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Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

OMB No 1545-0052

2009

Department of the Treasury
Internal Revenue Service

Note: The foundation may be able to use a copy of this return to satisfy state reporting requirements

For calendar year 2009, or tax year beginning , 2009, and ending

G Check all that apply ☐ Initial return ☐ Initial Return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name changeUse the
IRS label
Otherwise,
print
or type
See Specific
InstructionsThe Jain Foundation, Inc.
14 Island Drive
Rye, NY 10580

A Employer identification number

20-0284800

B Telephone number (see the instructions)

(425) 882-1492

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐H Check type of organization ☐ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☒ Other taxable private foundationI Fair market value of all assets at end of year
(from Part II, column (c), line 16)

\$ 10,040,413.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) _____

(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and

Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see the instructions).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

AUG 23 2010

SCANNED SEP 08 2010

REVENUE

- 1 Contributions, gifts, grants, etc., received (att sch) 149,975.
- 2 ☒ if the foundn is not req to att Sch B
- 3 Interest on savings and temporary cash investments 992. 992.
- 4 Dividends and interest from securities 430. 430.
- 5a Gross rents
- b Net rental income or (loss)
- 6a Net gain/(loss) from sale of assets not on line 10 1,543,536.
- b Gross sales price for all assets on line 6a 1,543,755.
- 7 Capital gain net income (from Part IV, line 2) 1,543,536.
- 8 Net short-term capital gain
- 9 Income modifications
- 10a Gross sales less returns and allowances
- b Less Cost of goods sold
- c Gross profit/(loss) (att sch)
- 11 Other income (attach schedule)

12 Total. Add lines 1 through 11

1,694,933.

1,544,958.

1,422.

ADMINISTRATIVE AND EXPENSES

- 13 Compensation of officers, directors, trustees, etc 180,000.
- 14 Other employee salaries and wages 180,417.
- 15 Pension plans, employee benefits 24,777.
- 16a Legal fees (attach schedule) See St 1 9,982.
- b Accounting fees (attach sch) See St 2 4,100.
- c Other prof fees (attach sch) See St 3 60,699.
- 17 Interest
- 18 Taxes (attach schedule)(see instr) See Stm 4 -500.
- 19 Depreciation (attach sch) and depletion
- 20 Occupancy 34,764.
- 21 Travel, conferences, and meetings 159,928.
- 22 Printing and publications
- 23 Other expenses (attach schedule) See Statement 5 35,019.

24 Total operating and administrative expenses. Add lines 13 through 23

689,186.

687,989.

25 Contributions, gifts, grants paid Part XV

2,454,739.

2,454,739.

26 Total expenses and disbursements. Add lines 24 and 25

3,143,925.

0.

0.

3,142,728.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

-1,448,992.

b Net investment income (if negative, enter 0)

1,544,958.

c Adjusted net income (if negative, enter 0-)

1,422.

IA

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end of year amounts only (See instructions)

| | | Beginning of year | End of year | |
|---|---|-------------------|----------------|-----------------------|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| A S S E T S | 1 Cash — non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 1,622,223. | 182,414. | 182,413. |
| | 3 Accounts receivable | | | |
| | Less: allowance for doubtful accounts | | | |
| | 4 Pledges receivable | | | |
| | Less: allowance for doubtful accounts | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the instructions) | | | |
| | 7 Other notes and loans receivable (attach sch.) | | | |
| | Less: allowance for doubtful accounts | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | 3,372. | |
| | 10a Investments — U.S. and state government obligations (attach schedule) | | | |
| | b Investments — corporate stock (attach schedule) Statement 6 | 11,212,250. | 9,610,500. | 9,858,000. |
| | c Investments — corporate bonds (attach schedule) | | | |
| | 11 Investments — land, buildings, and equipment basis | | | |
| L I A B I L I T I E S | Less: accumulated depreciation (attach schedule) | | | |
| | 12 Investments — mortgage loans | | | |
| | 13 Investments — other (attach schedule) | | | |
| | 14 Land, buildings, and equipment basis | | | |
| | Less: accumulated depreciation (attach schedule) | | | |
| | 15 Other assets (describe) | | | |
| | 16 Total assets (to be completed by all filers — see instructions. Also, see page 1, item I) | 12,834,473. | 9,796,286. | 10,040,413. |
| | 17 Accounts payable and accrued expenses | 30,898. | 43,234. | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| N E T A S S E T S O R F U N D B A L A N C E S | 20 Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe) | | | |
| | 23 Total liabilities (add lines 17 through 22) | 30,898. | 43,234. | |
| | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/> | | | |
| | 24 Unrestricted | 12,803,575. | 9,753,052. | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/> | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 28 Paid-in or capital surplus, or land, building, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 Total net assets or fund balances (see the instructions) | 12,803,575. | 9,753,052. | |
| | 31 Total liabilities and net assets/fund balances (see the instructions) | 12,834,473. | 9,796,286. | |

Part III Analysis of Changes in Net Assets or Fund Balances

| | | |
|--|---|-------------|
| 1 Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 12,803,575. |
| 2 Enter amount from Part I, line 27a | 2 | -1,448,992. |
| 3 Other increases not included in line 2 (itemize) | 3 | |
| 4 Add lines 1, 2, and 3 | 4 | 11,354,583. |
| 5 Decreases not included in line 2 (itemize) See Statement 7 | 5 | 1,601,531. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30 | 6 | 9,753,052. |

