Response to Big 12 Conference Due Diligence Request
Preface

The conference hereby requests the university provide the information set forth below as soon as possible, but in any event no later than 24 hours before the university’s scheduled Dallas, Texas in-person meetings.

In light of the expedited timetable, it is acceptable to the conference that the university provide its responses in the format that is most manageable for the university and not recreate information that is already available to the university.

Please provide the requested information by uploading it to the Polsinelli PC “legalanywhere” virtual data room dedicated to the university. If you have hesitations or concerns regarding delivering the information by virtual data room, or if you have any additional questions regarding the below requests, please contact Chris Simpson, Polsinelli PC at (816) 360-4349 or csimpson@polsinelli.com.
# Table of Contents

1. University General Information
   a. Academic Programs ......................................................... 4
   b. Student Body ...................................................................... 9
   c. Alumni Base and Giving .................................................. 10
   d. Location ........................................................................... 10

2. University Athletics Program
   a. University Sponsored Intercollegiate Sports .......................... 13
   b. AD and Head Coach History and Compensation Levels ............ 20
   c. APR and Graduation Rate History ...................................... 20
   d. Historical and Projected Athletics Department Budgets .......... 21
   e. Direct Institutional Subsidies to Athletics Department .......... 22
   f. Indirect Institutional Subsidies to Athletics Department .......... 23
   g. Facilities ......................................................................... 23
   h. Investment in Athletic Facilities ......................................... 24
   i. Investment in NCAA/Title IX Compliance ............................ 25
   j. Investment in Student-Athlete Support .................................. 28
   k. Investment in Promotional Marketing and Branding .............. 30
   l. Attendance ...................................................................... 31
   m. Season Ticket Levels and Trends ....................................... 32
   n. Restrictions on Student-Athlete Travel and Events ............... 32

3. University NCAA/Conference Compliance and Regulatory Matters
   a. Regulatory Compliance Matters ......................................... 33

4. University Legal Matters
   a. Litigation, Claims, or Investigations – All Matters .................. 35
   b. Litigation, Claims, or Investigations – Sexual Misconduct/Title IX ...... 37
   c. Structure and Compliance Record of Title IX Program ............... 39
   d. Current Commitments/Restrictions on Ability to Join Conference .... 42
   e. Approvals Required for Execution of Binding Admission Agreement ...... 42
   f. Issues Relating to the University’s Non-Profit Tax Status ............. 43

5. Other Information
   a. Letter from the Hon. Dannel Malloy, Governor of Connecticut ......... 45
   b. Letter from Mike Tranghese, former Big East Commissioner .......... 47
   c. Renderings of Planned UConn Athletics Facilities ...................... 48
   d. UConn Fact Sheet .................................................................. 51
   e. Biographies of Presenting UConn Officials ............................. 53
   f. Big 12 Conference Benchmarking Data .................................... 58
1. **University General Information**

*Current and preceding 5-year vectors as appropriate:*

a. **Academic Programs**

   i. **Undergraduate Degree Programs**

   - College of Agriculture, Health, and Natural Resources
     - Agriculture and Natural Resources
     - Allied Health Sciences
     - Animal Science
     - Applied and Resource Economics
     - Athletic Training
     - Diagnostic Genetic Sciences
     - Dietetics
     - Environmental Sciences
     - Environmental Studies
     - Exercise Science
     - Individualized Major
     - Landscape Architecture
     - Medical Laboratory Sciences
     - Natural Resources
     - Nutritional Sciences
     - Pathobiology
     - Sustainable Plant and Soil Systems

   - School of Engineering
     - Biomedical Engineering
     - Chemical Engineering
     - Civil Engineering
     - Computer Engineering
     - Computer Science
     - Computer Science and Engineering
     - Electrical Engineering
     - Engineering Physics
     - Environmental Engineering
     - Management and Engineering for Manufacturing
     - Materials Science and Engineering
     - Mechanical Engineering

   - School of Fine Arts
     - Acting
     - Art
     - Art History
     - Design and Technical Theatre
     - Digital Media and Design
     - General Program in Music
     - Music
     - Puppetry
     - Theatre Studies

   - School of Business
     - Accounting
     - Business Administration
     - Business Data Analytics
     - Digital Marketing and Analytics
     - Finance
     - Financial Management
     - Health Care Management
     - Management
     - Management and Engineering for Manufacturing
     - Management Information Systems
     - Marketing
     - Real Estate/Urban Economics

   - Continuing Education
     - General Studies

   - College of Liberal Arts and Sciences
     - Africana Studies
     - American Studies
     - Anthropology
     - Applied Mathematical Sciences
     - Biological Sciences
     - Chemistry
     - Chinese
     - Classics and Ancient Mediterranean Studies
     - Cognitive Science
College of Liberal Arts and Sciences (continued)

Communication
Ecology and Evolutionary Biology
Economics
Engineering Physics
English
Environmental Sciences
Environmental Studies
French
Geography
Geoscience
German
History
Human Development and Family Studies
Human Rights
Individualized Major
Italian Literary and Cultural Studies
Journalism
Judaic Studies
Latino and Latin American Studies
Linguistics/Philosophy
Linguistics/Psychology
Marine Sciences
Maritime Studies
Mathematics
Mathematics/Actuarial Science
Mathematics/Actuarial Science/Finance
Mathematics/Physics
Mathematics/Statistics
Molecular and Cell Biology
Philosophy
Physics
Physiology and Neurobiology
Political Science
Psychological Sciences
Sociology
Spanish

Speech, Language and Hearing Sciences
Statistics
Structural Biology and Biophysics
Urban and Community Studies
Women’s, Gender, and Sexuality Studies

Neag School of Education

Agricultural Education
Biology Education
Chemistry Education
Earth Science Education
Elementary Education
English Education
French Language Education
General Science Education
German Language Education
History/Social Studies Education
Mathematics Education
Music Education
Physics Education
Spanish Language Education
Special Education
Sport Management

School of Nursing

Nursing

School of Pharmacy

Doctor of Pharmacy
Pharmacy Studies

Ratcliffe Hicks School of Agriculture

Animal Science
Ornamental Horticulture and Turfgrass Management

ii. Graduate Degree Programs

Accounting – M.S.
Adult Learning – Certificate, M.A.
Agricultural and Resource Economics – M.S., Ph.D.
Animal Science – M.S., Ph.D.
- Physiology of Reproduction
- Anthropology – M.A., Ph.D.
- Social Science and Health Care (Ph.D. only)
Applied Financial Mathematics – M.S.

Applied Genomics – M.S.
Applied Microbial Systems Analysis – M.S.
Art – M.F.A.
Arts Administration – M.F.A., Certificate
Biodiversity and Conservation Biology – M.S.
Biomedical Engineering – M.S., Ph.D.
Biostatistics – M.S.
Business Administration – M.B.A., Ph.D.
• Financial Analysis and Investments
• Business Analytics
• Digital Marketing Strategy
• General Management
Business Administration (part-time M.B.A.)
• Accounting
• Finance
• General
• Health Care Management
• International Business
• Management
• Management of Technology
• Marketing
• Real Estate
Business Analytics and Project Management – M.S.
Chemical Engineering – M.S., Ph.D.
Chemistry – M.S., Ph.D.
Civil Engineering – M.S., Ph.D.
  • Applied Mechanics (Ph.D. only)
  • Environmental Engineering (M.S. only)
  • Fluid Dynamics (Ph.D. only)
  • Geotechnical Engineering
  • Structural Engineering
  • Transportation and Urban Engineering
Clinical and Translational Research – Certificate, M.S.
Communication – M.A., Ph.D.
Computer Science and Engineering – M.S., Ph.D.
Curriculum and Instruction – M.A., Ph.D.
  • Agricultural Education (M.A. only)
  • Bilingual and Bicultural Education
  • Elementary Education
  • English Education
  • Music Education (M.A. only)
  • Mathematics Education
  • Reading Education
  • Science Education
  • Secondary Education
  • Social Studies Education
  • World Language Education
Dental Science – M.Dent.Sc.
Digital Media and Design – Certificate, M.A., M.F.A.
Dramatic Arts – M.A., M.F.A.
  • Acting
  • Design
  • Puppetry
  • Technical Direction
Ecology and Evolutionary Biology – M.S., Ph.D.
Economics – M.A., Ph.D.
Education Administration – M.A.
Educational Psychology – Certificate, M.A., Ph.D.
  • Cognition, Instruction and Learning Technology
  • Counselor Education and Counseling Psychology (Ph.D. only)
  • Gifted and Talented Education
  • Measurement, Evaluation, and Assessment
  • School Counseling (M.A. only)
  • School Psychology
  • Special Education
Electrical Engineering – M.S., Ph.D.
  • Electronics, Photonics, and Biophotonics
  • Information, Communications, Decision, and Biosystems
Engineering – M. Eng.
  • Civil and Environmental Engineering
  • Structural Engineering
  • Water Resources and Environmental Engineering
  • Transportation & Urban Engineering
  • Computer Science and Engineering
  • Electrical and Computer Engineering
  • Materials Science and Engineering
  • Mechanical Engineering
  • Systems and Mechanics
  • Thermal and Fluid Sciences
English – M.A., Ph.D.
  • American Studies (M.A. only)
Environmental Engineering – M.S., Ph.D.
Financial Risk Management – M.S.
Geography – M.A., Ph.D.
Geological Sciences – M.S., Ph.D.
  • Geology
  • Geophysics
Health Care Genetics – M.S.
Health Promotion Sciences – M.S., Ph.D.
Higher Education and Student Affairs – M.A.
History – M.A., Ph.D.
  • American Studies (M.A. only)
Human Development and Family Studies – M.A., Ph.D.
Human Resources Management – M.S., Ph.D.
  • Accounting
• Finance
• Management
• Marketing
• Operations and Information Management
International Studies – M.A.
• European Studies
• Italian History and Culture
• Latino and Latin American Studies
Judaic Studies – M.A.
Kinesiology – M.S., Ph.D.
• Exercise Science
• Sport Management
Linguistics – M.A., Ph.D.
Literatures, Cultures and Languages – M.A., Ph.D.
• French and Francophone Studies
• German Studies
• Italian Cultural and Literary Studies
• Spanish Studies
• Comparative Literacy and Cultural Studies
• Classical, Ancient, and Mediterranean Studies (M.A. only)
Materials Science – M.S., Ph.D.
• Alloy Science
• Biomaterials
• Corrosion Science
• Crystal Science
• Dental Materials Metallurgy
• Polymer Science
Materials Science and Engineering – M.S., Ph.D.
Mathematics – M.S., Ph.D.
• Actuarial Science (M.S. only)
Mechanical Engineering – M.S., Ph.D.
• Applied Mechanics (Ph.D. only)
• Design
• Dynamics and Control
• Energy and Thermal Sciences
• Fluid Dynamics (Ph.D. only)
• Manufacturing
Medieval Studies – M.A., Ph.D.
Molecular and Cell Biology – M.S., Ph.D.
• Cell and Developmental Biology
• Genetics and Genomics
• Microbiology
• Structural Biology, Biochemistry and Biophysics
Music – D.M.A., M.A., M.Mus., Ph.D.
• Conducting (M.Mus. and D.M.A. only)
• Historical Musicology (M.A. only)
• Music Theory and History (Ph.D. only)
• Performance (M.Mus. and D.M.A. only)
• Theory (M.A. only)
Natural Resources: Land, Water, and Air – M.S., Ph.D.
Nursing – Certificate, D.N.P., M.S., Ph.D.
• Adult/Gero Acute Care Nurse Practitioner (M.S. and D.N.P. only)
• Adult/Gero Primary Care Nurse Practitioner (M.S. and D.N.P. only)
• Clinical Nurse Leader (M.S. and D.N.P. only)
• Family Nurse Practitioner (M.S. and D.N.P. only)
• Health Professions Education (Online Certificate only)
• Holistic Nursing (Hybrid Certificate only)
• Neonatal Nurse Practitioner (M.S. and D.N.P. only)
Nutritional Science – M.S., Ph.D.
Oceanography – M.S., Ph.D.
Pathobiology – M.S., Ph.D.
• Bacteriology
• Pathology
• Veterinary Anatomic Pathology
• Virology
Pharmaceutical Sciences – M.S., Ph.D.
• Medicinal and Natural Products Chemistry
• Neurosciences
• Pharmaceutics
• Pharmacology and Toxicology
Philosophy – M.A., Ph.D.
Physics – M.S., Ph.D.
Physiology and Neurobiology – Certificate, M.S., Ph.D.
• Comparative Physiology
• Endocrinology
• Neurobiology
• Neurosciences
• Intraoperative Neuromonitoring (Certificate Only)
Plant Science – M.S., Ph.D.
• Agronomy
• Horticulture
• Landscape Architecture (M.S. only)
• Plant Breeding
• Plant Environment
• Soil Science
  Political Science – M.A., Ph.D.
  • American Studies (M.A. only)
  Polymer Science – M.S., Ph.D.
  Psychology – M.A., Ph.D.
  • Behavioral Neuroscience
  • Clinical
  • Developmental
  • Ecological Psychology
  • Industrial/Organizational
  • Language and Cognition
  • Neurosciences
  • Social
Public Administration – M.P.A.
Public Health – M.P.H., Ph.D.

