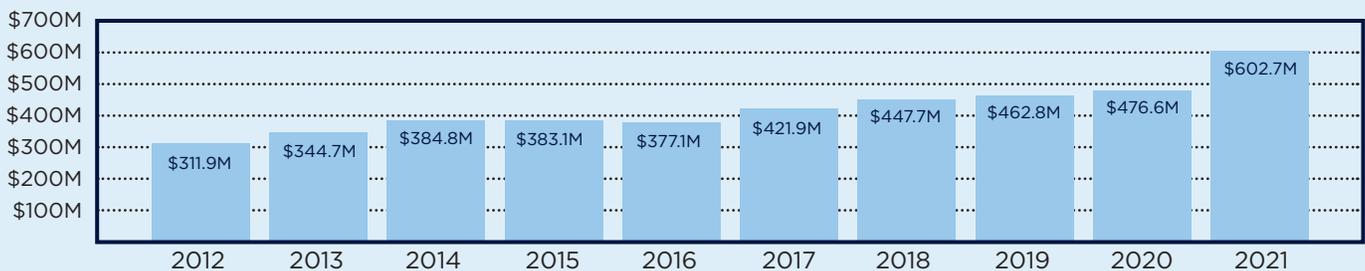
FACULTY ▶ \$159M

Endowed chairs, professorships, and other funds give scholars, researchers, and physician-scientists across UConn the resources they need to pursue innovative work.

PROGRAMS ▶ \$196.8M

Endowed accounts support important programmatic priorities, including new technology, experiential learning opportunities, undergraduate research, and graduate student conference participation.

Ten-Year Total University Endowment Growth



Endowment Management

The UConn Foundation is honored to manage endowed funds in support of the University's mission. The fiduciary responsibility is carried out by members of the Foundation Board of Directors' investment committee, foundation management, and staff. The endowment is managed as a single portfolio, but funds are invested in various asset classes to diversify risk.

The UConn Foundation distributes 4 percent of the rolling, three-year average of quarterly market values of endowed funds to UConn. This spending policy is intended to provide stable income to the University for its current needs while maintaining the long-term purchasing power of the endowment. Earnings in excess of spending distributions and advancement fees are added to the balance of the endowment to help maintain the long-term health of the endowment during periods of poor market performance. Distributions will be suspended if the fund falls below 15 percent of its historic dollar value.

Fundraising By the Numbers

Fiscal Year 2021 (July 1, 2020 through June 30, 2021)

We are grateful to the generous alumni and friends who gave to UConn this fiscal year. Philanthropic support is essential for UConn's continued excellence as a top 25 public research university and contributes to our ongoing success.



22,853
DONORS

TYPES OF GIFTS



14,225
Alumni and
Students



6,339
Friends



1,844
Parents



445
Corporations
and Foundations

\$53.4M

Cash, stock,
in-kind donations
and research grants

\$25.0M

Planned gifts
pledged in a will,
trust, charitable gift
annuity, IRA, or
other estate plan

\$14.9M

Multiyear gift
commitments
typically paid
over five years

MISSIONS

\$35.1M
Academic
Programs

\$28.5M
Scholarships
and Fellowships

\$9.9M
Research

\$8.8M
Capital
Improvement
Projects

\$11.0M
Faculty

OPERATIONS

\$54.6M
Operations

ENDOWMENT

\$38.7M
Endowment - Current

Fiscal Year 2021 Highlights

James LaFlamme '79 (PHAR) increased his existing bequest by an additional \$5 million—the largest gift in the School of Pharmacy’s history—in support of the James B. LaFlamme School of Pharmacy Endowment. The funds will endow a deanship, enabling the School to conduct more research, purchase lab and clean-room technology, recruit a more diverse faculty, and send a more diverse student body into pharmacy practice.

The Neag Foundation made a \$7 million gift to the School of Medicine to fund high-risk/high-reward research that has the potential to change medicine and improve human health globally. The gift established the Carole and Ray Neag Innovation Professorship, which will support School of Medicine faculty specializing in transformational research, and the Carole and Ray Neag Innovative Research Awards, which will fund cutting-edge and high-risk research.

Mark Vergnano '80 (ENGR) and Elizabeth “Betsy” Vergnano '81 (CLAS) made a \$3 million gift to create the Vergnano Institute for Inclusion in the School of Engineering, which will drive increased diversity, equity, and inclusion within the engineering field by supporting underrepresented students through scholarships, coaching and mentoring opportunities, training, and other resources.

Peter Werth '15 (HON) made a \$7.5 million gift to the Division of Athletics, including a \$2.5 million contribution towards UConn’s new ice hockey arena. The gift will also support student-athletes and athletics capital projects.