Part IV Capital Gains and Losses for Tax on Investment Income

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company) | | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month, day, year) | (d) Date sold (month, day, year) |
|--|--|--|---|-------------------------------------|
| 1a 500 Berkshire Hathaway Incl Del B | | P | 8/08/06 | 7/31/09 |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a 1,543,755. | | 219. | 1,543,536. |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h)) |
|---|--------------------------------------|---|---|
| (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | |
| a | | | 1,543,536. |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| | | | | |
|---|--|--|---|------------|
| 2 | Capital gain net income or (net capital loss) | <div><div>If gain, also enter in Part I, line 7</div><div>If (loss), enter -0- in Part I, line 7</div></div> | 2 | 1,543,536. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): | | | |
| | If gain, also enter in Part I, line 8, column (c) (see the instructions). If (loss), enter -0- in Part I, line 8 | | 3 | 0. |

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes☒ No

If 'Yes,' the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (column (b) divided by column (c)) |
|--|---------------------------------------|--|--|
| 2008 | 2,102,194. | 16,818,122. | 0.124996 |
| 2007 | 1,794,375. | 17,375,400. | 0.103271 |
| 2006 | 584,706. | 16,985,230. | 0.034424 |
| 2005 | 75,737. | 463,755. | 0.163313 |
| 2004 | | | |

| | | |
|---|---|-------------|
| 2 Total of line 1, column (d) | 2 | 0.426004 |
| 3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years. | 3 | 0.106501 |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5 | 4 | 10,783,042. |
| 5 Multiply line 4 by line 3 | 5 | 1,148,405. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 15,450. |
| 7 Add lines 5 and 6 | 7 | 1,163,855. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 3,142,728. |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 -- see the instructions)

| | | | |
|---|----|---------|---------|
| 1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary - see instr.) | | 1 | 15,450. |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b | | | |
| c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (b) | | | |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 2 | 0. |
| 3 Add lines 1 and 2 | | 3 | 15,450. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 4 | 0. |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | | 5 | 15,450. |
| 6 Credits/Payments | | | |
| a 2009 estimated tax pmts and 2008 overpayment credited to 2009 | 6a | 14,209. | |
| b Exempt foreign organizations -- tax withheld at source | 6b | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c | | |
| d Backup withholding erroneously withheld | 6d | | |
| 7 Total credits and payments. Add lines 6a through 6d | 7 | 14,209. | |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached | 8 | | |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | 9 | 1,241. | |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | | |
| 11 Enter the amount of line 10 to be Credited to 2010 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/> | 11 | | |

Part VII-A Statements Regarding Activities

| | Yes | No |
|---|-----|-----|
| 1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | | X |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i> | | X |
| c Did the foundation file Form 1120-POL for this year? | | X |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0. | | |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0. | | |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities.</i> | | X |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i> | | X |
| 4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | | X |
| b If 'Yes,' has it filed a tax return on Form 990-T for this year? | | N/A |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T.</i> | | X |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | X | |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i> | X | |
| 8 a Enter the states to which the foundation reports or with which it is registered (see the instructions) <u>NY</u> | | |
| b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If 'No,' attach explanation</i> | X | |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i> | | X |
| 10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses.</i> | | X |

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Part VII-A Statements Regarding Activities Continued

| | | | | |
|----|---|----|-----|-----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>https://www.jain-foundation.org/</u> | 13 | X | |
| 14 | The books are in care of <u>Plavi Mittal</u> Telephone no <u>(425) 882-1492</u> Located at <u>2310 130th Ave NE, Suite B101 Bellevue WA</u> ZIP + 4 <u>98005</u> | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> | | N/A | N/A |

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.

| | Yes | No |
|---|---|-----|
| 1a During the year did the foundation (either directly or indirectly): | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| (6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> | 1b | N/A |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009? | 1c | X |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)). | | |
| a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? If 'Yes,' list the years <u>20__ , 20__ , 20__ , 20__</u> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see the instructions.) | 2b | N/A |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <u>20__ , 20__ , 20__ , 20__</u> | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| b If 'Yes,' did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.) | 3b | N/A |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? | 4b | X |

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)

☒ Yes ☐ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is 'Yes' to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b X

Organizations relying on a current notice regarding disaster assistance check here

☐

c If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☒ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b X

If 'Yes' to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b N/A

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

| (a) Name and address | (b) Title and average hours per week devoted to position | (c) Compensation (if not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|--|---|---|---------------------------------------|
| See Statement 8 | | 180,000. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

2 Compensation of five highest-paid employees (other than those included on line 1— see instructions). If none, enter 'NONE.'

| (a) Name and address of each employee paid more than \$50,000 | (b) Title and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|--|------------------|---|---------------------------------------|
| D. Albrecht, PhD WA | Research Dire 40 | 74,250. | 0. | 0. |
| L. Rufibach, PhD WA | Research Dire 40 | 51,875. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

Total number of other employees paid over \$50,000

0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services – (see instructions). If none, enter 'NONE'.

| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
|--|---------------------|------------------|
| None | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| Total number of others receiving over \$50,000 for professional services | | 0 |

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

| | Expenses |
|--------------------|----------|
| 1 See Statement 9 | |
| | 183,201. |
| 2 See Statement 10 | |
| | 56,254. |
| 3 See Statement 11 | |
| | 51,263. |
| 4 | |

Part IX-B Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|--------|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions. | |
| 3 | |
| Total. Add lines 1 through 3 | 0. |