• Occupational and Environmental Health Sciences
• Social and Behavioral Health Sciences
  Social Work – M.S.W., Ph.D.
  Sociology – M.A., Ph.D.
• Social Science and Health Care (Ph.D. only)
  Speech, Language, and Hearing Sciences – Au.D., M.A., Ph.D.
  Sport Management – M.S.
  Statistics – M.S., Ph.D.
• Industrial Statistics (M.S. only)
Survey Research – M.A

iii. Professional Degree Programs

Adult Learning – Certificate, M.A.
Advanced Business – Certificate
  • Business Analytics
  • Digital Marketing Strategy
  • Health Care Analytics
  • Health Care Finance and Insurance
  • Human Resource Management
  • Information Technology Audit
  • Project Management
Arts Administration – Certificate, M.F.A.
Biomedical Science Research Experience – Certificate
Bridge Program in Accounting – Certificate
Clinical and Translational Research – Certificate, M.S.
Cognitive Science – Certificate
College Instruction – Certificate
Culture, Health, and Human Development – Certificate
Digital Media and Design – Certificate, M.A., M.F.A.
Disability Studies in Public Health – Certificate
Feminist Studies – Certificate
Foundations of Public Health – Certificate
Geographic Information Systems – Certificate
Gifted Education and Talent Development – Certificate
Global Risk Management – Certificate
Health Education and Health Promotion – Certificate
Health Professions Education – Certificate
Health Promotion/Health Education – Certificate
Health Psychology – Certificate
Holistic Nursing – Certificate
Human Rights – Certificate
Interdisciplinary Disability Studies – Certificate
Intraoperative Neuromonitoring – Certificate
Leadership and Diversity in Sport Management – Certificate
Leadership and Public Management – Certificate
Literacy Supports – Certificate
Music Performance – Certificate
Nonprofit Management – Certificate
Nursing Practice – Certificate
Occupational Safety and Health – Certificate
Pain Management – Certificate
Positive Behavior Support – Certificate
Postsecondary Disability Services – Certificate
Pre-Medicine/Dental – Certificate
Program Evaluation – Certificate
Public Financial Management – Certificate
Puppet Arts – Certificate
Quantitative Research Methods – Certificate
School Law – Certificate
Sixth-Year Programs in Education – Certificate
- Adult Learning
- Bi-lingual and Bi-cultural Education
- Cognition, Instruction and Learning Technology
- Counseling
- Gifted and Talented Education
- Measurement, Evaluation, and Assessment
- Elementary Education
- Educational Technology
- English Education
- Foreign Education
- History & Social Studies Education
- Mathematics Education
- Reading Education
- Science Education
- Secondary Education
- School Psychology
- Special Education
Survey Research – Certificate
Sustainable Environmental Planning and Management – Certificate
Systems Engineering – Certificate
- Controlled Systems
- Embedded Systems
- Systems Design

b. **Student Body**

i. **Size and percentage (resident/commuting)**

UConn enrolls a total of 31,060 undergraduate, graduate, and first-professional students. This includes in-state and out-of-state resident students, as well as international students. At the university’s main campus in Storrs, 66 percent of undergraduate students live in university-owned, operated or affiliated housing.

ii. **Makeup (graduate/undergraduate, male/female, US/international)**

<table>
<thead>
<tr>
<th>Gender</th>
<th>Fall 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enrollment Level</td>
<td>Male</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>11,696</td>
</tr>
<tr>
<td>Graduate</td>
<td>3,376</td>
</tr>
<tr>
<td>First-Professional</td>
<td>344</td>
</tr>
<tr>
<td>Total / Average</td>
<td>15,416</td>
</tr>
</tbody>
</table>

iii. **Diversity statistics**

<table>
<thead>
<tr>
<th>Diversity (Minority)</th>
<th>Fall 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enrollment Level</td>
<td>Non-Min</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>15,980</td>
</tr>
<tr>
<td>Graduate</td>
<td>6,018</td>
</tr>
<tr>
<td>First-Professional</td>
<td>835</td>
</tr>
<tr>
<td>Total / Average</td>
<td>22,833</td>
</tr>
</tbody>
</table>
Note: Fall 2016 numbers for the preceding statistics will not be available until after the 10th day of the 2016 fall semester, which is the university’s census data for data reporting. Minority numbers include students identified as African-American, American Indiana/Alaskan Native, Asian, Hispanic/Latino, Native Hawaiian or Other Pacific Islander, and Two or More Races. Non-minority numbers include students identified as White and International Students.

c. Alumni Base and Giving

i. Size and geographic distribution of alumni base

UConn has a total of 247,074 living alumni distributed among all 50 states and the District of Columbia, and around the world. More than two-thirds of the university’s alumni base reside in New England and the New York metropolitan area. Graduates are active in 27 alumni chapters, included among them three vibrant Texas-based alumni networks Dallas-Fort Worth, Austin, and Houston.

ii. Amount and percentage of alumni giving

Last year, 16,164 UConn alumni (12 percent of contactable undergraduate alumni who can be solicited) made cash gifts to the university totaling $19,483,586.00, Forty (40) percent of living alumni have made a gift to UConn at some point in their lives.

iii. Percentage membership in alumni association

One hundred (100) percent of UConn graduates are members of the university’s alumni association. The university does not charge dues for membership in its alumni community, opting for an all-inclusive model for alumni engagement and outreach. In 2015-2016, the university hosted 855 unique alumni events that involved nearly 22,000 registrants.

d. Location

i. Population base (university town and 100-mile radius around university)

UConn has multiple campuses throughout Connecticut, with its main campus located in Storrs. Locations in Avery Point, Hartford, Stamford, and Waterbury largely are undergraduate campuses offering some graduate programs. Farmington is home to the university’s medical and dental schools, hospital, outpatient clinic, and medical research centers. The university also operates its law school on its own campus in Hartford.

Using the main campus in Storrs as a geographic base, the university is located: 28 miles from Hartford, CT (population 1,211,324); 50 miles from Providence, RI (population 1,613,070); 85 miles from Boston, MA (population 4,774,321). In addition, the campus is located 140 miles from New York, NY (population 20,182,305). All population data is from the United States Census Bureau, 2015 Statistical Metropolitan Areas.

ii. Evidence of penetration/affinity base in nearby top media markets

Top television markets and major sports networks based in New England and New York bring UConn Athletics to the 162,690 alumni living in the Northeast and 12.6 million total television households that fall within the university’s geographic footprint. Some 79 percent of those households pay for cable television.
New York City, the nation’s No. 1 media market that overlaps a considerable portion of Connecticut, is a home away from home for UConn teams, with nearly 30,000 alumni living in the metropolitan area providing the core for a strong fan base in the city. In recent years, our football team took on Army at Yankee Stadium and our men’s ice hockey team played at Brooklyn's Barclays Center.

Other than its home courts, there is no venue where UConn basketball has played more games than at Madison Square Garden (MSG) in Manhattan. The Huskies have won 10 championships at MSG, including the historic 1988 NIT Championship and several thrilling Big East Tournament victories. In 2014, UConn’s presence in the NCAA Tournament Sweet 16 round, held at MSG, drove ticket prices through the roof, as an estimated 12,000 UConn fans packed the building for the games. Bloomberg report Mason Levinson wrote of that weekend on March 25, 2014, "The rarity of the offering and size of the teams’ fan bases — particularly UConn’s — have created the most expensive resale prices since ticketmarket aggregators SeatGeek and TiqIQ began tracking data."

In addition, a one-of-a-kind contract with SportsNet New York (SNY) further demonstrates UConn Athletics’ strength in a market boasting 7.4 million television homes. This relationship dates back to 2010. "A lot of people don’t understand what makes New York tick. The two schools with the biggest impact in the New York market have been Syracuse and Connecticut," former Big East Commissioner Mike Tranghese said in a March 2013 story in The New York Times.

UConn’s main campus in Storrs is located within 90 minutes of the nation’s No. 8 television market, Boston, with its 2.4 million television homes and more than 13,000 UConn alumni in the metropolitan area. The university has a relationship with the Boston Red Sox, and its hockey team will participate in the Frozen Fenway series at Fenway Park this winter.

The university’s primary media center, Hartford-New Haven, ranks as America’s No. 30 market with 1 million television homes and more than 93,000 alumni. UConn sports like football, men's and women’s basketball, and ice hockey are fixtures in athletic facilities located in the state capital, notably Pratt and Whitney Stadium at Rentschler Field and the XL Center.

Of the state’s 3.6 million residents, 2.7 million live in this market. According to 2014 census date, these individuals have a median age of 40.6 years, and 16.8 percent of these residents fall into the $100,000 to $149,999 income bracket (17.3 percent earn $50,000 to $74,999). More than 35 percent of Connecticut’s population aged 25 or older holds a bachelor’s degrees or higher – the third-highest rate of any state in the nation.

Connecticut has no professional sports teams in the National Football League, Major League Baseball, the National Basketball Association, or the National Hockey League, making the Huskies the only game in town and the state’s primary sports focus.

### iii. Average distance from current Big 12 institutions

UConn is located an average of 1,522 miles from all Big 12 institutions. The average charter flight time between UConn and current Big 12 universities is two hours and 45 minutes.
iv. Commercial air access and service/airport runway capacity of closest/most accessible airport

Bradley International Airport in Windsor Locks, CT is located 14 miles from Hartford, CT and 17 miles from Pratt and Whitney Stadium at Rentschler Field, the home of UConn football. A full-service international airport servicing all major carriers, Bradley has no restrictions on the size of aircraft it can accommodate.
2. University Athletics Program

Current and preceding 5-year vectors as appropriate:


i. History of sports programs and winning percentage (last 5 years).

Football

- UConn won three of its final four games in the 2015 regular season, including a win over the No. 13-ranked team in the country (Houston). UConn played in the St. Petersburg Bowl and finished the 2015 season ranked 33rd in the country in total defense, 15th in scoring defense, and seventh in red zone defense;
- UConn’s Byron Jones was the first round pick of the Dallas Cowboys in the 2015 NFL Draft;
- UConn had 19 former players on NFL active rosters in 2015 (a school high), and former Husky Robert McClain was a starting defensive back for the Carolina Panthers during the team's playoff run to Super Bowl 50 in 2015-16;
- 22 former UConn players were in NFL preseason training camps in 2016;
- UConn has played in six bowl games since moving to the Football Bowl Subdivision for the 2003 season – including playing in bowl games in four straight years from 2007 to 2010;
- It took UConn just five seasons and 10 weeks to go from NCAA Division I-AA status (2002) to being ranked in the Division I-A AP poll (October 28, 2007). At the time, that was the second-fastest time a school achieved an AP ranking after transitioning to I-A.

<table>
<thead>
<tr>
<th>Year</th>
<th>Record</th>
<th>Win %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>5-7</td>
<td>.417</td>
</tr>
<tr>
<td>2012</td>
<td>5-7</td>
<td>.417</td>
</tr>
<tr>
<td>2013</td>
<td>3-9</td>
<td>.250</td>
</tr>
<tr>
<td>2014</td>
<td>2-10</td>
<td>.167</td>
</tr>
<tr>
<td>2015</td>
<td>6-7</td>
<td>.462</td>
</tr>
<tr>
<td>Total</td>
<td>21-40</td>
<td>.344</td>
</tr>
</tbody>
</table>

Men’s Basketball

- UConn is the winner of four NCAA national championships (1999, 2004, 2011, 2014), which is the most of any school since 1999;
- The Huskies appeared in the Final Four five times and in the Elite Eight 11 times, including 10 times since 1990;
- UConn won the Big East Conference tournament title a record seven times, and have won a total of eight conference tournament crowns after capturing the 2016 American Athletic Conference championship;
- UConn men’s basketball has won its conference regular-season championship 34 times, including 10 times since 1990;
- 42 former men’s basketball student-athletes have been selected in the NBA Draft, including 19 first round picks and 13 lottery picks.
- UConn boasts a Final Four record of 8-1, which marks the best winning percentage (.889) in NCAA history.
• The UConn men’s and women’s basketball programs have combined to win a record 15 national championships and sport a spotless 15-0 record in NCAA national championship games.
• The UConn men’s and women’s basketball programs have combined for a 30-6 all-time record in NCAA Final Four games.

2011-2012: 20-14 (.588)
2012-2013: 20-10 (.667)
2013-2014: 32-8 (.800)
2015-2016: 25-11 (.694)
Total: 117-58 (.669)

Women’s Basketball

• The Huskies have posted six undefeated national championship seasons (1995, 2002, 2009, 2010, 2014, 2016) and own of a 90-game winning streak from 2009 to 2011, which is the longest in NCAA history;
• UConn enters the 2016-2017 season on a 75-game winning streak;
• The program has won 43 conference championships (regular season and tournament) since 1989 and has made an appearance in 17 NCAA Final Fours, including nine straight;
• 19 UConn women’s basketball players have earned a total of 40 first-team All-America honors since 1991;
• Nine former student-athletes have won a total of 19 Olympic gold medals, including Sue Bird and Diana Taurasi who each have won four Olympic gold medals;
• Head coach Geno Auriemma, a 2006 Naismith Memorial Hall of Fame inductee, sports a 22-5 record in NCAA Final Four games (national semifinal and national championship games) and has surpassed Pat Summitt’s previous record of 21 wins. His record in national championship games alone is 11-0;
• 32 former Huskies have been selected in the WNBA Draft, and 19 have been first-round picks. In 2016, Breanna Stewart, Moriah Jefferson, and Morgan Tuck became the first trio of teammates to be selected with the first three picks in the WNBA Draft, with Stewart becoming the fifth Husky all-time to be selected with the first overall pick.

2011-2012: 33-5 (.668)
2012-2013: 35-4 (.897)
2013-2014: 40-0 (1.000)
2014-2015: 38-1 (.974)
2015-2016: 38-0 (1.000)
Total: 184-10 (.949)

Baseball

• The UConn baseball team has earned a spot in the NCAA championship tournament in four of the past seven seasons, including a trip to the 2011 Super Regionals after winning the Clemson Regional;
• Five former Huskies were on Major League Baseball rosters in 2015, a program-high, including George Springer, who led the Astros to the American League Championship Series;
• A total of 88 former Huskies have been drafted, including 42 under current head coach Jim Penders (four in 2016 alone);
• UConn has won 30 or more games in 10 of the past 13 years;
• UConn has played in the College World Series a total of five times;
• Jim Penders has been named a conference coach of the year three times in his career.

2012: 31-27-1 (.534)
2013: 35-28 (.556)
2014: 27-31 (.466)
2015: 35-25 (.583)
2016: 38-25 (.576)
Total: 166-136-1 (.550)

Men’s Soccer

• UConn is the winner of three national championships (1948, 1981, 2000) and 20 conference championships, including the 2014 American Athletic Conference regular season title;
• UConn is the only school in history to have back-to-back No. 1 picks in the Major League Soccer Draft (Andre Blake in 2014 and Cyle Larin in 2015);
• The program has produced an All-American 50 times, and a Husky has been selected to the first team 17 times;
• Four Huskies have been selected as the national player of the year, including O’Brien White in 2007;
• Head coach Ray Reid has the second-highest winning percentage (416-109-70, .758) of any active NCAA coach;
• UConn has qualified for the NCAA Tournament in 16 of the last 17 years;
• 34 Huskies have been selected in the MLS Draft, and 47 Huskies have earned All-Conference first-team honors in the last 19 seasons.

2011: 19-3-3 (.820)
2012: 17-4-1 (.796)
2013: 12-3-8 (.696)
2014: 10-6-3 (.605)
2015: 10-6-6 (.591)
Total: 68-22-21 (.707)

Women’s Soccer

• UConn has qualified for the NCAA Tournament 30 times and have advanced to the NCAA national championship game four times (1984, 1990, 1997, 2003);
• UConn is the winner of 12 conference championships, including the 2015 American Athletic Conference regular-season crown;
• The program boasts 30 All-America selections, including Stephanie Ribeiro and Rachel Hill in 2015;
• Head coach Len Tsantiris is second in NCAA history in wins with 547, and he sports an overall record of 547-190-55 in his 36th season.
2011:  7-8-2 (.471)
2012:  9-8-2 (.526)
2013:  11-9-0 (.550)
2014:  14-5-5 (.688)
2015:  19-4-0 (.826)
Total: 59-34-9 (.655)

Field Hockey

- UConn is the winner of four national championships since 1981, including back-to-back years in 2013 and 2014;
- UConn has qualified for the NCAA Tournament 27 times and has reached the NCAA semifinal on 13 occasions. Since joining the Big East in 1989, the Huskies have won 30 conference championships (15 regular season and 15 tournament crowns);
- 26 former student-athletes have been selected as first-team All-Americans, and three former Husky greats, Tracy Fuchs, Diane Madl and Melissa Gonzalez, have earned a spot on the United States Olympic Team;
- A 2007 Inductee into the National Field Hockey Coaches Association Hall of Fame, Nancy Stevens is the winningest coach in NCAA field hockey history with an all-time record of 617-179-24 (.767).