TRANSFORMATIONAL INCREASES IN SUPPORT

**College of
Agriculture, Health,
and Natural Resources**

2020: \$4.8M
2021: \$6.5M

**School of
Engineering**

2020: \$4.2M
2021: \$5.4M

**School of
Pharmacy**

2020: \$1.8M
2021: \$5.7M

**School of Dental
Medicine**

2020: \$456,582
2021: \$2.0M

**School of
Law**

2020: \$2.1M
2021: \$2.9M



Events By the Numbers

Fiscal Year 2021 (July 1, 2020 through June 30, 2021)

We expanded our virtual event opportunities and connected with alumni from around the world. Throughout fiscal 2021, we offered engaging and thought-provoking content across a range of topics, bringing UConn Nation together virtually while physically apart.

▶ 295 EVENTS

12,142 UConn Alumni and Donors Attended Events

◀ **2,549** First-Time Event Attendees

UConn Nation tuned in from...

- 📍 **49 states**
- 📍 **The District of Columbia**
- 📍 **Puerto Rico**
- 📍 **Armed Forces Europe**
- 📍 **Armed Forces Pacific**



29 International Locations

Alumni Virtual Event Highlights

We continued to offer virtual event series designed to engage alumni in meaningful conversations. Events included past favorites such as 1881, Elevate, and UConn Cares, as well as new and exciting programs. The #ThisIsAmerica series launched in September, bringing together UConn alumni, faculty, and students for dialogue on systemic racism, social justice, and human rights issues. Plant-Based Living featured expert panelists who highlighted the benefits of a plant-based diet and its impacts on exercise and overall health and wellness. Other series included the UConn Alumni Wellness Series and the UConn Health: COVID Panel. In June, we presented UConn Together, a global alumni celebration. UConn Together featured a mix of live and on-demand content held over the course of a weekend, allowing alumni the flexibility to join events at their leisure.

New Funds Endowed in 2021

Donors established 46 new endowed funds in fiscal 2021, providing crucial support for students with financial need, faculty research and academic activities, and programmatic enhancements.

SCHOOL OF BUSINESS

The Bronson Family Scholarship Fund supports undergraduate students enrolled in the School of Business.

The Vidya and Suresh Nair OPIM Undergraduate Scholarship Fund supports undergraduate students in the School of Business who participate in extra-curricular activities such as leadership in student clubs and volunteer activities.

The John B. Bowen Memorial Scholarship supports undergraduate students enrolled in the School of Business who are majoring in accounting.

The Debbie C. Phillips Scholarship Fund supports undergraduate students enrolled in the School of Business who are majoring in Real Estate and Urban Economics.

COLLEGE OF AGRICULTURE, HEALTH AND NATURAL RESOURCES

The Margaret J. Ware Scholarship in Human Nutrition supports excellence in human nutrition at the undergraduate or graduate level.

SCHOOL OF DENTAL MEDICINE

The Dr. Michael '75 and Susan Dick Academic Scholarship supports graduate students enrolled in the School of Dental Medicine.

SCHOOL OF ENGINEERING

The Sarah Levitan Larie Computer Science and Engineering Fellowship Fund supports graduate students enrolled in the School of Engineering who are pursuing a master's degree in the Department of Computer Science and Engineering.

The Prof. Peter Willett Fellowship supports graduate students pursuing degrees in electrical and computer engineering who are conducting research on dynamic estimation or related signal processing topics, with preference given to individuals who identify as female to address underrepresentation in this field.

The Vergnano Institute for Inclusion – Scholarship supports undergraduate students enrolled in engineering, with preference given to students who have overcome obstacles, identify as female, are members of underrepresented groups, or have experience living or working in diverse environments.

The Vergnano Institute for Inclusion – Programming will develop and maintain a University institute to serve as a comprehensive hub in the School of Engineering,

dedicated to providing programs to recruit, retain, and educate a diverse group of engineering students.

The Bryant Braccio Scholarship supports undergraduate students enrolled in the School of Engineering who are majoring in environmental engineering.

SCHOOL OF FINE ARTS

The Halsey M. Marsden Family Scholarship supports undergraduate students enrolled in the School of Fine Arts, with preference given to students who have overcome obstacles.

The Marks Family Fund for Career Development in the Arts supports professional development programs for students in the School of Fine Arts.

SCHOOL OF LAW

The Mike Callahan '95 Family Scholarship Fund for Veterans supports law school students.

The Diana Morales-Bories '96 Endowed Scholarship Fund supports law school students.

The Paul Schneider LLM 2018 and Bryan Garcia Human Rights and Social Justice Award supports JD or LLM students enrolled in the School of Law who are dedicated to the area of domestic and/or international human rights and demonstrate a commitment to advancing human rights and social justice.