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Form 990-PF (2009)

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

| | | |
|--|----|-------------|
| 1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes | | |
| a Average monthly fair market value of securities | 1a | 10,174,630. |
| b Average of monthly cash balances | 1b | 772,621. |
| c Fair market value of all other assets (see instructions) | 1c | |
| d Total (add lines 1a, b, and c) | 1d | 10,947,251. |
| e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e | 0. |
| 2 Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 Subtract line 2 from line 1d | 3 | 10,947,251. |
| 4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions) | 4 | 164,209. |
| 5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 10,783,042. |
| 6 Minimum investment return. Enter 5% of line 5 | 6 | 539,152. |

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

| | | | |
|--|----|----------|----------|
| 1 Minimum investment return from Part X, line 6 | | 1 | 539,152. |
| 2a Tax on investment income for 2009 from Part VI, line 5 | 2a | 15,450. | |
| b Income tax for 2009. (This does not include the tax from Part VI.) | 2b | | |
| c Add lines 2a and 2b | 2c | 15,450. | |
| 3 Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 523,702. | |
| 4 Recoveries of amounts treated as qualifying distributions | 4 | | |
| 5 Add lines 3 and 4 | 5 | 523,702. | |
| 6 Deduction from distributable amount (see instructions) | 6 | | |
| 7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7 | 523,702. | |

Part XII Qualifying Distributions (see instructions)

| | | |
|--|----|------------|
| 1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes | | |
| a Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26 | 1a | 3,142,728. |
| b Program-related investments — total from Part IX-B | 1b | |
| 2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 Amounts set aside for specific charitable projects that satisfy the: | | |
| a Suitability test (prior IRS approval required) | 3a | |
| b Cash distribution test (attach the required schedule) | 3b | |
| 4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 3,142,728. |
| 5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | 15,450. |
| 6 Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 3,127,278. |

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2008 | (c) 2008 | (d) 2009 |
|--|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7 | | | | 523,702. |
| 2 Undistributed income, if any, as of the end of 2009: | | | | |
| a Enter amount for 2008 only | | | 0. | |
| b Total for prior years. 20__, 20__, 20__ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2009: | | | | |
| a From 2004 | | | | |
| b From 2005 | | | | |
| c From 2006 | | | | |
| d From 2007 | 790,915. | | | |
| e From 2008 | 1,281,403. | | | |
| f Total of lines 3a through e | 2,072,318. | | | |
| 4 Qualifying distributions for 2009 from Part XII, line 4. ► \$ 3,142,728. | | | | |
| a Applied to 2008, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required — see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required — see instructions) | 0. | | | |
| d Applied to 2009 distributable amount | | | | 523,702. |
| e Remaining amount distributed out of corpus | 2,619,026. | | | |
| 5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | 4,691,344. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount — see instructions | | 0. | | |
| e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount — see instructions | | | 0. | |
| f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see instructions) | 0. | | | |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a | 4,691,344. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2005 | | | | |
| b Excess from 2006 | | | | |
| c Excess from 2007 | 790,915. | | | |
| d Excess from 2008 | 1,281,403. | | | |
| e Excess from 2009 | 2,619,026. | | | |

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|--|--------------------------------------|-------------------------------------|------------|
| a Paid during the year See Statement 13 | | | | |
| Total | | | ▶ 3a | 2,454,739. |
| b Approved for future payment See Statement 14 | | | | |
| Total | | | ▶ 3b | 87,222. |

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

► Attach to Form 990, 990-EZ, or 990-PF

OMB No 1545-0047

2009

Name of the organization

The Jain Foundation, Inc.

Employer identification number

20-0284800

Organization type (check one)

Filers of:

Form 990 or 990-EZ

Section:

- ☐ 501(c)(____) (enter number) organization
☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
☐ 527 political organization

Form 990-PF

- ☐ 501(c)(3) exempt private foundation
☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
☒ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

General Rule —

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

Special Rules —

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33-1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ► \$ _____

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

BAA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

The Jain Foundation, Inc.

20-0284800

Part I Contributors (see instructions)

| (a) Number | (b) Name, address, and ZIP + 4 | (c) Aggregate contributions | (d) Type of contribution |
|---------------|--|-----------------------------------|--|
| 1 | Joshua Thayer ----- ----- Brookline, MA | \$ 19,975. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| 2 | Jerry Williams ----- ----- Fair Oaks, CA | \$ 30,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| 3 | Deen Day Sanders ----- ----- Norcross, GA 30092 | \$ 100,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| | ----- ----- ----- | \$ ----- | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| | ----- ----- ----- | \$ ----- | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| | ----- ----- ----- | \$ ----- | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |

Name of organization

Employer identification number

The Jain Foundation, Inc.

20-0284800

Part II Noncash Property (see instructions)

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---------------------------|--|--|----------------------|
| | N/A | | |
| | | | |
| | | | |
| | | \$ | |
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BAA

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

The Jain Foundation, Inc.

20-0284800

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

► \$ N/A

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---|--------------------|--|
| | N/A | | |
| | | | |
| | | | |
| | | | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee |
| | | | |
| | | | |
| | | | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee |
| | | | |
| | | | |
| | | | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee |
| | | | |
| | | | |
| | | | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee |
| | | | |
| | | | |
| | | | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee |
| | | | |
| | | | |
| | | | |

BAA

The Jain Foundation, Inc.