2011:  19-3 (.864)
2012:  19-3 (.864)
2013:  21-4 (.840)
2014:  20-2 (.910)
2015:  22-1 (.966)
Total: 101-13 (.886)

Men’s Ice Hockey

- UConn led Hockey East in attendance during the 2014-2015 (5,396) season, its first season in the nation’s most competitive conference, and drew the second-highest attendance in 2015-2016 (5,129);
- A program-high six players on the 2016-2017 roster are National Hockey League draft picks, including Tage Thompson who was selected in the first round of the NHL Draft by the St. Louis Blues;
- Sophomore forward Maxim Letunov was UConn’s first all-Hockey East selection and was honored as the National Player of the Month in October of 2015;
- Since head coach Mike Cavanaugh has taken over the program, the Huskies have defeated nine ranked teams, including No. 3 Boston College in November 2014.

2011-2012:  16-19-4 (.462)
2012-2013:  19-14-4 (.568)
2013-2014:  18-14-4 (.556)
2014-2015:  10-19-7 (.375)
2015-2016:  11-21-4 (.361)
Total: 74-87-23 (.465)

Women’s Ice Hockey

- UConn has made 10 Hockey East tournament appearances, including the last four consecutive years, and reached two tournament finals (2005, 2010);
bullet UConn had its first All-American in 2015-2016 after goaltender Elaine Chuli earned the national honor;
bullet In the past two seasons, the UConn women’s ice hockey program has produced eight professional contracts, both domestic and overseas.

<table>
<thead>
<tr>
<th>Season</th>
<th>Win-Loss</th>
<th>Win %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011-2012</td>
<td>4-23-7</td>
<td>.191</td>
</tr>
<tr>
<td>2012-2013</td>
<td>3-29-3</td>
<td>.129</td>
</tr>
<tr>
<td>2013-2014</td>
<td>9-24-2</td>
<td>.286</td>
</tr>
<tr>
<td>2014-2015</td>
<td>11-18-8</td>
<td>.405</td>
</tr>
<tr>
<td>2015-2016</td>
<td>17-15-5</td>
<td>.527</td>
</tr>
<tr>
<td>Total</td>
<td>44-109-25</td>
<td>.317</td>
</tr>
</tbody>
</table>

**Softball**

bullet UConn has won eight league championships in softball and produced seven All-Americans. UConn played in the College World Series in 1993 and was a perennial NCAA tournament team during that time;
bullet The Huskies won four-straight league championships from 1990 to 1993 and had a total record of 156-51-1 during that time period;
bullet 27 UConn players have been named to the all-region First Team and 30 have been selected to the All-America Scholar-Athlete Team.

<table>
<thead>
<tr>
<th>Year</th>
<th>Win-Loss</th>
<th>Win %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>21-27</td>
<td>.438</td>
</tr>
<tr>
<td>2013</td>
<td>26-27</td>
<td>.491</td>
</tr>
<tr>
<td>2014</td>
<td>13-38</td>
<td>.255</td>
</tr>
<tr>
<td>2015</td>
<td>18-35</td>
<td>.340</td>
</tr>
<tr>
<td>2016</td>
<td>19-33</td>
<td>.365</td>
</tr>
<tr>
<td>Total</td>
<td>97-160</td>
<td>.377</td>
</tr>
</tbody>
</table>

**Men’s Golf**

bullet UConn head coach Dave Pezzino is in his 10th season in charge of the UConn program and has produced four all-conference picks, nine all-Northeast region selections, eight all-New England picks, and a New England All-Rookie team selection.
bullet In 2015-2016, UConn was voted the New England Division I Team of the Year, and Pezzino was named the New England Division I Coach of the Year;
bullet UConn had top five finishes in seven of the 11 tournaments they played in during 2015-2016, including wins in the Hartford Hawks Invitational and the Til Duty Is Done Collegiate Invitational, hosted by the Huskies;
bullet UConn players have enjoyed success on the amateur level both in state and USGA events. Recent examples of that success include UConn players winning the Connecticut State Amateur and Palmer Cup championships, and qualifying for the U.S. Amateur Championship in three of the last four years.

**Women’s Lacrosse**

bullet UConn has produced six All-Americans, four of which came under current head coach Katie Woods;
bullet UConn has had 27 all-region honorees, including five in 2016;
bullet UConn earned its first bid to the NCAA Tournament in 2013, and played in the Big East Championship game in 2015.
2012: 10-6 (.625)
2013: 13-5 (.722)
2014: 10-7 (.588)
2015: 11-7 (.611)
2016: 12-5 (.706)
Total: 56-30 (.651)

Rowing

- The UConn rowing program won the Setiz Trophy at the 2005 Dad Vail Championships in Philadelphia as the team points champion;
- The Huskies compete annually at such prestigious events as the Head of the Charles (Boston) and the Head of the Schuykill (Philadelphia).

Men's Swimming and Diving

- UConn has sent many student-athletes to international championship competition in such native lands of Bulgaria, Israel, and Ireland, and have won multiple championships in those type of events.

Women's Swimming and Diving

- UConn has sent an individual qualifier to the NCAA Championship in six of the past nine years.

Men's Tennis

- UConn has won New England and ECAC team championships during the history of its program, and has won as many as 20 dual matches in a single-season;
- The team is a three-time recipient of the NCAA Public Recognition Awards for outstanding APR.

2011-2012: 6-11 (.353)
2012-2013: 4-11 (.267)
2013-2014: 8-12 (.400)
2014-2015: 2-18 (.100)
2015-2016: 6-19 (.240)
Total: 26-71 (.268)

Women's Tennis

- In 2015, UConn sent a program-record six players to the ITA Regional Championship, and had the first player in program history earn a seed in the event’s main singles draw;
- The team is an eight-time recipient of the NCAA Public Recognition Award for outstanding APR.

2011-2012: 10-11 (.476)
2012-2013: 8-12 (.400)
2013-2014: 8-12 (.400)
2014-2015: 15-9 (.625)
2015-2016: 10-10 (.500)
Total: 51-54 (.486)
Men’s Track and Field/Cross Country

• UConn has won 15 team conference championships since 1980 as a member of two highly-competitive track and field conferences;
• 36 different Huskies have won All-American honors in track and field/cross country, including 17 since 2000.

Women’s Track and Field/Cross Country

• UConn has produced 27 All-Americans during its program history, while 13 have gone on to Olympic trials;
• The Huskies finished eighth at the 2012 NCAA cross country championships;
• UConn has won three conference indoor championships, the most recent being the 2016 American Athletic Conference event.

Women’s Volleyball

• UConn has produced 14 all-conference first team members and 21 all-conference second team members. In 1994, the Huskies were Big East tri-champions, and in 1998 they were Big East regular season co-champions.

<table>
<thead>
<tr>
<th>Year</th>
<th>Record</th>
<th>Winning Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>14-15</td>
<td>.483</td>
</tr>
<tr>
<td>2012</td>
<td>19-12</td>
<td>.613</td>
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<tr>
<td>2013</td>
<td>14-19</td>
<td>.424</td>
</tr>
<tr>
<td>2014</td>
<td>12-19</td>
<td>.387</td>
</tr>
<tr>
<td>2015</td>
<td>16-15</td>
<td>.516</td>
</tr>
<tr>
<td>Total</td>
<td>75-80</td>
<td>.484</td>
</tr>
</tbody>
</table>

ii. Plans for any sports programs that are not currently sponsored by the conference.

UConn would pursue membership in the Big East Conference for men’s soccer, where its field hockey and women’s lacrosse teams currently compete.

iii. Willingness to consider a football-only membership and competitive plans for other sports programs in that scenario.

UConn would accept football-only membership, and subsequently would pursue membership in the Big East Conference for other sponsored sports currently competing in the American Athletic Conference (AAC).
b. AD and head coach history and compensation levels in football, men’s basketball, women’s basketball, and baseball (last 10 years).

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Athletic Director</th>
<th>Salary</th>
<th>Head Coach - Baseball</th>
<th>Salary</th>
<th>Head Coach - Football</th>
<th>Salary</th>
<th>Head Coach - MBB</th>
<th>Salary</th>
<th>Head Coach - WBB</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>2007</td>
<td>Jeff Hathaway</td>
<td>$427,800.00</td>
<td>Jim Penders</td>
<td>$76,882.54</td>
<td>Randy Edsall</td>
<td>$833,000.00</td>
<td>Jim Calhoun</td>
<td>$1,488,000.00</td>
<td>Geno Auriemma</td>
<td>$963,000.00</td>
</tr>
<tr>
<td>2008</td>
<td>Jeff Hathaway</td>
<td>$461,825.06</td>
<td>Jim Penders</td>
<td>$82,045.06</td>
<td>Randy Edsall</td>
<td>$883,000.00</td>
<td>Jim Calhoun</td>
<td>$1,463,000.00</td>
<td>Geno Auriemma</td>
<td>$1,013,000.00</td>
</tr>
<tr>
<td>2009</td>
<td>Jeff Hathaway</td>
<td>$461,979.68</td>
<td>Jim Penders</td>
<td>$85,654.68</td>
<td>Randy Edsall</td>
<td>$1,361,153.85</td>
<td>Jim Calhoun</td>
<td>$1,611,153.85</td>
<td>Geno Auriemma</td>
<td>$1,411,153.85</td>
</tr>
<tr>
<td>2010</td>
<td>Jeff Hathaway</td>
<td>$517,049.18</td>
<td>Jim Penders</td>
<td>$91,224.81</td>
<td>Randy Edsall</td>
<td>$1,365,153.85</td>
<td>Jim Calhoun</td>
<td>$1,515,000.00</td>
<td>Geno Auriemma</td>
<td>$1,415,000.00</td>
</tr>
<tr>
<td>2011</td>
<td>Warde Manuel</td>
<td>$517,049.18</td>
<td>Jim Penders</td>
<td>$91,224.81</td>
<td>Paul Pasqualoni</td>
<td>$1,561,153.85</td>
<td>Jim Calhoun</td>
<td>$2,311,153.85</td>
<td>Geno Auriemma</td>
<td>$1,611,153.85</td>
</tr>
<tr>
<td>2012</td>
<td>Warde Manuel</td>
<td>$519,593.10</td>
<td>Jim Penders</td>
<td>$99,102.42</td>
<td>Paul Pasqualoni</td>
<td>$1,573,653.85</td>
<td>Kevin Ollie</td>
<td>$2,711,153.85</td>
<td>Geno Auriemma</td>
<td>$1,711,153.85</td>
</tr>
<tr>
<td>2013</td>
<td>Warde Manuel</td>
<td>$284,869.00</td>
<td>Jim Penders</td>
<td>$140,000.00</td>
<td>Paul Pasqualoni</td>
<td>$1,673,653.85</td>
<td>Kevin Ollie</td>
<td>$2,861,153.85</td>
<td>Geno Auriemma</td>
<td>$1,811,153.85</td>
</tr>
<tr>
<td>2014</td>
<td>Warde Manuel</td>
<td>$476,423.08</td>
<td>Jim Penders</td>
<td>$143,553.06</td>
<td>Bob Diaco</td>
<td>$1,561,153.85</td>
<td>Kevin Ollie</td>
<td>$2,865,000.00</td>
<td>Geno Auriemma</td>
<td>$1,962,692.31</td>
</tr>
<tr>
<td>2015</td>
<td>W. Manuel/D Benedict</td>
<td>$527,500.00</td>
<td>Jim Penders</td>
<td>$159,520.00</td>
<td>Bob Diaco</td>
<td>$1,540,000.00</td>
<td>Kevin Ollie</td>
<td>$2,865,000.00</td>
<td>Geno Auriemma</td>
<td>$2,075,000.00</td>
</tr>
<tr>
<td>2016</td>
<td>David Benedict</td>
<td>$450,000.00</td>
<td>Jim Penders</td>
<td>$167,592.00</td>
<td>Bob Diaco</td>
<td>$1,540,000.00</td>
<td>Kevin Ollie</td>
<td>$3,003,461.54</td>
<td>Geno Auriemma</td>
<td>$2,227,307.69</td>
</tr>
</tbody>
</table>

*excludes fringe benefits and deferred compensation

c. APR and graduation rate history and trends (last 5 years).

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Men's Sports</td>
<td>687</td>
<td>85</td>
<td>68</td>
<td>973</td>
<td>82</td>
</tr>
<tr>
<td>Women's Sports</td>
<td>677</td>
<td>85</td>
<td>68</td>
<td>973</td>
<td>82</td>
</tr>
<tr>
<td>Baseball</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Men's Basketball</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Cross Country</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Football</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
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<tr>
<td>Ice Hockey</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Soccer</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Swimming</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
<tr>
<td>Tennis</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
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<tr>
<td>Track</td>
<td>1000</td>
<td>988</td>
<td>979</td>
<td>968</td>
<td>957</td>
</tr>
</tbody>
</table>

| Women's Sports    | 1000    | 988     | 979     | 968     | 957     |
|                   | 1000    | 988     | 979     | 968     | 957     |
| Cross Country     | 1000    | 988     | 979     | 968     | 957     |
| Field Hockey      | 1000    | 988     | 979     | 968     | 957     |
| Ice Hockey        | 1000    | 988     | 979     | 968     | 957     |
| Lacrosse          | 1000    | 988     | 979     | 968     | 957     |
| Rowing            | 1000    | 988     | 979     | 968     | 957     |
| Softball          | 1000    | 988     | 979     | 968     | 957     |
| Swimming          | 1000    | 988     | 979     | 968     | 957     |
| Tennis            | 1000    | 988     | 979     | 968     | 957     |
| Track             | 1000    | 988     | 979     | 968     | 957     |
| Volleyball        | 1000    | 988     | 979     | 968     | 957     |

20
d. Athletics department budgets; debt levels, debt service obligations, and repayment timing and amounts (last 5 years and projected).

The Athletics Department incurred debt related to the construction of Harry A. Gampel Pavilion. The final debt payment of $89,422 will be made in FY2017. There is no other direct debt obligation for the department. The UConn Foundation borrowed money to construct the Werth Family Basketball Champions Center practice facility. The debt service of those bonds will be funded by donations to UConn Athletics through the UConn Foundation.