The Linda J. Kelly '76 JD Family Scholarship supports incoming full-time law students who received an undergraduate scholarship from Hartford Promise or are Connecticut residents who graduated from a Connecticut high school, with preference given to members of groups that are underrepresented or have overcome obstacles.

The Dennis M. Mayer '80 Endowment for Excellence at UConn School of Law provides financial support to address the school's top priorities and greatest needs.

COLLEGE OF LIBERAL ARTS AND SCIENCES

The Rod Swenson Graduate Fellowship supports graduate students who demonstrate affiliation with the Center for the Ecological Study of Perception and Action.

The Linda Brughelli Fund for Excellence in Public Administration supports the priority needs of the public administration program in the Department of Public Policy.

The Bhagwan Neminath Jain Faculty and Academic Programming Endowment supports programmatic enhancements at the College of Liberal Arts and Sciences.

The Rama and Harish Rawal Undergraduate Research Scholarship In Memory of Dr. Gary A. Epling supports undergraduate students majoring in chemistry, with preference given to students accepted as participants in a University-approved Summer Undergraduate Research program within the Department of Chemistry.

The Rama and Harish Rawal Undergraduate Research Scholarship in Honor of Dr. Michael B. Smith supports undergraduate students majoring in chemistry, with preference given to students accepted as participants in a University-approved Summer Undergraduate Research program within the Department of Chemistry.

The Jean Lucas-Lenard Graduate Fund in Molecular and Cell Biology supports the Department of Molecular and Cell Biology.

The Scholarship in Honor of Dr. Kenneth Ring provides scholarship support for students enrolled in the College of Liberal Arts and Sciences.

The Thomas and Florence Germaine and Luis B. Eyzaguirre Memorial Fund supports full-time undergraduate students who are majoring in Spanish studies.

The Gurudevshri Kanjishwami Jain Darshan Fund supports faculty in the College of Liberal Arts and Sciences.

SCHOOL OF MEDICINE

The Shepard W. Baker and Beverly A. Buckner-Baker Endowed Fund for Dermatology supports the Department of Dermatology.

The Richard K. and Jane E. Lublin Endowed Fund for Primary Care Medicine supports programmatic enhancements at the School of Medicine.

The Georgia C. Contas and Gregory J. Contas Memorial Fund in Support of the Carole and Ray Neag Cancer Center supports the Neag Comprehensive Cancer Center at UConn Health.

The Gustavus and Louise Pfeiffer Research Foundation Scholarship Program at UConn Health supports students at the School of Medicine who demonstrate financial need or who are the first in their family to attend a college or university in biomedicine or bioengineering.

The Carole and Ray Neag Innovative Research Awards supports cutting-edge and high-risk research awards at the School of Medicine.

The Carole and Ray Neag Innovation Professorship supports faculty specializing in transformational research at UConn School of Medicine.

The Ann Batista Rocke Scholarship supports graduate students who are pursuing a medical degree with the intention to specialize in primary care.

SCHOOL OF NURSING

The Dolores Cooke Nursing Scholarship supports undergraduate and graduate students enrolled in the School of Nursing.

The Dean Deborah A. Chyun Nursing Scholarship supports undergraduate and graduate students enrolled in the School of Nursing.

The Miner Bell Foundation Endowment for Nursing supports faculty, student research projects, and graduate and undergraduate scholarships. Students must be engaged in coursework or research concerning individuals with mental illness, homelessness, or engaged with the criminal justice system.

SCHOOL OF SOCIAL WORK

The Dorothea S. LaBelle Endowment for the School of Social Work supports the School of Social Work.

The Reesa F. Olins Scholarship Fund for Social Work supports graduate students enrolled in the School of Social Work who are pursuing their Master of Social Work degree.

UNIVERSITY

The Dodd Endowment supports the priority needs of the Dodd human rights outreach programs.

The Dr. Radenka Maric Scholarship for Graduate Students supports graduate students.

The Fay Family Endowment supports undergraduate students enrolled in the School of Engineering and/or School of Education who are majoring in engineering or education.

The John Carter Whitney Endowed Scholarship Fund supports graduate or undergraduate students participating in the Wellness & Prevention Services' UConn Recovery Community.

The Laura Chapman Rubbo '91 Endowed Fund in Human Rights and Business supports undergraduate and graduate students in the human rights program, with preference given to students with an interest in majoring or minoring in business, economics, political science, or engineering.

The Tianyin 'Sky' Fund for the UConn Western Club Team supports undergraduate students who are members of the University's Western Equestrian Team.

The Widows Society Endowed Fund for Financial Support supports women's health programs at UConn Health (including physical and mental health programs) that focus on uninsured and underinsured patients.