20-0284800

Statement 1
Form 990-PF, Part I, Line 16a
Legal Fees

| | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|-----------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| Brosnan & Hegler, LLP | \$ 8,285. | | | \$ 8,285. |
| Murthy Law Firm | 1,697. | | | |
| Total | <u>\$ 9,982.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> | <u>\$ 8,285.</u> |

Statement 2
Form 990-PF, Part I, Line 16b
Accounting Fees

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|-----------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| Pradeep Agarwal | \$ 4,100. | | | \$ 4,100. |
| Total | <u>\$ 4,100.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> | <u>\$ 4,100.</u> |

Statement 3
Form 990-PF, Part I, Line 16c
Other Professional Fees

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|-------------------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| Aruna Joglekar Conference Planner | \$ 4,454. | | | \$ 4,454. |
| B Williams PhD Research Consultant | 19,600. | | | 19,600. |
| E Hwang ConsultantPatient Relations | 17,557. | | | 17,557. |
| N Monnier PhD Research Consultant | 6,375. | | | 6,375. |
| R Vanapalli Research Consultant | 12,713. | | | 12,713. |
| Total | <u>\$ 60,699.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> | <u>\$ 60,699.</u> |

Statement 4
Form 990-PF, Part I, Line 18
Taxes

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|--------------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| Net Refund Estimated ExciseTax | \$ -500. | | | |
| Total | <u>\$ -500.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> | <u>\$ 0.</u> |

The Jain Foundation, Inc.

20-0284800

Statement 5
Form 990-PF, Part I, Line 23
Other Expenses

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|--------------------------------------|------------------------------|---------------------------------|-------------------------------|-------------------------------|
| Advertising | \$ 1,615. | | | \$ 1,615. |
| Bank Charge | 123. | | | 123. |
| Books & Periodicals | 251. | | | 251. |
| Custom Research Resources | 4,743. | | | 4,743. |
| HLB Visa filing fees | 2,570. | | | 2,570. |
| Insurance | 897. | | | 897. |
| NYS Charities Bureau Filing Fee | 750. | | | 750. |
| Office Equipment | 4,028. | | | 4,028. |
| Office Expenses | 6,132. | | | 6,132. |
| Scientific Network Sharing Resources | | | | |
| | 6,013. | | | 6,013. |
| Telephone & Internet | 7,647. | | | 7,647. |
| Website design | 250. | | | 250. |
| Total | \$ 35,019. | \$ 0. | \$ 0. | \$ 35,019. |

Statement 6
Form 990-PF, Part II, Line 10b
Investments - Corporate Stocks

| <u>Corporate Stocks</u> | <u>Valuation Method</u> | <u>Book Value</u> | <u>Fair Market Value</u> |
|-------------------------------------|-----------------------------|-----------------------|------------------------------|
| 3500 Shares Berkshire Hathaway Inc. | Cost | \$ 9,610,500. | \$ 9,858,000. |
| | Total | \$ 9,610,500. | \$ 9,858,000. |

Statement 7
Form 990-PF, Part III, Line 5
Other Decreases

| | | |
|---|-------|---------------|
| Adjust FMV vs. Cost basis of Contributed Property | Total | \$ 1,601,531. |
| | | \$ 1,601,531. |

Statement 8
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

| <u>Name and Address</u> | <u>Title and Average Hours Per Week Devoted</u> | <u>Compensation</u> | <u>Contri- bution to EBP & DC</u> | <u>Expense Account/ Other</u> |
|-------------------------|---|---------------------|---|---------------------------------------|
| Dr. Plavi Mittal | President | \$ 180,000. | \$ 0. | \$ 0. |
| Bellevue, WA | 50.00 | | | |

The Jain Foundation, Inc.

20-0284800

Statement 8 (continued)
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

| <u>Name and Address</u> | <u>Title and Average Hours Per Week Devoted</u> | <u>Compen- sation</u> | <u>Contri- bution to EBP & DC</u> | <u>Expense Account/ Other</u> |
|-------------------------------|---|---------------------------|---|---------------------------------------|
| Ajit Jain Rye, NY 10580 | Director 3.00 | \$ 0. | \$ 0. | \$ 0. |
| Indrima Jain Rye, NY 10580 | Director 1.00 | 0. | 0. | 0. |
| Akshay Jain New York, NY | Director 1.00 | 0. | 0. | 0. |
| Ajay Jain New York, NY | Director 1.00 | 0. | 0. | 0. |
| | | Total \$ 180,000. | \$ 0. | \$ 0. |

Statement 9
Form 990-PF, Part IX-A, Line 1
Summary of Direct Charitable Activities

| <u>Direct Charitable Activities</u> | <u>Expenses</u> |
|--|-----------------|
| Foundation Conference: The 3rd Annual Dysferlin Conference, held from June 2-5, 2009 in Boston, MA, USA, brought together leading scientists and clinicians to discuss recent progress towards understanding and developing a therapy for the dysferlinopathies, Limb Girdle Muscular Dystrophy 2B (LGMD2B) and Miyoshi Myopathy. These diseases involve progressive muscle wasting, typically beginning in the late teenage years, and are caused by mutations in the gene encoding dysferlin. Dysferlin is required for repair of muscle fiber membrane tears, but little is known about how this defect contributes to disease pathology or whether dysferlin is also involved in other cellular processes. The conference was sponsored and organized by the Jain Foundation, and participants included 37 invited speakers, 10 additional scientists and clinicians, 40 poster presenters, 5 dysferlinopathy patients, 3 representatives of other muscular dystrophy foundations, and 7 members of the Jain Foundation scientific team. Research was presented from 11 countries around the world. Prior to the start of the main conference, a satellite meeting on the design of a natural history study for dysferlinopathy came up with specific recommendations about issues specific to this disease, including the high clinical variability, small patient numbers, and slow disease progression. | \$ 183,201. |

The Jain Foundation, Inc.