<table>
<thead>
<tr>
<th>Revenue</th>
<th>FY2012</th>
<th>FY2013</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2016</th>
<th>Budget FY2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Support - Scholarship/general support</td>
<td>$3,866,291.00</td>
<td>$3,912,302.00</td>
<td>$3,967,462.00</td>
<td>$4,028,415.00</td>
<td>$4,095,825.00</td>
<td>$4,323,962.00</td>
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<tr>
<td>GUF Fees</td>
<td>$8,181,874.00</td>
<td>$9,640,217.00</td>
<td>$9,929,474.00</td>
<td>$10,202,710.00</td>
<td>$8,280,611.00</td>
<td>$7,880,611.00</td>
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<tr>
<td>GUF Funding from Recreation</td>
<td>$415,911.11</td>
<td>$441,783.00</td>
<td>$438,379.00</td>
<td>$434,547.00</td>
<td>$467,306.00</td>
<td>$460,495.00</td>
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<tr>
<td>CPIA Funding from Central</td>
<td>$10,926,927.93</td>
<td>$7,415,782.00</td>
<td>$6,352,478.00</td>
<td>$6,831,393.00</td>
<td>$6,301,990.00</td>
<td>$7,000,000.00</td>
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<tr>
<td>Additional University Support</td>
<td>$10,112,582.38</td>
<td>$13,870,373.00</td>
<td>$12,269,366.00</td>
<td>$11,879,612.00</td>
<td>$11,393,795.00</td>
<td>$8,053,844.00</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
<td>$1,113,822.45</td>
<td>$9,345,164.00</td>
<td>$10,762,348.00</td>
<td>$10,063,869.00</td>
<td>$10,477,500.00</td>
<td>$10,477,500.00</td>
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<tr>
<td>Foundation</td>
<td>$34,904,188.61</td>
<td>$36,601,411.00</td>
<td>$37,178,902.00</td>
<td>$36,785,667.00</td>
<td>$36,900,477.00</td>
<td>$33,478,759.00</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$63,521,327.72</td>
<td>$63,213,548.00</td>
<td>$71,241,561.11</td>
<td>$72,188,740.00</td>
<td>$78,887,063.00</td>
<td>$80,128,274.00</td>
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</table>

<table>
<thead>
<tr>
<th>Expenses</th>
<th>FY2012</th>
<th>FY2013</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2016</th>
<th>Budget FY2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel Services:</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional</td>
<td>$12,388,804.79</td>
<td>$12,908,519.00</td>
<td>$14,539,269.00</td>
<td>$15,507,234.00</td>
<td>$15,590,204.00</td>
<td>$15,935,031.00</td>
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<td>Classified</td>
<td>$318,895.30</td>
<td>$300,886.00</td>
<td>$318,991.00</td>
<td>$264,555.00</td>
<td>$193,408.00</td>
<td>$187,004.00</td>
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<tr>
<td>Special Payroll</td>
<td>$7,240,431.74</td>
<td>$7,676,362.00</td>
<td>$7,879,087.00</td>
<td>$7,373,397.00</td>
<td>$8,109,233.00</td>
<td>$8,233,562.00</td>
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<td>Students</td>
<td>$1,188,843.44</td>
<td>$1,307,020.00</td>
<td>$1,284,286.00</td>
<td>$1,303,305.00</td>
<td>$1,218,494.00</td>
<td>$1,016,170.00</td>
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<tr>
<td>Grads</td>
<td>$3,039,977.84</td>
<td>$3,499,211.00</td>
<td>$3,745,100.00</td>
<td>$3,869,288.00</td>
<td>$3,815,953.00</td>
<td>$2,968,951.00</td>
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<tr>
<td>All Other (incl. OT, Longevity, Payouts, Holiday)</td>
<td>$142,302.30</td>
<td>$137,893.00</td>
<td>$133,018.00</td>
<td>$178,919.00</td>
<td>$241,573.00</td>
<td>$200,000.00</td>
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<tr>
<td>Total Personnel Services</td>
<td>$21,582,975.41</td>
<td>$22,680,601.00</td>
<td>$24,529,161.00</td>
<td>$25,014,338.00</td>
<td>$25,244,865.00</td>
<td>$25,837,728.00</td>
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<tr>
<td>Fringe Benefits</td>
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<td>$5,300,307.00</td>
<td>$6,759,092.00</td>
<td>$7,381,553.00</td>
<td>$7,518,800.00</td>
<td>$8,268,072.96</td>
</tr>
<tr>
<td>Other Expenses (Contractuals, Commodities, &amp; Other:)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities - Maintenance/Cleaning Agreement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Energy</td>
<td>$41,070</td>
<td>$46,063</td>
<td>$52,831</td>
<td>$38,966</td>
<td>$21,729</td>
<td>$11,700</td>
</tr>
<tr>
<td>Equipment</td>
<td>$54,9,545</td>
<td>$235,361</td>
<td>$493,073</td>
<td>$422,665</td>
<td>$470,724</td>
<td>$380,345</td>
</tr>
<tr>
<td>Student Aid (Work Study and Scholarships; incl books)</td>
<td>$11,200,872</td>
<td>$10,991,434</td>
<td>$12,512,178</td>
<td>$13,065,004</td>
<td>$16,192,393</td>
<td>$16,033,218</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$61,685,796</td>
<td>$61,690,049</td>
<td>$69,480,402</td>
<td>$72,057,070</td>
<td>$77,616,083</td>
<td>$79,661,759</td>
</tr>
</tbody>
</table>

| Total Expenses/Transfers                                               | $63,854,668    | $63,250,432    | $71,149,046    | $72,074,222    | $78,847,010    | $80,128,274    |
| Net Gain (Loss)                                                        | ($333,340)     | ($36,884)      | $92,515        | $114,518       | $40,053        | $0            |
e. **Amount and type of direct institutional subsidies received by the Athletics Department, including but not limited to cash payments, student fees, subsidized tickets, etc.**

<table>
<thead>
<tr>
<th></th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>Budget 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scholarship &amp; General Support</td>
<td>$3,867,000.00</td>
<td>$3,912,000.00</td>
<td>$3,967,000.00</td>
<td>$4,028,000.00</td>
<td>$4,237,000.00</td>
<td>$4,324,000.00</td>
</tr>
<tr>
<td>Student Fees</td>
<td>$9,182,000.00</td>
<td>$9,640,000.00</td>
<td>$9,929,000.00</td>
<td>$10,203,000.00</td>
<td>$8,281,000.00</td>
<td>$8,281,000.00</td>
</tr>
<tr>
<td>CPIA Funding</td>
<td>-</td>
<td>$1,177,000.00</td>
<td>$1,187,000.00</td>
<td>$1,184,000.00</td>
<td>$1,184,000.00</td>
<td>$1,184,000.00</td>
</tr>
<tr>
<td>University Athletic Subsidy</td>
<td>$4,490,000.00</td>
<td>$4,019,000.00</td>
<td>$12,019,000.00</td>
<td>$12,528,000.00</td>
<td>$21,542,000.00</td>
<td>$25,400,000.00</td>
</tr>
<tr>
<td><strong>Total Subsidy</strong></td>
<td><strong>$17,539,000.00</strong></td>
<td><strong>$18,748,000.00</strong></td>
<td><strong>$27,102,000.00</strong></td>
<td><strong>$27,943,000.00</strong></td>
<td><strong>$35,244,000.00</strong></td>
<td><strong>$39,189,000.00</strong></td>
</tr>
</tbody>
</table>
f. **Amount and type of indirect institutional subsidies received by the Athletics Department, including but not limited to waivers of out-of-state tuition payments for student-athletes, medical care and health insurance, and facilities, operational, administrative, and other support, etc.**

The only substantive indirect institutional subsidy provided to the Athletics Department is the utility cost for athletic buildings. There are other functional areas that provide some oversight and are not charged to the department. These include accounting, finance, procurement, and administration. The services provided are minimal in terms of time and effort.

g. **Facilities (on-campus, owned by university, owned by third party, etc.).**

<table>
<thead>
<tr>
<th>Facility</th>
<th>Sport Description</th>
<th>Capacity</th>
<th>Location</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pratt &amp; Whitney Stadium at Rentschler Field</td>
<td>Football Competition</td>
<td>40,000</td>
<td>East Hartford</td>
<td>State of Connecticut owned facility featuring a natural grass surface, 38 suites and over 600 premium indoor club seats.</td>
</tr>
<tr>
<td>The Burton Family</td>
<td>Football Support Complex</td>
<td></td>
<td>On Campus</td>
<td>This modern building showcases meeting rooms, locker rooms, a dining facility, player lounge, sports medicine facility, and coaches offices.</td>
</tr>
<tr>
<td>Mark R. Shenkman Training Center</td>
<td>Football Indoor Practice Facility</td>
<td></td>
<td>On Campus</td>
<td>Indoor training facility that rivals those of other Power Five institutions, featuring an indoor turf field and an 18,000 square foot strength and conditioning area.</td>
</tr>
<tr>
<td>Harry A. Gampel Pavilion</td>
<td>Basketball and Volleyball</td>
<td></td>
<td>On Campus</td>
<td>One half of the home schedule for both men's and women's basketball is played in Gampel.</td>
</tr>
<tr>
<td>XL Center</td>
<td>Basketball and Men's Hockey</td>
<td>15,564</td>
<td>Downtown Hartford</td>
<td>City of Hartford owned facility. One half of the home schedule for both men's and women's basketball is played at the XL Center.</td>
</tr>
<tr>
<td>Werth Family UConn Champions Center</td>
<td>Basketball Practice Facility</td>
<td></td>
<td>On Campus</td>
<td>First class practice facility that opened in 2014 complete with two gyms, coaches offices, locker rooms, and all support services including a strength and conditioning center and dedicated academic space.</td>
</tr>
<tr>
<td>J.O. Christian Baseball Field</td>
<td>Baseball</td>
<td>500</td>
<td>On Campus</td>
<td>Includes indoor batting cages. Plans for new stadium shown in section 5.</td>
</tr>
<tr>
<td>Joseph J. Morrone Stadium</td>
<td>Soccer</td>
<td>5,100</td>
<td>On Campus</td>
<td>Plans for new stadium shown in section 5.</td>
</tr>
<tr>
<td>Burrill Family Field at the Connecticut Softball Complex</td>
<td>Softball</td>
<td>200</td>
<td>On Campus</td>
<td>Plans for new stadium shown in section 5.</td>
</tr>
<tr>
<td>George J. Sherman Family- Sports Complex</td>
<td>Track and Field, Women's Lacrosse, and Field Hockey</td>
<td>2,000</td>
<td>On Campus</td>
<td></td>
</tr>
<tr>
<td>Hugh S. Greer Field House</td>
<td>Indoor Track and Field</td>
<td>2,800</td>
<td>On Campus</td>
<td></td>
</tr>
<tr>
<td>Wolff-Zackin Natatorium</td>
<td>Swimming</td>
<td>750</td>
<td>On Campus</td>
<td></td>
</tr>
<tr>
<td>Mark Edward Freitas Ice Forum</td>
<td>Ice Hockey</td>
<td>1,800</td>
<td>On Campus</td>
<td></td>
</tr>
<tr>
<td>UConn Tennis Complex</td>
<td>Tennis</td>
<td>100</td>
<td>On Campus</td>
<td>10 outdoor courts.</td>
</tr>
</tbody>
</table>
h. *Investment in athletic facilities (last 5 years); contracted or planned capital expenditure projects and funding sources therefore.*

Since 2000, more than $260 million will have been invested in the construction or renovation of UConn athletic facilities. This includes the completion of the $91.2 million construction of Pratt and Whitney Stadium at Rentschler Field, which opened in 2003. The stadium was financed and built by the State of Connecticut, and is being leased back to the university, which has been paying the majority of the debt service via that agreement.

This was followed by the 2006 opening of the Burton Family Football Complex and Mark R. Shenkman Training Center, a $48 million construction project primarily funded through private donations.

During this same period, UConn also completed $9.2 million in renovations to Gampel Pavilion as well as the George J. Sherman Family Sports Complex. In 2015, the first-class Werth Family Basketball Champions Center was constructed with $40 million in privately raised funds.

UConn’s commitment to state-of-the-art athletic facilities continues with current plans for new soccer, baseball, and softball stadiums (renderings provided in section 5) in addition to renovations to Gampel Pavilion, the game day home of UConn men’s and women’s basketball. Construction is set to begin in 2017.

<table>
<thead>
<tr>
<th>Facility</th>
<th>Cost</th>
<th>Status</th>
<th>Funding Source</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Werth Family UConn Basketball Champions Center</td>
<td>$40M</td>
<td>Completed 2015</td>
<td>Private Funds</td>
<td></td>
</tr>
<tr>
<td>Baseball Stadium</td>
<td>$22M</td>
<td>Design Phase</td>
<td>Private Funds</td>
<td>See renderings in section 5.</td>
</tr>
<tr>
<td>Softball Stadium</td>
<td>$18M</td>
<td>Design Phase</td>
<td>Private Funds</td>
<td>See renderings in section 5.</td>
</tr>
<tr>
<td>Soccer Stadium</td>
<td>$30M</td>
<td>Design Phase</td>
<td>Private Funds</td>
<td>See renderings in section 5.</td>
</tr>
<tr>
<td>Werth Hall of Fame and Graphics Package</td>
<td>$2.2M</td>
<td>Design Phase</td>
<td>Private Funds</td>
<td></td>
</tr>
<tr>
<td>Gampel Pavilion Dome Renovation</td>
<td>$10M</td>
<td>2017</td>
<td>University Funded</td>
<td>Will include dome renovation, replacement of broadcast infrastructure, and new bleacher system.</td>
</tr>
</tbody>
</table>
i. Investment in NCAA/Title IX compliance personnel and processes/procedures; description of compliance staff and program structure.

UConn’s athletics compliance office consists of five professional staff and a student intern. Descriptions of each individual staff position follows, along with an organizational chart. The university’s comprehensive compliance manual is available upon request.

Angie Cretors
Senior Associate Director of Athletics for Compliance

- Senior staff member;
- Leadership team;
- Oversight of compliance office;
- Athletics compliance budget and accounting;
- NCAA and Faculty Athletics Representative liaison;
- NCAA reports – revenue distribution/sports sponsorship;
- Policies and procedures;
- Transfer committee hearings;
- Financial aid hearings;
- Violation investigations and admonishments;
- Secondary violations/hardship waivers oversight;
- Annual coaches evaluation;
- Compliance audits;
- Amateurism approval;
- Recruit/coach complimentary ticket approval;
- Oversight over agent registration/education;
- Endowed scholarship management;

Annie Fiorvanti
Assistant Director of Athletics for Compliance

- American Athletic Conference (AAC) liaison;
- Student support services oversight;
- NCAA reports – APR/GSR;
- Policies and procedures;
- Violation investigations;
- NCAA and AAC student-athlete eligibility for practice and competition;
- NCAA and AAC student-athlete transfer eligibility;
- Roster management;
- Recruit/coach complimentary ticket approval;
- NCAA and AAC legislation tracking;
- Update guidebook/coaches handbook/student-athlete handbook.
Julie Purcell
Assistant Director of Compliance

- Student-athlete scholarships and financial aid;
- National letters of intent and financial aid agreements;
- NCAA squad list;
- Team award/reconciliation;
- Camps and clinics management;
- Student employment approval;
- Outside competition approval.

Kristen Hargis
Assistant Director of Compliance

- NCAA & AAC student-athlete eligibility for practice and competition (initial, international, graduate assistant, manager);
- Rules education coordinator;
- Beginning of year NCAA mandatory compliance forms;
- New hire process;
- Declaration of staff;
- Recruit status report oversight;
- Item donation request/student-athlete appearance request;
- Permission to contact and transfer approvals;
- Coaches exam administration.