Financial Statement Overview

Prepared by

David L. Carney, CFA

Senior Vice President of Finance & Administration and Chief Financial Officer

The 2021 fiscal year was record setting for the Foundation both in terms of fundraising efforts and investment returns, each of which contributed very favorably to the Foundation's strong financial results for the year. Despite the challenging environment as the world continued to cope with the COVID-19 pandemic, the Foundation raised \$93.3 million in new gifts and commitments, a \$5.4 million increase over the previous year's record and a 24 percent increase in the number of donors. On the investments side, the long-term portfolio produced a return of 28.48 percent, reflecting a strong rebound in global financial markets as the world economy began to open back up. This represents the highest one-year return for the portfolio, and each asset class outperformed its respective benchmark.

These positive results are reflected in the **Foundation's Audited Statement of Financial Position**, which saw a \$154.3 million increase (25 percent) in total net assets year-over-year. Growth in endowment investments (\$147.1 million), and to a lesser extent the Foundation's operating investments (\$5.6 million), accounted for most of this increase, bolstered by the strong investment returns. Partly offsetting these increases was an \$18.6 million reduction in cash and cash equivalents, as distributions from fund managers that had been held in cash at the beginning of the year were redeployed into the investment portfolios. The other noteworthy impact to net assets was a \$13.4 million increase in pledges receivable, largely resulting from the record fundraising results.

A \$6.0 million reduction in bonds and notes payable further enhanced the Foundation's financial position. Almost half of this reduction (\$2.9 million) came from the government's Paycheck Protection Program, allowing the Foundation to maintain operations and bolster its reserves to further support the mission of the University. The remainder (\$3.1 million) resulted from scheduled paydowns on the Foundation's other outstanding debt.

The **Audited Statement of Activities** further reflects the favorable investment and fundraising results for the year. Total revenues increased by \$135.0 million, positively impacted by both net investment returns (up \$115.3 million) and donor contributions (up \$17.4 million). On the expense side, the Foundation was able to achieve its record fundraising results despite a \$515,000 reduction in related fundraising expenses as costs associated with in-person events declined due to the pandemic. These results enabled the Foundation to increase its current-year support of University programs by \$7.6 million while increasing net assets by \$154.3 million.

The Foundation ended the fiscal year with a total endowment of \$602.7 million, including \$571.7 million in the long-term portfolio and the balance primarily in endowed gifts to the University and funds held in trust.



Financial Statements

AUDITED STATEMENT OF FINANCIAL POSITION

As of June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Assets	(DOLLARS IN THOUSANDS)	
Cash and cash equivalents	\$10,129	\$28,726
Pledges receivable, net	35,130	21,708
Investments, operating	112,256	106,608
Investments, endowment	574,615	427,535
Funds held in trust by others	13,044	10,422
Endowments held for the University	19,566	15,187
Cash surrender value of life insurance	585	571
Property and equipment, net	3,923	4,277
Other assets	534	2,458
Total assets	<u>\$769,782</u>	<u>\$617,492</u>
Liabilities and Net Assets		
Liabilities		
Accounts payable and accrued expenses	\$10,073	\$10,539
Trusts and annuities payable	2,164	2,038
Endowments held for the University	19,566	15,187
Lease liability	26	38
Bond and note payable	7,204	13,191
Total liabilities	<u>39,033</u>	<u>40,993</u>
Net Assets		
Without donor restrictions	22,496	12,470
With donor restrictions	708,253	564,029
Total net assets	<u>730,749</u>	<u>576,499</u>
Total liabilities and net assets	<u>\$769,782</u>	<u>\$617,492</u>

AUDITED STATEMENT OF ACTIVITIES

For the Fiscal Years Ended June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>
	(DOLLARS IN THOUSANDS)	
Revenues, Gains, and Other Support		
Contributions	\$55,740	\$38,334
Net total investment return	139,345	24,051
Contractual payments from the University	12,150	12,150
Memberships and other income	<u>3,332</u>	<u>1,050</u>
Total revenues, gains, and other support	<u>210,567</u>	<u>75,585</u>
Expenses		
University program support	33,649	26,049
Foundation operations		
Fundraising expenses	16,009	16,524
Management and general expenses	<u>6,659</u>	<u>6,557</u>
Total Foundation operations	<u>22,668</u>	<u>23,081</u>
Total expenses	<u>56,317</u>	<u>49,130</u>
Total increase in net assets	154,250	26,455
Net assets, beginning of year	<u>576,499</u>	<u>550,044</u>
Net assets, end of year	<u>\$730,749</u>	<u>\$576,499</u>

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The University of Connecticut Foundation, Inc.
2390 Alumni Drive, Unit 3206
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