20-0284800

Statement 10
Form 990-PF, Part IX-A, Line 2
Summary of Direct Charitable Activities

| Direct Charitable Activities | Expenses |
|--|-------------------|
| <p>Research Resources: One goal of the Jain Foundation is to promote cross-collaboration between scientists and labs along many different research lines. The foundation encourages labs to share ideas and collaborate in order to improve the quality of research results and reduce the costs and time of experiments. Two initiatives in this regard have been the establishment and maintenance of a Researcher Forum and the development of the Resources for Researchers, both of which are accessible on the foundation's website.</p> <p>The Researcher forum: This is a sounding board for scientific ideas and results specific to LGMD2B with other members of the scientific community. It forms bridges between scientists and acts as a catalyst to new and creative approaches and discussions on this rare disease. Additionally, the Foundation launched the Jain Foundation Resource Sharing Network on the Foundation's website in 2008. This network is a private community where scientists search for lab resources such as reagents, cell lines, animal models, protocols, facilities/equipment, and expertise developed by other scientists to facilitate research on dysferlin and LGMD2B/MM. This will further expedite the exchange of resources between the scientists.</p> <p>Resources for Researchers: The Foundation reviews and summarizes research from all over the world and makes these reviews available on the website as a database of specific and pertinent information. Having complex information and scientific results synthesized in an easy to navigate manner increases efficiency of all projects. The foundation is committed to developing and providing frequently required reagents, the unavailability of which slows down research. For example, four full length dysferlin cDNAs were designed and synthesized (through a company) by the foundation and are made available to researchers free of charge, upon direct request to the Jain Foundation.</p> <p>While the focus of its funded research is LGMD2B, the resulting scientific advances and collaborations will also have a broader impact on human health through their relevance to other conditions, including muscle disorders in general, degenerative diseases of tissues other than muscle, and normal aging. Examples include those on stem cell therapy, gene therapy, editing within DNA and RNA, repair of cellular injury, and interventional membrane biology. The foundation is very hands on in its approach to funding. We closely monitor progress of every project we fund (every month) and keep track of results and agreed upon timelines. Our goal is to fund all different but possible approaches to a cure.</p> | <p>\$ 56,254.</p> |

The Jain Foundation, Inc.

20-0284800

Statement 11
Form 990-PF, Part IX-A, Line 3
Summary of Direct Charitable Activities

| <u>Direct Charitable Activities</u> | <u>Expenses</u> |
|---|-----------------|
| Patient Identification and Registration: Given the relative rarity of this disease, one of the goals of the Foundation is to identify a worldwide LGMD2B patient population. The Foundation maintains a patient registry and facilitates patients' diagnosis to the genetic and molecular level, which will greatly accelerate the process of patient recruitment for clinical trials. The Foundation has also undertaken the task of educating neuromuscular physicians about LGMD2B by participating at relevant physician meetings and by targeted mailing of information about the disease. Finally we also keep abreast of any relevant clinical trials and their roadblocks and provide this information on our website. We hope in the future to aid in getting promising drug candidates to clinical trials faster. | \$ 51,263. |

Statement 12
Form 990-PF, Part XV, Line 2a-d
Application Submission Information

Name of Grant Program: Dr. Plavi Mittal
 Name:
 Care Of:
 Street Address:
 City, State, Zip Code:
 Telephone:
 Form and Content: See Foundation Website www.jain-foundation.org
 Submission Deadlines: There are no application deadlines
 Restrictions on Awards: The explicit goal of the Jain Foundation is to expedite development of a treatment or cure for LGMD2B/Miyoshi. Any proposed project that does not have application to this disease will not be considered.

Statement 13
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

| <u>Name and Address</u> | <u>Donee Relationship</u> | <u>Found- ation Status</u> | <u>Purpose of Grant</u> | <u>Amount</u> |
|--|---------------------------|------------------------------------|-----------------------------|---------------|
| Children Hospital Medical Center Cincinnati, OH | NONE | | Research Grant | \$ 70,000. |
| UCLA School of Medicine Los Angeles, CA | NONE | | Research Grant | 30,000. |
| NIAAA National Institutes of Health Rockville, MD | NONE | | Research Grant | 137,820. |

The Jain Foundation, Inc.