Amanda Hughes
Compliance Coordinator

- JumpForward liaison;
- Recruiting monitoring;
- Expense and recruit log monitoring;
- Official/unofficial visit approval;
- Student-athlete complimentary ticket reviews;
- Playing and practice season;
- Participation tracking;
- SAF database and tracking;
- Recruiting service approval and monitoring.

Student Services Intern

- Housing;
- Dining/training table/team meal (home and away) approval;
- Bursar and student-athlete billing statements;
- Books;
- Automobile registration;
- International student-athletes;
- Assist with SAF;
- Recruiting phone call monitoring;
- Social media/website maintenance.
All Staff

- Rules education;
- Interpretation requests;
- Secondary violations/waivers;
- Game day monitoring for football, men’s basketball, and women’s basketball.
j. **Investment in student-athlete support and available resources and programs.**

UConn provides a comprehensive counseling program for intercollegiate athletes. Its services include:

- Academic tracking for all students and individualized academic plans for freshmen and at-risk students;
- Collaboration with students' academic advisors and the Office of the Registrar to ensure students are working towards graduation and meeting NCAA eligibility milestones;
- Learning support services that work in conjunction with the Center for Students with Disabilities and the School of Education to identify any student who has potential learning concerns and provide additional support services for any student athlete who has documented learning concerns. These services administer initial learning assessment testing to incoming students to provide baseline learning profile, provide individualized academic support specific to students’ learning concerns, and offer various study skill workshops on test taking, reading strategies, time management and note taking;
- Individual or group tutoring to students in a variety of subject areas;
- Opportunities for student-athletes to network and navigate their next steps as they prepare to enter the job force. Provided in conjunction with UConn’s Office of Career Services, Athletic Development, and the UConn Foundation, these opportunities include programs like the Husky to Husky Career Fair, Resume Writing Workshops, and Networking Alumni Nights;
- A Student Athlete Advisory Committee (SAAC), which exists to encourage individuals to voice their thoughts on being a student-athlete, to develop leadership and communication skills, and to further advance their experience as a Division I student-athlete;
- Community service outreach through participation in the Husky Reach and Goal Line programs. These programs allow student-athletes to interact weekly with students from local schools, to promote reading and various skill building activities which focus on confidence, communication, and teamwork;
- The “Husky Finish Line” Degree Completion Program, which reinforces the university’s commitment to graduating all of its students. The program works with students who have left the university early to return to finish their degree either on campus or online;
- The Husky LEADS program, designed in conjunction with UConn’s Office of Student Activities Leadership to assist in developing a select group of student-athletes into future leaders;
- Student Development Courses, including Freshman Year Experience courses that focus on the transition to college, skills for success, and campus resources available to students, and Junior/Senior Year Experience courses, which are more geared toward the transition from college into the next chapter of students’ lives, such as career development, financial planning, networking skills, resume writing, etc.
k. *Investment in promotional marketing, branding and messaging efforts.*

The Athletics Department spends more than $650,000 annually on multimedia marketing and branding efforts designed to support multiple functions in the department.

Beyond athletics’ own resourced efforts, UConn’s central Office of University Communications over the past year has contributed nearly $130,000 in additional support of athletics branding through production of an athletics viewbook, engagement of a marketing firm to help elevate the national brand of UConn athletics, advertising in support of athletics events, and selected athletics reputational ads.

This is the second consecutive year that university support of athletics marketing has exceeded $100,000, and does not include the cost for in-house services such as graphic design, photography, video production and media placement services, which are provided at no cost to the Athletics Department.
I. Attendance for football, men’s basketball, women’s basketball, and baseball; for season, game average, and as percent of facility capacity; attendance averages by year (number and percent of facility capacity) for “Power 5” conference opponents.

<table>
<thead>
<tr>
<th>Football - Home Games</th>
<th>7 Games</th>
<th>6 Games</th>
<th>7 Games</th>
<th>7 Games</th>
<th>6 Games</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2011</td>
<td>2012</td>
<td>2013</td>
<td>2014</td>
<td>2015</td>
</tr>
<tr>
<td>Total Tickets</td>
<td>210,948</td>
<td>164,158</td>
<td>231,579</td>
<td>185,046</td>
<td>155,231</td>
</tr>
<tr>
<td>Game Average</td>
<td>30,135</td>
<td>27,360</td>
<td>33,083</td>
<td>26,435</td>
<td>25,872</td>
</tr>
<tr>
<td>Percent of Capacity</td>
<td>80%</td>
<td>72%</td>
<td>87%</td>
<td>70%</td>
<td>68%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Football vs. Power 5</th>
<th>4 Games</th>
<th>2 Games</th>
<th>4 Games</th>
<th>0 Games</th>
<th>0 Games</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2011</td>
<td>2012</td>
<td>2013</td>
<td>2014</td>
<td>2015</td>
</tr>
<tr>
<td>Game Average</td>
<td>30,783</td>
<td>26,568</td>
<td>35,325</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of Capacity</td>
<td>81%</td>
<td>70%</td>
<td>93%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Men's Basketball - Home Games</th>
<th>8 GP/11 XL</th>
<th>8 GP/10 XL</th>
<th>10 GP/9 XL</th>
<th>8 GP/8XL</th>
<th>10 GP/9 XL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Tickets - Gampel Pavilion</td>
<td>74,821</td>
<td>69,734</td>
<td>91,232</td>
<td>95,580</td>
<td>89,867</td>
</tr>
<tr>
<td>Game Average - Gampel Pavilion</td>
<td>9,353</td>
<td>8,716</td>
<td>9,123</td>
<td>9,191</td>
<td>8,987</td>
</tr>
<tr>
<td>Percent of Capacity - Gampel Pavilion</td>
<td>95%</td>
<td>89%</td>
<td>93%</td>
<td>93%</td>
<td>91%</td>
</tr>
<tr>
<td>Total Tickets - XL Center</td>
<td>142,578</td>
<td>112,627</td>
<td>100,990</td>
<td>95,580</td>
<td>95,764</td>
</tr>
<tr>
<td>Game Average - XL Center</td>
<td>12,962</td>
<td>11,263</td>
<td>11,221</td>
<td>11,948</td>
<td>10,640</td>
</tr>
<tr>
<td>Percent of Capacity - XL Center</td>
<td>84%</td>
<td>73%</td>
<td>72%</td>
<td>81%</td>
<td>72%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Men's Basketball vs. Power 5</th>
<th>2 GP/3XL</th>
<th>0 GP/4 XL</th>
<th>3 GP/1 XL</th>
<th>1 GP/0 XL</th>
<th>1 GP/0 XL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Game Average - Gampel Pavilion</td>
<td>9,651</td>
<td>N/A</td>
<td>9,522</td>
<td>9,604</td>
<td>9,482</td>
</tr>
<tr>
<td>Percent of Capacity - Gampel Pavilion</td>
<td>98%</td>
<td>N/A</td>
<td>97%</td>
<td>98%</td>
<td>96%</td>
</tr>
<tr>
<td>Game Average - XL Center</td>
<td>14,026</td>
<td>12,507</td>
<td>10,522</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Percent of Capacity - XL Center</td>
<td>90%</td>
<td>81%</td>
<td>68%</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Women's Basketball - Home Games</th>
<th>12 GP/8 XL</th>
<th>8 GP/ 9 XL</th>
<th>9 GP/ 8 XL</th>
<th>7 GP/ 7 XL</th>
<th>8 GP/ 7 XL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Tickets - Gampel Pavilion</td>
<td>82,004</td>
<td>62,736</td>
<td>72,251</td>
<td>56,297</td>
<td>70,157</td>
</tr>
<tr>
<td>Game Average - Gampel Pavilion</td>
<td>6,834</td>
<td>7,842</td>
<td>8,026</td>
<td>8,042</td>
<td>8,770</td>
</tr>
<tr>
<td>Percent of Capacity - Gampel Pavilion</td>
<td>69%</td>
<td>80%</td>
<td>82%</td>
<td>82%</td>
<td>89%</td>
</tr>
<tr>
<td>Total Tickets - XL Center</td>
<td>80,630</td>
<td>90,186</td>
<td>68,433</td>
<td>58,135</td>
<td>58,074</td>
</tr>
<tr>
<td>Game Average - XL Center</td>
<td>10,079</td>
<td>10,021</td>
<td>8,554</td>
<td>8,305</td>
<td>8,296</td>
</tr>
<tr>
<td>Percent of Capacity - XL Center</td>
<td>65%</td>
<td>65%</td>
<td>55%</td>
<td>53%</td>
<td>53%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Women's Basketball vs. Power 5</th>
<th>2 GP/4 XL</th>
<th>3 GP/5 XL</th>
<th>3 GP/1 XL</th>
<th>1 GP/1 XL</th>
<th>1 GP/ 3 XL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Game Average - Gampel Pavilion</td>
<td>6,258</td>
<td>6,469</td>
<td>9,469</td>
<td>9,717</td>
<td>9,731</td>
</tr>
<tr>
<td>Percent of Capacity - Gampel Pavilion</td>
<td>64%</td>
<td>88%</td>
<td>96%</td>
<td>99%</td>
<td>99%</td>
</tr>
<tr>
<td>Game Average - XL Center</td>
<td>10,978</td>
<td>11,348</td>
<td>7,429</td>
<td>11,622</td>
<td>8,396</td>
</tr>
<tr>
<td>Percent of Capacity - XL Center</td>
<td>71%</td>
<td>73%</td>
<td>48%</td>
<td>75%</td>
<td>54%</td>
</tr>
</tbody>
</table>
m. **Season ticket levels and trends for football, men’s basketball, women’s basketball, and baseball; number and as a percentage of facility capacity.**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Football</td>
<td>22,268</td>
<td>19,496</td>
<td>21,379</td>
<td>16,785</td>
<td>12,586</td>
</tr>
<tr>
<td>Percent of Capacity</td>
<td>59%</td>
<td>52%</td>
<td>57%</td>
<td>44%</td>
<td>33%</td>
</tr>
<tr>
<td>MBB - Gampel Pavilion</td>
<td>7,716</td>
<td>6,599</td>
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<td>78%</td>
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<td>68%</td>
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<td>MBB - XL Center</td>
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<td>25,119</td>
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<td>23,858</td>
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<td>Percent of Capacity</td>
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<td>62%</td>
<td>63%</td>
<td></td>
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<tr>
<td>Total Tickets Sold</td>
<td>198,985</td>
<td>210,653</td>
<td>220,908</td>
<td>211,733</td>
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<tr>
<td>Game Average</td>
<td>28,426</td>
<td>30,093</td>
<td>36,818</td>
<td>35,289</td>
<td>35,430</td>
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<td>Percent of Capacity</td>
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<td>97%</td>
<td>93%</td>
<td>94%</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

n. **Any restrictions on days, times, or locations of events, student-athlete travel, availability of facilities for weekday or weekend home events, etc.**

UConn has no restrictions on days, times, or locations of events, nor does it have any restrictions on student-athlete travel or on the availability of facilities for home events at any time.
3. University NCAA/Conference Compliance and Regulatory Matters

*Please fully describe:*

a. Any regulatory compliance matters pending or threatened by the NCAA, your current conference, or any other regulatory body involving the university or its athletics department or any programs therein that are pending or have existed in the past 5 years and the status or resolution thereof.

UConn has managed two compliance matters of significance over the past five years, and a brief summary of both the major infraction and APR penalty is provided below. In addition to addressing these issues directly, UConn reinforced their overall commitment to institutional compliance as evidenced by an increase in full-time compliance staff from two to our current structure of five. The senior associate director hired to lead this group brought experience as a member of the NCAA enforcement staff. Policies and procedures were revised, and a more robust system of checks and balances in terms of compliance within the department was created.

**Major Infractions Case**

Violations found by the NCAA Committee on Infractions in October 2015:

- Improper recruiting inducements;
- Impermissible telephone calls and text messages to potential student-athletes;
- Improper ticket distribution by the men’s basketball staff;
- Failure to monitor and promote an atmosphere of compliance by the head men’s basketball coach (Jim Calhoun);
- Failure to monitor by the institution;
- Unethical conduct by the former director of men’s basketball operations.

Penalties:

- Men’s basketball reduced one grant in aid for the 2010-2011, 2011-2012 and 2012-2013 academic years;
- Men’s basketball coaching staff was prohibited from placing calls to potential student-athletes for a week in November 2009 and during the 2011-2012 academic year until 30 days after the first permissible date;
- Men’s basketball reduced the number of permissible coaches allowed to contact potential student-athletes from three to two for a six-month period starting in 2010;
- Men’s basketball permissible recruiting days was reduced by 40 for the 2010-2011, 2011-2012, 2012-2013 academic years;
- Men’s basketball was limited to no more than five official visits for the 2011-2012 and 2012-2013 academic years;
- Head men’s basketball coach was suspended for the first three conference games during the 2011-2012 season;
- University disassociated the representative of the athletics interest involved in this case;
- University was on placed on probation for three years, and probation ended on February 21, 2014.
APR Sanctions

The UConn men’s basketball team failed to meet the NCAA standards when submitting the APR data from the 2010-2011 academic year.

Penalties:

- Loss of one grant in aid during the 2012-2013 academic year;
- Reduction in practice time;
- Implementation of an academic improvement plan;
- Postseason ban for the 2012-2013 academic year.

UConn submitted the Proof of Penalties in a letter dated August 13, 2013 to the NCAA. This formally ended the APR penalties period.

The university has since bolstered its Office of Athletics Compliance with the following measures:

- Increased staff from two full-time staff members to five full-time staff members by 2014 (four by 2011);
- Purchased JumpForward software to assist with monitoring recruiting activity and other compliance functions;
- Implemented monitoring efforts involving the men’s basketball coaching staff’s discretionary tickets; no hard tickets are provided, and individuals that are to receive tickets pick them up from a member of the Office of Athletics Compliance on game day;
- Hired a former member of the NCAA enforcement staff in 2013 to serve as the Senior Associate Athletic Director for Compliance Services;
- Created policies regarding credentials and access provided to individuals not employed by the institution;
- Updated all compliance policies and procedures;
- Created educational materials for representatives of athletics interests and local businesses/community members;
- Instituted annual audit of athletic compliance by the university’s independent Office of Audit, Compliance and Ethics.
4. University Legal Matters (other than those covered in section 3 above)

*Please fully describe:*

a. *Past, any currently pending, or overtly threatened litigation, claims, and investigations (excluding ordinary course operating matters) against the university or its athletics department or programs, including those involving matters listed below, or such matters that are pending or overtly threatened in the past 5 years.*

Other than the matters described in section 3 above (regulatory and compliance matters) and the matters listed in section 4.b. below (sexual misconduct and Title IX), the only responsive matters are listed below.

UConn has not included in this list ordinary course operating matters such as minor torts, routine employment-related claims, student complaints about grades or dismissal, Freedom of Information Act disputes or medical malpractice claims from UConn Health. UConn has not included NCAA class action litigation matters. UConn has not included matters that were threatened in the last five years but have been resolved. There are no responsive overtly threatened matters currently.

The responses are divided among: (A) University – Pending; (B) University – Closed; and (C) Athletics.

A. University – Pending

**Estate of Jasper Howard**

At a student sponsored homecoming dance in October 2009, a fire alarm was pulled, the dance was evacuated and a fight broke out between students and non-students. Mr. Howard was stabbed by a non-student and died the next day. The claim is for in excess of $5M. At the time of his death, Mr. Howard was a student-athlete in football. The damage claim reflects the plaintiff's belief that he was an NFL prospect. The theory of liability is that University Police did not adequately staff the event and did not take action to protect the patrons of the dance. There are no allegations involving the athletic department. The university’s position is that the decedent was the victim of an intentional criminal act and that the university is not liable. As a precondition to bringing suit against the state, the plaintiff must first go to the claims commissioner to obtain permission to sue. The matter is in discovery before the claims commissioner. Any recovery would be paid by the general fund of the state, not by the university.

**Estate of Jafar Karzoun**

On April 23, 2010, Mr. Karzoun, a student, was involved in an altercation with a non-student on non-university property after attending a non-university event during Spring Weekend. The non-student admits punching Mr. Karzoun in the face. Mr. Karzoun hit his head when he fell and died a week later of head injuries. The assailant was convicted and sentenced to prison. The theory of liability is that UConn failed to control activities related to Spring Weekend. The university’s position is that the decedent was the victim of an intentional criminal act and that the university is not liable. As a precondition to bringing suit against the state, the plaintiff must first go to the claims commissioner to obtain permission to sue.
The matter is in discovery before the claims commissioner. Any recovery would be paid by the general fund of the state, not by the university.

B. University – Closed

Clery Audit

The U.S. Department of Education (DoE) conducted an onsite Clery Act compliance review in March 2011. In response, UConn proactively engaged an outside consultant to conduct a review. As a result, UConn subsequently enhanced its compliance activities. The university had heard nothing from the auditors from 2011 until early August 2016 when the lead auditor informed UConn that DoE would be closing out the audit. According to the auditor, UConn was among the universities selected for close out because the initial review was not the result of a complaint or other specific concern, and because UConn has taken proactive efforts to improve Clery compliance in the time since the on-site review, of which the DoE has “taken notice.” We expect formal closure of the audit soon.

Swanigan – Student Claim

A graduate student whose father was black and whose mother was white applied for a graduate program at UConn in 2009 and was awarded a Multicultural Scholars Program (MSP) scholarship which provided the most generous support of the available scholarships. Ms. Swanigan was told that she had been awarded a Vice Provost’s Award rather than an MSP. Ms. Swanigan subsequently filed a federal lawsuit alleging that awarding the MSP was demeaning as to her ability as a scholar and was discriminatory. The criteria for the MSP were changed in 2009. UConn and Ms. Swanigan resolved the litigation by settlement at the end of 2015 for a payment of $15,000 in attorney’s fees and an agreement to certain changes in UConn’s processes and disclosures, but no damages.

Estate of Plamondon

Mr. Plamondon was a student who died in March 2011 after being struck by a UConn shuttle bus being operated by a student driver on campus. The matter was defended by the insurance carrier and the attorney general. It was settled in September 2015 for $5.5 million from a combination of insurance and the state’s general fund. No university funds were required.

Faghri – Faculty Claim

The dean of the School of Engineering alleged that his dismissal as dean, and return to the faculty, was in retaliation for public criticism of the university. The initial demand was in excess of $1 million. The case was tried to the bench and UConn obtained a defense verdict on April 9, 2014.

C. Athletic Department – Pending

Hockey Player Lawsuit

A former women’s ice hockey team player filed a lawsuit in September 2015 against the coach alleging infliction of emotional distress and negligence. The student-athlete’s scholarship was not renewed in March 2015. Thereafter the student’s father, and later the student, complained of hazing. The lawsuit blames the hazing for loss of her scholarship. UConn’s student discipline office conducted an investigation and found a single incident of
hazing, but no evidence that the coach, other employees of the athletic department, or the university were aware of incident. UConn Police conducted an investigation and found no evidence of a crime. The lawsuit is being defended by the attorney general. UConn believes it is without merit. (Note this is not the same women’s ice hockey coach involved in the closed Title IX litigation described in section 4.b. below.)

U.S. Department of Labor Audit

UConn currently is undergoing a federal Department of Labor (DOL) audit. The audit is routine and not the result of any complaint. One area of focus is gender pay disparity in athletics. DOL appears to be looking into whether coaches for women’s athletic teams are paid less than coaches for men’s athletic teams and, if so, the basis for any apparent disparity. UConn believes the pay differentials are legal and appropriate.

b. Any currently pending or overtly threatened litigations, claims, or investigations against the university or its athletics department or any programs therein relating to sexual misconduct or Title IX matters, or such matters that were pending or overtly threatened in the past 5 years.

UConn has not included matters that were threatened in the last five years but have been resolved. There are no responsive overtly threatened matters currently. Consistent with our response to section 4.a., we have also not included UConn’s investigation or discipline of individual employees resulting from employment-related matters.

Pending

The university currently is the subject of a pending Title IX investigation by the U.S. Department of Education’s Office for Civil Rights (OCR). It is described in greater detail below.

Closed

Within the past five years, UConn was the subject of a now-settled federal lawsuit and a related OCR investigation. Both pertained to Title IX matters and both rose out of the same allegations. The original OCR complaint and the federal lawsuit arose at virtually the same time, with overlapping allegations and overlapping complainants represented by the same counsel. Accordingly, the lawsuit and original OCR complaint are described together in the following timeline:

October 21, 2013 – Seven then-current and former students announced the filing of and OCR complaint alleging a failure of the university to respond promptly and effectively to reports of sexual violence (This OCR complaint eventually was closed.)

November 1, 2013 – A federal lawsuit was filed by four then-current and former students alleging gender discrimination and retaliation in violation of Title IX. (The four plaintiffs also were parties to the OCR complaint.)

Three of the plaintiffs alleged an incident of non-consensual sex with a UConn student (one involving a football player). One plaintiff claimed the use of the new Husky logo contributed to a rape culture; no UConn student was identified as a respondent. Three of the four plaintiffs pursued UConn’s internal disciplinary process against the respondents. The lawsuit focused on the plaintiffs’ dissatisfaction with the findings in and/or UConn’s handling of the investigations.
Regarding the football player, the plaintiff alleged she was assaulted in September 2011 but she did not report it to UConn until 18 months later, in April 2013.

- The UConn Police Department conducted an investigation immediately following the 2013 report, but the State’s Attorney’s Office declined to prosecute based on lack of evidence;
- Plaintiff declined to pursue UConn’s internal disciplinary process against the respondent.

**December 6, 2013** – OCR notified UConn that it was opening the complaint (filed in October 2013) for investigation.

**December 20, 2013** – The federal lawsuit was amended to add a fifth plaintiff. This plaintiff, a former women’s ice hockey team player, alleged that she was sexually assaulted at an off-campus party in fall 2011. She refused to identify the alleged assailant, but she indicated that he was a member of the men’s ice hockey team. She alleged that the women’s ice hockey coach terminated her from the team as a result of reporting the alleged assault.

**July 8, 2014** – The federal lawsuit settled after a multiday mediation. Monetary terms involved a total sum for all five plaintiffs of $1.285 million. Non-monetary terms involved the following:

- Plaintiffs agreed to withdraw all pending lawsuits and claims (two of the five plaintiffs had made corresponding employment claims because they had been student employees, and three of the five plaintiffs had made a Clery Act complaint with the U.S. Department of Education);
- Plaintiffs agreed to withdraw the OCR complaint;
- A joint statement was issued by UConn and all the plaintiffs, which said in part:

  “UConn and the plaintiffs share the same goals: to eliminate sexual and gender-based harassment and violence, to prevent its recurrence, to address its impact on individuals and the UConn community, to make UConn the safest possible campus and, when incidents do occur, to support survivors and to hold perpetrators accountable.

  “UConn, including the Board of Trustees, President Herbst, and key university employees are committed to doing all they can to prevent sexual assault on UConn’s campuses, to provide essential resources to all victims of sexual violence and to ensure that all victims are treated with care and compassion.

  “The plaintiffs do not claim that the university was in any way responsible for any assault or for harassment directed at them.”

**February 20, 2015** – OCR notified UConn that it was dismissing the OCR complaint filed in October 2013, but on the same date, OCR notified UConn it is accepting a new complaint for investigation. This new complaint is based on the university’s alleged failure to respond promptly and effectively to a complaint of sexual violence, which allegedly resulted in the creation of a sexually hostile environment.

Between the filing of the original complaint and through June 2015, UConn has responded to OCR’s data requests by providing copies of relevant policies, training information, and
other materials. UConn also has prepared for OCR’s on-site case file review. The investigation is still pending, but UConn has not heard from OCR since September 2015.

**c. The structure and compliance record of your Title IX compliance program.**

We understand this question to be asking about the university’s compliance program with respect to responding to andremediying the effects of claims of sexual harassment and discrimination, not about gender equity in athletics. This answer includes three parts: (A) the current structure of the university’s Title IX compliance office; (B) noteworthy programs currently in place; and (C) a chronological compliance record of key events in UConn’s Title IX compliance program.

Since early 2015 UConn has utilized the law firm of Pepper Hamilton to provide services with regard to the development and implementation of UConn’s Title IX compliance program and to assist the university with the OCR investigation.

**A. Structure of the Title IX Compliance Office**

The Office of Institutional Equity (OIE) is the office responsible for the Title IX compliance efforts of the entire university (including UConn Health). OIE is run by the university’s Title IX Coordinator, who is an associate vice president reporting directly to the president of the University. The person holding this position has been in this role since 2011. There also are two deputy Title IX coordinators who assist in the compliance efforts.

OIE has offices at the Storrs campus and at UConn Health in Farmington. The Storrs office currently has a staff of 13 full-time employees, eight of which are assigned to Title IX compliance for both employees and students. Of those eight, four are lawyers.

Students and employees are encouraged to report all alleged violations of the university’s “Policy Against Discrimination, Harassment and Related Interpersonal Violence” – which includes complaints of sexual harassment, sexual assault, stalking, and intimate partner violence – to OIE. It is OIE’s responsibility to ensure that these reports of sexual misconduct are investigated and properly addressed by the university.

Reports against university employees are investigated by OIE’s trained investigators. If, after an investigation, an employee is found to have violated the “Policy Against Discrimination, Harassment and Related Interpersonal Violence,” the employee is referred to the Office of Faculty and Staff Labor Relations and the relevant department head for appropriate discipline.

Reports against students are handled by the trained staff in the Office of Community Standards, the office responsible for student discipline. Community Standards conducts the investigation and, when necessary, also conducts administrative hearings in conformance with “The Student Code” to determine appropriate sanctions, up to and including expulsion. In the past five academic years, more than 20 students have been expelled from the university for sexual misconduct violations.

The Title IX coordinator regularly collaborates closely and coordinates with the following University offices and functions:

- The UConn Police, for handling of criminal matters, reporting of crime statistics under the federal Clery Act, and the issuance of timely warnings to the campus community in the event of an immediate threat to health and safety;
• The Office of Community Standards, for the investigation of complaints against students and the student administrative hearing process;
• The Office of Faculty and Staff Labor Relations, for discipline of employees who have been found to have violated the “Policy Against Discrimination, Harassment and Related Interpersonal Violence;”
• The Office of the Dean of Students, for providing resources and accommodations to victims and respondents; and
• The Women’s Center, for providing training and prevention programs, and for providing support for victims.

OIE and the Title IX coordinator also engage in prevention and education efforts across the university. For example, OIE maintains data for tracking and trending of sexual misconduct on campus, and its staff regularly conduct trainings for the university community and for targeted groups or programs. Some of these programs are described in greater detail in the next section.

B. Noteworthy Current Title IX-Related Programs

Sexual Violence and Awareness Training

• All university employees, including coaches, complete sexual harassment and diversity training;
• All students, including student-athletes, participate in learning programs about sexual violence prevention and bystander intervention;
• UConn annually executes approximately 250 sexual assault, stalking, and intimate partner violence prevention, awareness and risk reduction programs, trainings, and/or campaigns for students and/or employees.

Increased Resources in Title IX-Related Areas

The university has dedicated significant resources to combating sexual violence and providing resources to those who are victims of sexual violence, as well as to those students accused of sexual violence.

• In academic year 2014-2015, UConn Police created a Special Victims Unit specially trained to deal with reports and victims of sexual assault;
• In summer 2014, the Division of Student Affairs reestablished the Dean of Students Office and created a position dedicated to students who are victims of any crimes, including sexual violence, stalking, etc.;
• Since 2013, OIE and Community Standards have significantly increased staffing to support Title IX-related matters, including training, tracking, trending and investigations.

“It’s On Us” Campaign

UConn joined a national campaign aimed at reducing sexual violence through awareness and bystander intervention. Beginning September 2014, a video associated with the campaign was played on the jumbotron during each home football game, as well as during games of other teams.
C. Chronological Title IX Compliance Record

In the fall of 2013, UConn was the subject of an investigation by the U.S. Department of Education’s Office for Civil Rights (OCR) and a Title IX lawsuit, both of which are described in response to section 4.b preceding. The following timeline serves to summarize UConn’s efforts regarding Title IX compliance before and after those events:

January 2012 – UConn adopts a Sexual Assault Response Policy requiring virtually all employees to report sexual assault.

February 7, 2013 – President Herbst announces launching of UConn’s new, comprehensive Title IX website. The new website provides detailed information about reporting options, resources and accommodations for victims, as well as information for respondents. It is designed to provide “one stop shopping” to facilitate prompt reporting and effective support for victims.

September 24, 2013 – UConn adopts a “Policy Against Discrimination, Harassment and Related Interpersonal Violence” to reflect continuing changes in state law and federal guidance.

April 2014 – UConn holds mandatory discussion for the Athletics Department on Title IX-related issues. Note that this was not done because of any systemic problems in athletics, but because of OCR’s focus on athletics.

January 2015 – The Athletics Department brings in internationally known Mentors in Violence Prevention (MVP). Every athletic team received training on sexual violence prevention and response and bystander intervention training.

February 20, 2015 – OCR notifies UConn it is dismissing the OCR complaint filed in October 2013 because the complaint was “withdrawn or otherwise not appropriate for” continued investigation. On the same date, OCR notifies UConn it accepted a new complaint for investigation. UConn has not heard from OCR since September 2015.

August 2015 – After proposing, drafting, and successfully advocating for a legislative change, UConn’s Student Health Services begins to offer free sexual assault forensic exams (SAFE) for students on the Storrs campus. Previously, students had to travel to a hospital off-campus to get these exams.

August 2015 – The UConn Title IX website is enhanced and restructured.

Fall 2015 – UConn launches a Sexual Assault Campus Climate Survey using a survey administered by the Higher Education Data Sharing Consortium (HEDS).