20-0284800

Statement 13 (continued)
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

| <u>Name and Address</u> | <u>Donee Relationship</u> | <u>Found- ation Status</u> | <u>Purpose of Grant</u> | <u>Amount</u> |
|--|-------------------------------|------------------------------------|-----------------------------|---------------|
| Stanford University Palo Alto, CA | NONE | | Research Grant | \$ 100,000. |
| University of Maryland-Baltimore Baltimore, MD | NONE | | Research Grant | 207,018. |
| Charité, University Medicine Berlin Berlin, Germany | NONE | | Research Grant | 66,000. |
| John Hopkins University Balitmore, MD | NONE | | Research Grant | 118,817. |
| University d' Evry Val d' Essonne Boulevard François Mitterrand Evry, 91025 France | NONE | | Research Grant | 94,384. |
| University of Durham Durham, United Kingdom | NONE | | Research Grant | 83,251. |
| NIAAA Bethesda, MD | NONE | | Research Grant | 161,353. |
| University of Sydney - Dr. Sandra Cooper Locked Bag 4001, Westmead Sydney, NSW, Westmead Australia | NONE | | Research Grant | 67,070. |
| University of Durham Durham, United Kingdom | NONE | | Research Grant | 93,980. |
| Institut de Myologie, Dr. Vincent Mouly 105 bd de l'Hôpital , Paris 75013 France | NONE | | Research Grant | 41,644. |
| Leiden University Medical Center Postal zone S-3-P, Postbus 9600 Leiden, 2300 Netherlands | NONE | | Research Grant | 93,900. |
| TRIM-medicine, Commercialization Center f 675 U.S. Highway 1 North Brunswick, NJ | NONE | | Research Grant | 198,000. |

The Jain Foundation, Inc.

20-0284800

Statement 13 (continued)
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

| <u>Name and Address</u> | <u>Donee Relationship</u> | <u>Found- ation Status</u> | <u>Purpose of Grant</u> | <u>Amount</u> |
|---|---------------------------|------------------------------------|-----------------------------|---------------|
| Charité, University Medicine Berlin Berlin, Germany | NONE | | Research Grant | \$ 62,000. |
| Leiden University Medical Center Postal zone S-3-P, Postbus 9600 Leiden, 2300 Netherlands | NONE | | Research Grant | 116,041. |
| Washington University School of Medicine St. Louis, MO 63110 | NONE | | Research Grant | 110,000. |
| Universita Degli Studi Di Milano Via F. Sforza 35 Milan, Italy | NONE | | Research Grant | 51,023. |
| Texas Tech University Health Sciences Lubbock, tx 79415 | NONE | | Research Grant | 83,125. |
| The University of Iowa Iowa City, IA 52240 | NONE | | Research Grant | 8,587. |
| University of Pennsylvania 3451 Walnut Street Philadelphia,, PA 19104 | NONE | | Research Grant | 56,922. |
| Children's National Medical Center 111 Michigan Avenue NW. Washington DC, 2001 | NONE | | Research Grant | 109,898. |
| University of Wisconsin-Madison 21 N. Park Street, Suite 6401 Madison, WI 53715 | NONE | | Research Grant | 90,000. |
| Palo Alto Institute for Research & Educat P.O. Box V-38 Palo Alto, CA 94304 | NONE | | Research Grant | 123,906. |
| The Ohio State University Research Found 1960 Kenny Road Columbus, OH 43210 | NONE | | Research Grant | 80,000. |

Total \$ 2,454,739.

The Jain Foundation, Inc.

20-0284800

Statement 14
Form 990-PF, Part XV, Line 3b
Recipient Approved for Future Payment

| <u>Name and Address</u> | <u>Donee Relationship</u> | <u>Found- ation Status</u> | <u>Purpose of Grant</u> | <u>Amount</u> |
|---|-------------------------------|------------------------------------|-----------------------------|-------------------|
| Généthon Evry, France | NONE | | Research Grant | \$ 13,542. |
| Unversite de la Mediterranee 58 boulevard Charles Livon Marseilles, 13284 France | NONE | | Research Grant | 23,680. |
| Univ. North Carolina at Chapel Hill 104 Airport Dr Chapel Hill, NC 27599 | NONE | | Research Grant | 50,000. |
| Total | | | | \$ <u>87,222.</u> |

990-PF Attachment

The Jain Foundation, Inc.
E.I.N. # 20-0284800
ATTACHMENT TO 2009 FORM 990-PF
RETURN OF PRIVATE FOUNDATION

STATEMENT REQUIRED BY REG. §53 4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Experimental and Clinical Research Center, Charité University Medicine, Berlin, Germany
(Simone Spuler)

(2) Date Paid in Current Tax Year: 4/27/2009

(3) Total Paid:

\$ 66,000.00

(4) Purpose of Grant: Observing membrane wounding and healing on a Molecular level. Atomic Force Microscopy

(5) Amount of Grant Spent by Grantee: \$46,907 77USD

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose

(7) Date of Report(s) Received from Grantee:

5/7/2009, 6/4/2009, 8/6/2009, 11/3/09, 11/9/2009, 1/11/2010

990-PF Attachment

The Jain Foundation, Inc.
E I.N. # 20-0284800
ATTACHMENT TO 2009 FORM 990-PF
RETURN OF PRIVATE FOUNDATION

STATEMENT REQUIRED BY REG §53 4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: University d' Evry Val d' Essonne, Located Boulevard François Mitterrand – 91025 Evry cedex – France (Isabelle Richard)

(2) Date Paid in Current Tax Year: 3/21/2008

(3) Total Paid:

\$ 33,731.33 paid on 03/31/2007
\$ 45,134.82 paid on 10/31/2007
\$ 114,352.23 paid on 3/21/2008
\$ 94,383.76 paid on 4/27/2009
\$ 287,602.14 Total

(4) Purpose of Grant: To explore AAV-mediated (Adeno Associated Virus) transfer of the dysferlin cDNA in muscle of mouse models. This project uses the latest strategies that have been described in the field of gene therapy to bypass the large size limitation of the dysferlin gene. The approach will be tested in vivo on dysferlin deficient mice. The reversal of the pathological signs will be analyzed by histology and using a functional assay for the efficiency of membrane repair.