January 1, 2016 – UConn’s Board of Trustees adopts a “Policy Against Discrimination, Harassment and Related Interpersonal Violence” to reflect continuing federal guidance.

April 11, 2016 – President Herbst informs the UConn community about results of the fall 2015 HEDS Sexual Assault Campus Climate Survey, a random, scientific sampling of 6,000 students which yielded the following data:
• 82 percent of students surveyed agree/strongly agree they feel safe on campus;
• Only 5.5 percent experienced a completed sexual assault while at UConn compared the often cited claim that one in five female college students are victims of sexual assault while in college.

*Fall 2016 – Approximately 4,800 incoming university students (including freshmen, transfer, and campus change students) receive mandatory “Protect Our Pack” Title IX training and bystander intervention training.*

d. **Current commitments/restrictions on ability to join conference.**

i. **Current conference rules (if applicable): Withdrawal fees, notice provisions, grants of rights, etc.**

The current conference rules governing the withdrawal from the conference are set forth in the Amended and Restated Bylaws of the American Athletic Conference (AAC), dated July 1, 2013 (AAC Bylaws). They require a member withdrawing from the conference to comply with the following (citations are to the section of the AAC Bylaws):

• Advanced Notice: Members must provide at least 27 months advance written notice. The effective date of a member’s withdrawal must be on July 1st of a calendar year (i.e., the first day of the AAC’s calendar year). Section 13.02(a)(i). Note: The effect of this provision, if applied as written, would make the effective date July 1, 2019.

• Exit Fee: Members must pay the AAC a withdrawal fee in the amount of $10,000,000.00. This fee is payable in four equal installments, with the last installment due on the effective date of the withdrawal. Section 13.02(a)(ii).

• Continued Competition: Members must continue to participate in athletic competitions scheduled by the AAC until the effective date of the withdrawal. Section 13.02(a)(iii).

ii. **Third party agreements re grants of rights to third-tier, digital, sponsorship rights, etc.**

There are no third party agreements that would prevent UConn from joining the conference.

iii. **Political or legislative issues or pressures.**

There are no political or legislative issues or pressures that would impair UConn’s ability to join the conference.

The governor of the State of Connecticut, the Honorable Dannel P. Malloy, is the president of UConn’s Board of Trustees. The governor is fully supportive of UConn joining the conference.

UConn expects that the legislature will support UConn joining the conference. No legislative action is required.

e. **Institutional approvals required for execution of binding Admission Agreement.**

The UConn Board of Trustees is required to approve the Admission Agreement. The university is confident that there will be unanimous support from the board.
The attorney general’s usual practice is to review contracts “as to form” after execution. We will work with the attorney general during the drafting of the Admission Agreement to insure that the attorney general’s concerns, if any, are addressed prior to execution so that the attorney general’s approval as to form follows promptly after UConn’s board action.

f. Any issues relating to the university’s non-profit tax status.

There are no issues. UConn is an instrumentality of the State of Connecticut, not a 501(c)(3) entity. Fundraising is done by the UConn Foundation, which is a 501(c)(3) entity, but the Foundation will not be a party to the Admission Agreement.
5. Other Information

*Other information as the university deems relevant or related to any of the above information requests or the process at large.*

UConn has provided a separately bound athletics viewbook produced for the Big 12 Conference leadership, along with a separately bound strategic academic plan. Additional copies of these publications are available upon request.

In addition, the following pages provide further supporting letters on behalf of UConn and in support of its membership in the Big 12 Conference, along with biographical sketches of university officials who are meeting with conference representatives.
September 1, 2016

Bob Bowlsby
Commissioner
Big 12 Conference
400 East John Carpenter Freeway
Irving, TX 75062

Dear Commissioner Bowlsby,

Thank you for the consideration of the University of Connecticut’s application to join the Big 12 Conference. Connecticut greatly values this opportunity to demonstrate the strengths and value UConn will bring to the Big 12.

UConn has stellar academics, innovative research and a national reputation that attracts the best and brightest to the Northeast. The State of Connecticut has a long legacy supporting the University academically and athletically. Most recently, the State has made a $1.5 billion investment to expand the school to better serve students in the sciences, engineering and digital media. It followed a historic investment in UConn’s medical school and a new hospital along with the launch of an R&D tech park.

In Connecticut, we proudly support UConn athletics, and recognize its cultural and economic value to students, alumni and fans, regionally and nationally. You will find as enthusiastic a fan and alumni base here as you will find anywhere else in the nation. Together, we make sure that UConn athletics has the resources to be competitive and to create the great rivalries that fans adore.

Connecticut has a record of delivering championship-level play whenever we invest in a team. More than a decade ago, when it was the right time to further develop our football program, the State of Connecticut was there to build a new stadium. More recently, the State championed UConn Hockey’s quest to join Hockey East investing in crucial facility upgrades, and already the Huskies are a competitive team with tremendous fan support. In the first year of Hockey East play, UConn enjoyed the largest average attendance of any conference school.

Today, we again stand ready to make the necessary investments to support the Huskies and the exceptional teams and fans of the Big 12. There is no doubt that UConn will have the full
backing of the state of Connecticut, and the resources necessary to compete as a successful member of the Big 12 if an invitation is extended. As a proud UConn fan, I am personally available at your convenience to discuss further the State of Connecticut’s commitment to UConn, and the benefits UConn brings to the Big 12.

Again, thank you for this opportunity and your diligent consideration. On behalf of UConn’s students, alumni and fans, and the people of Connecticut, we look forward to tailgating with you.

Sincerely,

[Signature]

Dannel P. Malloy
Governor & UConn Huskies Fan
Memorandum

Date: September 1, 2016
To: Bob Bowlsby
From: Mike Tranghese
Subject: Connecticut

I have been involved one way or another with the University of Connecticut for nearly 45 years.

When Dave Gavitt was creating the Big East Conference in 1979, there was not much support for UConn becoming a member of the conference. Connecticut was playing Division 1-AA football and competing in all sports in the old Yankee Conference with the likes of Vermont, New Hampshire, Maine, Rhode Island, and New Hampshire.

Despite the strong concerns raised around the table about Connecticut's ability to be a viable member of the conference, Dave Gavitt used his considerable influence to have Connecticut accepted as a member. In Dave’s own words, “Connecticut is a state institution with resources and an incredible and supportive fan base. Align them with successful programs, and in time they will be very successful.”

History tells us how successful they have been.

Fast forward to 1994. As commissioner, I was running two separate leagues – one for football and the other for all other sports. Led by Syracuse, there was a strong push to make the Big East all-inclusive and to bring the federated football members into the fold. After six months of extensive conversations, the presidents elected to move forward with Syracuse's plan and offered an opportunity to any of the so-called basketball schools to join the football portion of the conference, if they could adhere to the criteria.

Within two years, Connecticut had stepped up and complied with the criteria, including an acceptable football facility, and they became a member of the Big East football fraternity. Seven short years after making the jump from 1-AA football to the Big East, Connecticut went on the road to defeat West Virginia and to earn the conference’s BCS berth in the Fiesta Bowl.

Once again Connecticut was given an opportunity and they ran with it, and were highly successful.

Connecticut is at the crossroads in terms of its athletic future. If given the chance to align itself with the Big 12 Conference, the university will take this opportunity and be highly successful. All it needs in football is a chance. They have an excellent young coach who in two years has taken a beaten-down football program back to respectability. Last year, for example, UConn qualified for a bowl game and gave Houston its only loss of the season.

Like Dave Gavitt was, I am bullish about UConn. The Huskies are the only game in town, and the fan support in Connecticut will rival any fan base that currently resides within the Big 12. Its geographic proximity to ESPN and New York City offers some exciting opportunities as well.

Connecticut does not want to be just a member of the Big 12. It wants to be a strong contributing member, as well as a good partner.
Rendering
Rizza Family Soccer Complex
Rendering
J.O. Christian Baseball Field
Rendering
Burrill Family Softball Field at the Connecticut Softball Complex
2016 Fact Sheet

THE UNIVERSITY
- Founded: 1881
- Main Campus: Storrs
- 4 Regional Campuses: Avery Point, Hartford, Stamford, Waterbury
- School of Law and Graduate Business Learning Center: Hartford
- School of Social Work: Hartford
- UConn Health: Farmington (Schools of Medicine & Dental Medicine, graduate programs, medical & dental clinics, and UConn John Dempsey Hospital)
- Land Grant & Sea Grant college, Space Grant Consortium institution
- Storrs & Regionals = 4,107 acres; UConn Health = 209 acres

INITIATIVES

UCONN 2000 – As of October 2015:
- 112 projects totaling $2.9 billion in bonds have been authorized
- $2.6 billion in construction-related contracts issued from all fund sources
- 62% of funds to Connecticut contractors, 26% to set-aside contractors
- In excess of 4 million square feet of new space added, as well as a significant amount of renovated space
- Bond Credit Ratings by Fitch, Moody's, and Standard & Poor’s remain consistently strong

Next Generation Connecticut
- Next Generation Connecticut: $1.5 billion capital investment over 10 years includes construction, renovations, infrastructure, and equipment

Bioscience Connecticut
- Bioscience Connecticut: $864 million investment in genomics and personalized medicine

STUDENTS – Fall 2015

Academic Programs & Degrees
14 Schools & Colleges
Agriculture, Health & Natural Resources, Business, Dental Medicine, Neoq Education, Engineering, Fine Arts, Graduate, Law, Liberal Arts & Sciences, Medicine, Nursing, Pharmacy, Ratcliffe Hicks, Social Work
7 undergraduate degrees: 108 majors
17 graduate degrees: 79 research and professional practice fields of study
6 professional degree programs (J.D., LL.M., M.D., M.D.), Ph.D., S.J.D.)

Degrees 2014-15 8,080
Bachelor’s 5,320
Doctorates 372
Law (J.D., LL.M.) 187
Pharm.D. 95
Medicine 92

Total Student Enrollment – 31,624
18,826 Undergraduate at Main Campus
4,581 Undergraduate at Regional Campuses
23,407 Subtotal Undergraduate
6,945 Graduate (M.A./Ph.D., incl. 321 at UConn Health)
505 Law
203 Pharm.D.
306 Medicine
168 Dental Medicine
8,217 Subtotal Graduate/Professional

Entering Freshmen at Main Campus – 3,774
- 50% were in top 10% of high school class
- 84% were in top 25% of high school class
- 68 valedictorians and 76 salutatorians
- 261% more minority freshmen than in Fall 1995

Since 1995: 2,043 valedictorians and salutatorians enrolled at all campuses

Student Characteristics

<table>
<thead>
<tr>
<th>Undergraduate</th>
<th>Grad/Professional</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female</td>
<td>50%</td>
</tr>
<tr>
<td>Minority</td>
<td>30%</td>
</tr>
<tr>
<td>International</td>
<td>5%</td>
</tr>
<tr>
<td>Connecticut Residents</td>
<td>77%</td>
</tr>
</tbody>
</table>

1 111 countries were represented in the Fall 2015 international student population.
2 79% of undergraduates on UConn main campus are Connecticut residents.
All 165 Connecticut towns and 40 of 50 states are represented in the Fall 2015 total undergraduate student population.

SAT Scores and Retention & Graduation Rates

2015 SAT Scores (Critical Reading and Math)

<table>
<thead>
<tr>
<th>National High School</th>
<th>Connecticut High School</th>
<th>Main Campus Entering Freshmen</th>
</tr>
</thead>
<tbody>
<tr>
<td>1006</td>
<td>1010</td>
<td>1233</td>
</tr>
</tbody>
</table>

Main Campus
Freshmen Retention:
- 1-Year Rate: 92%
- 2-Year Rate: 90%

Graduation:
- 4-Year Rate: 70%
- 6-Year Rate: 74%

All
Minority
- 1-Year Rate: 92%
- 4-Year Rate: 61%

Total Undergraduate Student Cost – 2015-2016

In-State
- Tuition: $25,538
- Fees: $47,080

Out-of-State
- Tuition: $34,908
- Fees: $32,066

1 70% of Main Campus undergraduates live in campus housing (111 residential halls).
2 Board are shown reflects most popular plan available.

Student Financial Aid – Fiscal Year 2015

Financial Aid Support: $457 million

Main Campus/Regional

Scholarships & Grants $168.2 million
Loans $186.5 million
Student Employment $22.1 million
Tuition Waivers $58.0 million

UCONN Health

Research $5.6 million

38.7% of all nation’s dollars are dedicated to financial aid. Approximately 21,800 students received financial aid packaged in FY 2015.

UCONN ranks among the Top 25 public universities in the nation
- U.S. News & World Report America’s Best Colleges (2016)

UNIVERSITY OF CONNECTICUT
2016 Fact Sheet

BUDGET – Fiscal Year 2016
Total Current Funds Budget: $2.3 billion

MAIN & REGIONAL CAMPUSES
Revenues In Millions
State Appropriation $243.1
Fringe Benefits 153.5
Student Tuition & Fees 653.8
Gifts, Grants & Contracts 188.4
Sales/Services - Auxiliary Enterprises 36.7
Sales/Services - Educational 18.4
Investment Income 9.7
Total 1,254.6

Expenditures
Academic Services 597.4
Research Services 86.6
Student Services 427.1
Operating, Support & Physical Plant Services 181.3
Total 1,292.4

UCONN HEALTH
Revenues In Millions
State Appropriation $137.3
Fringe Benefits 95.9
Student Tuition & Fees 22.6
Gifts, Grants & Contracts 78.7
Interns & Residents 64.6
Net Patient Care 445.8
Correctional Managed Care 92.4
All Other Revenues 49.7
Total 987.0

Expenses
Hospital & Health Services $458.7
Academic Services 180.3
Research Services 120.9
Operating, Support & Physical Plant Services 243.0
Total $1,002.9

ALUMNI and GIVING
UConn Alumni
- Nearly 242,000 total alumni worldwide.
- More than 132,000 alumni live in Connecticut.

Private Giving Fiscal Year 2015
- In FY 2015 private donations to the University totaled $78 million. Of that amount, $16.3 million was donated for student support, $5.2 million was donated for faculty support, $9.6 million was donated for research, $27.5 million was donated for program support, and $19.4 million was donated for capital improvements.
- Alumni contributed $30.8 million in FY 2015. Parents and other individuals donated $26 million.
- Funds made available to support the University in FY 2015 totaled $37.4 million.
- The University endowment portfolio gained 2% for FY 2015, gaining in all quarters and was valued at approximately $383 million at fiscal year-end.

*Corporations and organizations contributed $21.2 million.

RESEARCH, TRAINING and PUBLIC SERVICE
Fiscal Year 2015 external funding, sponsored awards:
$216.5 million (excluding financial aid):
Main & Regional Campuses: $146.9 million (68%)
UConn Health: $69.6 million (32%)

Total by Funding Source
Federal: 75.6% State: 13.6% Private/Other: 10.8%

Sponsored Awards at Main & Regional Campuses
Research 82%
Education and Training Programs 3%
Public Service 15%

Sponsored Awards at UConn Health
Research 70%
Education and Training Programs 1%
Public Service 29%
Lawrence D. McHugh  
Chairman, University of Connecticut Board of Trustees

Lawrence D. McHugh was appointed by Governor M. Jodi Rell in 2009 as chairman of the University of Connecticut Board of Trustees, and was reappointed by Governor Dannel P. Malloy in 2011 to a six-year term.