(5) Amount of Grant Spent by Grantee: \$269,258.63 Total

(6) Diversion:

To the knowledge of the foundation, and based on the reports furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

02/02/2007, 03/09/2007, 03/30/2007, 05/04/2007, 06/01/2007, 08/13/2007, 09/05/2007,
10/12/2007, 11/05/2007, 12/11/2007, 2/12/2008, 4/7/2008, 9/15/2008, 1/26/2009, 1/30/2009, 3/11/2009,
4/16/2009, 6/4/2009, 8/13/2009, 9/4/2009, 11/2/2009, 2/19/2010

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The Jain Foundation, Inc.
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STATEMENT REQUIRED BY REG. §53.4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Rumaisa Bashir, PhD, School of Biological and Biomedical Sciences, University of Durham, Durham, DH1 3LE, UK

(2) Date Paid in Current Tax Year: 4/27/09

(3) Total Paid:

\$83,250.76

(4) Purpose of Grant:

Generation and characterization of dysferlin deficient and myoferlin deficient muscle cells which includes:

- Objective 1: Knockdown myoferlin expression in GREG cells and dysferlin in myoferlin +/- siRNA cells. Evaluate membrane repair, myogenic index, myoblast fusion, etc
- Objective 2. Evaluate the quality of the various commercially available dysferlin antibodies by WB, IF, and IHC
- Objective 3: Characterization of the RNA and protein expression of dysferlin, myoferlin, and FER1L5 in various dysferlin deficient muscle cells lines and tissues

(5) Amount of Grant Spent by Grantee:

\$49,435.05 (in 2009)

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

4/28/08, 6/16/08, 8/25/08, 12/2/08, 2/5/09, 3/16/09, 4/16/09, 6/5/09, 7/20/09, 8/17/09, 11/23/09, 1/19/10

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STATEMENT REQUIRED BY REG §53.4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee:

Dr. Sandra Cooper
Faculty of Medicine, University of Sydney
Neurogenetics Research Unit
Children's Hospital at Westmead
Locked Bag 4001, Westmead
Sydney, NSW 2145
Australia

(2) Date Paid in Current Tax Year: 3/6/09

(3) Total Paid:

\$67,070.35

(4) Purpose of Grant:

Identification of dysferlin domains mediating membrane repair – This project will use a ballistics-mediated membrane repair assay to assess restoration of membrane repair in dysferlin-deficient myotubes by a number of different dysferlin constructs.

(5) Amount of Grant Spent by Grantee:

\$39,526.19 (in 2009)

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

4/16/09, 6/3/09, 7/28/09, 10/6/09, 10/28/09, 10/30/09, 1/14/2010

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STATEMENT REQUIRED BY REG. §53.4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Rumaisa Bashir, PhD, School of Biological and Biomedical Sciences, University of Durham, Durham, DH1 3LE, UK

(2) Date Paid in Current Tax Year: 6/09/09

(3) Total Paid:

\$7000 00 – 2/13/08
\$9478.76 – 7/11/08
\$58942.30 – 10/20/08
\$93,979.95 – 6/09/09
\$169401.01 - Total

(4) Purpose of Grant:

Investigating the role of FLJ14213, RAMP, and TMEM16E in non-dysferlin Miyoshi Myopathy and membrane repair by examining expression of all three proteins in patient cells and RNAi transfected cells, determining if the loss of any of the three proteins is associated with the loss of membrane repair in C2C12 cells, and determining if patients link to the region have pathogenic mutations in any of the three genes.

(5) Amount of Grant Spent by Grantee:

\$131,516.15

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

4/28/08, 6/16/08, 8/25/08, 12/2/08, 2/5/09, 2/16/2009, 3/16/09, 4/15/09, 6/5/09, 8/17/09,
11/23/09, 1/19/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Dr. Vincent Mouly, UMR S 974, Institut de Myologie, 105 bd de l'Hôpital, Paris 75013 FRANCE

(2) Date Paid in Current Tax Year: 4/6/09

(3) Total Paid:

\$41,643.66

(4) Purpose of Grant:

Generating immortal cell lines from dysferlin patients

(5) Amount of Grant Spent by Grantee:

\$41,643 66 (in 2009)

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

1/13/09, 4/9/09, 6/3/09, 8/4/09, 11/3/09, 2/06/2010

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STATEMENT REQUIRED BY REG §53 4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Silvere van der Maarel, Ph.D., Leiden University Medical Center (LUMC),
Department of Human Genetics, Postal zone S-3-P, Postbus 9600, 2300 RC Leiden, The
Netherlands

(2) Date Paid in Current Tax Year: 10/15/09

(3) Total Paid:

\$93,900.11

(4) Purpose of Grant:

To understand the DYSF function at the molecular level by defining the DYSF protein complex and its dynamics in various cell types and developmental stages using the following 4 aims

Aim 1: Investigate the DYSF protein during myogenic fusion using the mouse IM2 cell line

Aim 2: Investigate whether the DYSF protein complex changes during membrane repair

Aims 3 and 4: Define the DYSF protein complex in various tissues and compare it to the complex found in muscle

(5) Amount of Grant Spent by Grantee:

\$14,242.81 (in 2009)

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

11/1/09, 1/26/2010

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STATEMENT REQUIRED BY REG. §53.4945-5(d)

INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Jianjie Ma, PhD, TRIM-edicine, Commercialization Center for Innovative Technology,
675 U.S. Highway 1, North Brunswick, New Jersey 08902, USA

(2) Date Paid in Current Tax Year: 10-12-2009

(3) Total Paid:

\$ 198,000.00 USD

(4) Purpose of Grant: Protein Therapeutics for Restoration of Membrane Integrity in Limb
Girdle Muscular Dystrophy

(5) Amount of Grant Spent by Grantee: \$63,719 00 USD

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has
been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:
10-22-2009, 2/2/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Experimental and Clinical Research Center, Charité University Medicine, Berlin, Germany (Simone Spuler)

(2) Date Paid in Current Tax Year: 5/11/2009

(3) Total Paid:

\$ 50,000.00 paid on 12/31/2007

\$ 83,649.90 paid on 5/13/2008

\$62,000.00 paid on 5/11/2009

\$ 195,649.90 Total

(4) Purpose of Grant: Preventing misfolding and aggregation of dysferlin in LGMD2B/MM by transcomplementation.

(5) Amount of Grant Spent by Grantee: \$188,848.07

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

2/22/2008, 3/5/2008, 4/11/2008, 5/12/2008, 8/5/2008, 9/8/2008, 2/5/2009, 3/6/2009, 5/7/2009, 6/4/2009, 8/6/2009, 11/3/2009, 11/9/2009, 1/11/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Silvere M van der Maarel, Ph D., Leiden Univesity Medical Center , Department of Human Genetics , Albinusdreef 2, 2333 ZA Leiden, Netherlands

(2) Date Paid in Current Tax Year: 7/15/2009

(3) Total Paid:

\$ 116,040.60 USD

(4) Purpose of Grant: Generation of a comprehensive set of dysferlin-specific affinity binders using llama immunizations and phage display

(5) Amount of Grant Spent by Grantee: \$50,483 18 USD

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

8/13/2009, 11/2/2009, 1/28/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee. Università Degli Studi di Milano, Dipartimento di Scienze Neurologiche, Via F. Sforza 35, Milano, Italy (Yvan Torrente)

(2) Date Paid in Current Tax Year. April 29, 2009

(3) Total Paid:

\$51,023.48_ Total

(4) Purpose of Grant. Use of exon-skipping in stem cells as a potential cell therapy for dysferlin deficiency.

(5) Amount of Grant Spent by Grantee: \$51,023.48

(6) Diversion:

To the knowledge of the foundation, and based on the reports furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

10/12/2007, 11/19/2007, 12/30/2007, 2/27/2008, 5/9/2008, 5/20/2008, 9/19/2008, 6/4/2009

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Département de Génétique Médicale, Laboratoire de Génétique Moléculaire, Hôpital d'enfants de la Timone, 13385 Marseille Cedex 05, France and Université de la Méditerranée, France (Nicolas Levy)

(2) Date Paid in Current Tax Year: none

(3) Total Paid: \$ 53825 52 - 03/31/2007

(4) Purpose of Grant: Funding laboratory services for the processing of dysferlin mutation analysis of 100 human blood specimens for LGMD2B/Miyoshi

(5) Amount of Grant Spent by Grantee: \$53,825 52 total

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose

(7) Date of Report(s) Received from Grantee:

6/22/2007, 8/12/2007, 9/5/2007, 11/14/2007, 12/21/2007, 1/31/08, 3/19/08, 8/5/08, 12/11/08, 1-29-09, 6/04/09, 10-5-09, 3/15/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Département de Génétique Médicale, Laboratoire de Génétique Moléculaire, Hôpital d'enfants de la Timone, 13385 Marseille Cedex 05, France and Université de la Méditerranée, France (Nicolas Levy)

(2) Date Paid in Current Tax Year: none

(3) Total Paid:
\$ 21,031.32 – 4/18/08

(4) Purpose of Grant: Pilot project to test the validity of using a combination of genomic sequence-capture arrays and CGH arrays for exhaustive and rapid mutational analysis of the dysferlin gene

(5) Amount of Grant Spent by Grantee: \$18,058 63 total

(6) Diversion:
To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose

(7) Date of Report(s) Received from Grantee:

6/16/08, 7-16-08, 8-5-08, 9-23-08, 12-11-08, 1-29-09, 6/04/09, 10-5-09, 3/15/2010

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INFORMATION WITH RESPECT TO EXPENDITURE RESPONSIBILITY GRANTS

(1) Grantee: Département de Génétique Médicale, Laboratoire de Génétique Moléculaire, Hôpital d'enfants de la Timone, 13385 Marseille Cedex 05, France and Université de la Méditerranée, France (Nicolas Levy)

(2) Date Paid in Current Tax Year: none

(3) Total Paid: \$ 30778 37 - 01/31/2007

(4) Purpose of Grant: Functional explorations towards understanding the precise function of normal and mutated dysferlin and testing in vitro/in vivo differential and targeted therapeutic approaches to correct dysferlin deficiencies

(5) Amount of Grant Spent by Grantee: \$27,546.36 total

(6) Diversion:

To the knowledge of the foundation, and based on the report furnished by the grantee, no part has been used for other than its intended purpose.

(7) Date of Report(s) Received from Grantee:

02/16/2007, 10/12/2007, 11/12/2007, 12/11/2007, 2/28/08, 6-16-08, 9-23-08, 12-11-08, 1-29-09, 6/04/09, 10-5-09, 3/15/2010