Mr. McHugh has served as president of the Middlesex County Chamber of Commerce since 1983. In that role, his accomplishments include boosting the chamber’s membership from 282 to 2,450 members, which makes it Connecticut’s largest chamber of commerce. The chamber has received numerous state and national awards under his leadership.

From 1975 to 1983, Mr. McHugh was executive director of the M-X Development Corp., the fundraising office of Mercy and Xavier high schools. For 21 years, he worked as a high school teacher and football coach, and he received numerous honors on both the state and national level.

From 1983 to 2009, he was on the board of trustees for the Connecticut State University System, being named chairman in 1995. He was appointed to the board by four governors; O’Neill, Weicker, Rowland, and Rell.

He currently serves on the Connecticut Employment and Training Commission and the Connecticut Commission on the Arts, Tourism, Culture, History and Film, and has played an active role in a wide variety of other corporate, civic, and athletics organizations as well.

Mr. McHugh graduated from Southern Connecticut State College in 1962. He is married with five children and five grandchildren.
Dr. Susan Herbst  
*President, University of Connecticut*

Susan Herbst was appointed as the 15th president of the University of Connecticut by its Board of Trustees in December of 2010, and arrived on campus in June of 2011. She is the first female president of the university, which was founded in 1881.

Since that time, she has led multiple initiatives to strengthen teaching, research, and service at the university. Chief among them is her four-year plan to hire 300 new tenured or tenure-track faculty members at UConn – above and beyond filling vacancies – to significantly enhance course offerings and the university’s research capability.

President Herbst also has led the implementation of two recent major state investments in UConn: *Next Generation Connecticut*, a more than $1.5 billion endeavor that will expand educational opportunities, research, and innovation in the science, technology, engineering, and math (STEM) disciplines at UConn over the next decade, as well as add new faculty in the humanities; and *Bioscience Connecticut*, an $864 million initiative that is revitalizing the UConn Health enterprise, expanding enrollment in the medical and dental classes, building new business incubators, creating centers of excellence with neighboring institutions, and more.

One of President Herbst’s other priorities is dramatically increasing the level of philanthropic giving to UConn through the UConn Foundation. Along with Joshua Newton, who began as president of the UConn Foundation in 2013, she has set the goal of eventually raising at least $100 million in new gifts per year, with a long-term goal of reaching an endowment value of $1 billion.

Prior to her appointment at UConn, President Herbst served as executive vice chancellor and chief academic officer of the University System of Georgia, where she led 15 university presidents and oversaw the academic missions for all 35 public universities in Georgia. Before arriving in Georgia, she was provost and executive vice president at the University at Albany (SUNY) and also served as officer in charge of the university from 2006 to 2007 upon the death of Kermit L. Hall. She previously served as the dean of the College of Liberal Arts at Temple University.

President Herbst spent 14 years at Northwestern University, joining the faculty in 1989 and serving until her departure to Temple in 2003. At Northwestern she held a variety of positions including professor of political science and chair of the department.

She is a scholar of public opinion, media, and American politics, and is author of four books and many articles in these areas, most recently *Rude Democracy: Civility and Incivility in American Politics* (2010). Along with Benjamin Page, Lawrence Jacobs, and Adam Berinsky, she edits the University of Chicago Press series in American Politics. She serves on the board of directors of the American Council on Education.

Born in New York City and raised in Peekskill, New York, President Herbst received her B.A. in political science from Duke University in 1984, and her Ph.D. in communication theory and research from the University of Southern California’s Annenberg School for Communication in 1989.
David Benedict
Director of Athletics, University of Connecticut

David Benedict is in his first year as the director of athletics at the University of Connecticut, beginning his duties in March of 2016. He brings to UConn a national reputation in athletic administration focused on student-athlete success in competition and in the classroom, long-range strategic planning, donor development and fundraising, and sound fiscal management.

Prior to joining the UConn staff, Mr. Benedict served as the chief operating officer for the athletics department at Auburn University for two years. He previously served as deputy athletic director at Minnesota (2012-2014) and in leadership positions at Virginia Commonwealth (2010-2012), Long Beach State (2007-2010), and Arizona State (1996-2006).

Mr. Benedict directed all the day-to-day operations of the Auburn athletic department, with particular emphasis in operational planning, resource allocation, budget development, and strong financial management. He led the department in developing strategic long-range plans for a more than $120 million budget, facilities, staffing, and accomplishing strategic goals.

He coordinated a five-year strategic plan for Auburn athletics, which featured initiatives for strategic priorities and goals. He also directed a team of staff members and coaches in creating a facility master plan and the initiation of a game-day master plan.

Mr. Benedict led a feasibility study to make renovations to Auburn’s Jordan-Hare Stadium that initiated a $150 to $180 million project. He negotiated a unique nine-year extension with Under Armour that included both product, cash, and $10 million worth of stock, and led a search for a multi-media rights partner that looked to more than double Auburn’s current average guarantee. He also provided ongoing support for the administration of the Auburn football program and was the men’s basketball sport administrator.

At Minnesota, Mr. Benedict held a similar position, as he identified areas to increase external support and provided stewardship for sponsors and major donors. He worked with the University of Minnesota Foundation to create the largest athletics campaign in school history, and he directed a number of contracts and relationships that helped increase the Gophers’ revenue intake.

Mr. Benedict was the executive associate athletic director at VCU during his time there, and also served as interim athletic director for several months. At VCU, he increased annual giving, ticket sales, and sponsorship revenues each year. While serving as interim AD, he led the school’s transition from the Colonial Athletic Association to the Atlantic 10 Conference.

In his role at Long Beach, Mr. Benedict administrated all external areas of the department and restructured the entire fundraising process. He also was the baseball sports administrator. At Arizona State, he was the associate athletic director for development and streamlined all areas of external relations.

A native of Tempe, AZ, Mr. Benedict is a 1995 graduate of Southern Utah, where he was a linebacker on the football team. He earned a master’s degree from New Mexico Highlands in 1996, where he also served as a graduate assistant football coach.

Mr. Benedict and his wife, the former Lisa Zeis, have 13-year old twin boys – Jake and Sam. Lisa was a four-time gymnastics All-American and two-time NCAA champion at Arizona State.
Rachel Rubin  
*Chief of Staff to the President, University of Connecticut*  
*Executive Secretary to the University of Connecticut Board of Trustees*

As executive secretary to the University of Connecticut Board of Trustees, Rachel Rubin is responsible for facilitation, coordination, and management of policy matters, governance, and communications pertaining to the board, the president, and executive officers of the university.

She works closely with the board and its committee chairs to manage and coordinate the activities of the board and ensure the board conducts its business as efficiently and effectively as possible. She is responsible for all Board communications and the confidentiality of board matters. She provides advice and resources to the Board on matters related to governance issues, requirements pursuant to state law and assists members in fulfilling their fiduciary duties.

As chief of staff, Ms. Rubin works with the president on all initiatives, represents the president at meetings and events with donors, government officials, and other constituencies, coordinates the activities of her senior administrative team, and oversees the day-to-day operations of the president’s office.

In late January of 2016, she was appointed interim director of athletics, serving until David Benedict assumed those duties in March of 2016.

Ms. Rubin previously served as the university’s director of compliance, responsible for establishing programs for promoting, developing, monitoring, and staff training regarding legal and ethical standards to ensure the university’s compliance with numerous federal and state requirements. She joined the university in 2002 in the division of athletics as associate athletic director for ethics and regulatory affairs.

In 2004, Ms. Rubin was Governor M. Jodi Rell’s first appointment and served as special counsel for ethics compliance for the State of Connecticut’s executive branch. As special counsel, her duties included advising the governor on public integrity issues and serving as a resource to the executive branch, the staff of the Office of the Governor, and all executive branch agency heads on ethics laws and guidelines.

Ms. Rubin served as managing director and commission counsel for the Connecticut State Ethics Commission from 1988 until 2000. She then served as a legal counsel in government affairs for ING – North America, before joining the staff of the University of Connecticut.

Ms. Rubin holds a B.S. in business from the University of Connecticut, and a J.D. from Suffolk University Law School in Boston, MA.
Richard Orr  
*Vice President and General Counsel, University of Connecticut*

Richard Orr is the vice president and general counsel for the University of Connecticut. As chief legal officer, he is responsible for providing strategic legal advice and coordinating the delivery of legal services in all areas of law affecting the university. He joined the university in 2011 when President Herbst appointed him as her executive officer. He became UConn’s first general counsel in 2012.

Mr. Orr came to UConn from a regional architecture and engineering firm where he served as vice president and general counsel. Prior to that, he served as senior counsel to Connecticut Speaker of the House Thomas Ritter.

His private legal experience includes positions with the Washington, D.C., firm of Arnold & Porter and the Connecticut firm of Tyler Cooper & Alcorn. His public service legal experience includes the U.S. Department of Justice, where he prosecuted public corruption cases, the U.S. Attorney’s office in Washington, D.C., and serving as a law clerk to U.S. District Court Judge (now U.S. Court of Appeals Judge) Jon O. Newman.

Mr. Orr was appointed by the governor to the board of the Connecticut Housing Finance Authority and by the majority leader to the Commission on Judicial Compensation. He is a board member and past chair of the board of Connecticut Legal Services. He serves on the board of the UConn Health Center Finance Corporation and on the advisory council of CT-N television. He is a Life Fellow of the Connecticut Bar Foundation.

Mr. Orr is a cum laude graduate of NYU Law School, where he was an editor of the *New York University Law Review* and a member of the Order of the Coif academic honorary society.
## Big 12 Conference Benchmarking Data

### Undergraduate Enrollment

<table>
<thead>
<tr>
<th>University</th>
<th>Baylor</th>
<th>Iowa State</th>
<th>Kansas</th>
<th>Kansas State</th>
<th>Oklahoma</th>
<th>TCU</th>
<th>Texas</th>
<th>Texas Tech</th>
<th>West Virginia</th>
<th>Average</th>
<th>UConn</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enrollment</td>
<td>13,577</td>
<td>27,199</td>
<td>16,995</td>
<td>17,956</td>
<td>17,711</td>
<td>18,121</td>
<td>8,326</td>
<td>36,072</td>
<td>25,531</td>
<td>20,863</td>
<td>20,235</td>
<td>17,524</td>
</tr>
</tbody>
</table>

### Acceptance Rate

<table>
<thead>
<tr>
<th></th>
<th>55%</th>
<th>87%</th>
<th>91%</th>
<th>69%</th>
<th>81%</th>
<th>75%</th>
<th>49%</th>
<th>40%</th>
<th>66%</th>
<th>86%</th>
<th>70%</th>
<th>50%</th>
</tr>
</thead>
</table>

### Mileage from UConn

| | 1795 | 1265 | 1392 | 1470 | 1624 | 1572 | 1725 | 1896 | 1965 | 524 | 1,522 |

### Number of Sports

| | 19 | 18 | 19 | 16 | 21 | 18 | 21 | 20 | 17 | 17 | 19 | 24 |

### Number of Student-Athletes

| | 549 | 496 | 435 | 494 | 591 | 496 | 456 | 563 | 423 | 593 | 501 | 649 |

### Federal Grad Rates (All-Students)

| | 72% | 69% | 60% | 59% | 67% | 67% | 76% | 81% | 59% | 57% | 66% | 81% |

### Graduation Success Rate

| | 88% | 80% | 84% | 84% | 71% | 88% | 85% | 79% | 82% | 82% | 85% | T-3 |

### Football Expenses

| | $28,433,715.00 | $15,420,583.00 | $271,845.00 | $467,841.00 | $473,623.00 | $372,264.00 | Not Available | 3.8M | 2.8M | 2.7M | 1.9M | T-3 |

### Football Ranking 2015

| | 13 | 92 | 124 | 77 | 4 | 16 | 8 | 70 | 51 | 45 | 50 | 81 |

### Head Coach Salary *

| | 4.2M | 2.2M | 801K | 3M | 5.4M | 3.7M | 3.9M | 5.1M | 3.1M | 2.9M | 3.4M | 1.7M |

### Staff Salary Pool *

| | 980K | 2.2M | 2.2M | 3M | 3.8M | 2.9M | Not Available | 3.9M | 2.3M | 2.8M | 2.7M | 1.9M |

### 2015 NFL Active Rosters

| | 8 | 5 | 7 | 8 | 30 | 12 | 12 | 27 | 7 | 17 | 13.3 | 17 |

### M. Basketball Expenses

| | $8,194,470.00 | $5,595,257.00 | $3,817,855.00 | $3,347,122.00 | $5,807,901.00 | $2,881,529.00 | $3,921,334.00 | $5,519,671.00 | $3,263,633.00 | $4,360,159.00 | $4,314,151.00 | $6,658,516.00 |

### M. Basketball 2015-16 Final RPI

| | 27 | 20 | 1 | 89 | 6 | 180 | 181 | 34 | 50 | 11 | 60 | 33 |

### Head Coach Salary *

| | 2.5M | 1.5M | 4.8M | 1.9M | 2.9M | 2.8M | 3.1M * | 2.8M | 1.8M | 3.3M | 2.7M | 3.1M |

### W. Basketball Expenses

| | $6,630,054.00 | $3,592,257.00 | $3,817,855.00 | $3,347,122.00 | $5,807,901.00 | $2,881,529.00 | $3,921,334.00 | $5,519,671.00 | $3,263,633.00 | $4,360,159.00 | $4,314,151.00 | $6,658,516.00 |

### W. Basketball 2015-16 Final RPI

| | 2 | 136 | 222 | 48 | 32 | 30 | 109 | 7 | 141 | 22 | 75 | 3 |

### Baseball Expenses

| | Not Available | Not Sponsored | 2.4M | 2.8M | 3.1M | 2.1M | Not Available | 4.0M | 4.0M | 1.9M | 2.9M | 1.5M |

### Baseball 2016 Final RPI

| | 113 | Not Sponsored | 199 | 126 | 67 | 21 | 6 | 128 | 14 | 54 | 81 | 48 |

### Head Coach Salary **

| | Not Available | Not Sponsored | $271,845.00 | $467,841.00 | $473,623.00 | $372,264.00 | Not Available | $1,390,000.00 | $379,458.00 | $352,378.00 | $529,630.00 | $205,394.00 |

### Overall Operating Expenses

| | $106,078,643.00 | $85,858,801.00 | $103,326,170.00 | $66,449,920.00 | $124,732,244.00 | $80,196,450.00 | $122,608,562.00 | $152,853,239.00 | $54,245,380.00 | $87,265,473.00 | $93,141,498.20 | $72,036,456.00 |

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* Salary Data from USA Today Survey

** Salary Data from Win AD