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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545 0052

2009

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 change

AS AMENDED

Use the IRS label Otherwise, print or type See Specific Instructions

The Anna and John J. Sie Foundation
3300 East First Avenue #390
Denver, CO 80206

A Employer identification number: 83-6058353

B Telephone number (see the instructions): 303-468-6060

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 foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16) ► $ 49,358,131.

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)
REVENUE	1 Contributions, gifts, grants, etc, received (att sch)	1,000.			
	2 Ck ► ☒ if the foundn is not req to att Sch B				
	3 Interest on savings and temporary cash investments	64,727.	64,727.	N/A	
	4 Dividends and interest from securities	514,270.	514,270.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10	-1,596,540.			
	b Gross sales price for all assets on line 6a 6,138,423.				
	7 Capital gain net income (from Part IV, line 2)		0.		
	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) See Statement 1	-35,762.	-35,762.		
	12 **Total.** Add lines 1 through 11	-1,052,305.	543,235.		
OPERATING AND ADMINISTRATIVE EXPENSES	13 Compensation of officers, directors, trustees, etc	124,311.			124,311.
	14 Other employee salaries and wages	148,060.			148,060.
	15 Pension plans, employee benefits	58,658.			58,658.
	16a Legal fees (attach schedule) See St 2	31,888.	875.		31,013.
	b Accounting fees (attach sch) See St 3	22,032.	22,032.		
	c Other prof fees (attach sch) See St 4	95,000.	95,000.		
	17 Interest	838.			838.
	18 Taxes (attach schedule)(see instr) See Stm 5	29,362.	10,000.		19,362.
	19 Depreciation (attach sch) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings	13,736.			13,736.
	22 Printing and publications				
	23 Other expenses (attach schedule) See Statement 6	-53,250.	72,129.		-125,379.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	470,635.	200,036.		270,599.
	25 Contributions, gifts, grants paid Part XV	3,514,255.			3,514,255.
	26 **Total expenses and disbursements.** Add lines 24 and 25	3,984,890.	200,036.		3,784,854.
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	-5,037,195.			
	b Net investment income (if negative, enter 0)		343,199.		
	c Adjusted net income (if negative, enter 0-)				

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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
ASSETS	1 Cash — non-interest-bearing			
	2 Savings and temporary cash investments	3,953,399.	6,035,787.	6,035,787.
	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			
	10a Investments — U.S and state government obligations (attach schedule) Statement 7	1,078,318.	947,543.	1,003,152.
	b Investments — corporate stock (attach schedule)			
	c Investments — corporate bonds (attach schedule)			
	11 Investments — land, buildings, and equipment basis ►			
	Less: accumulated depreciation (attach schedule) ►			
	12 Investments — mortgage loans			
	13 Investments — other (attach schedule) Statement 8	48,702,105.	41,712,297.	42,318,192.
	14 Land, buildings, and equipment. basis ►			
	Less accumulated depreciation (attach schedule) ►			
	15 Other assets (describe ► See Statement 9)		1,000.	1,000.
	16 **Total assets** (to be completed by all filers — see instructions. Also, see page 1, item I)	53,733,822.	48,696,627.	49,358,131.
LIABILITIES	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	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)	0.	0.	
NET ASSETS OR FUND BALANCES	**Foundations that follow SFAS 117, check here ► [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted	53,733,822.	48,696,627.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ► [ ] and complete lines 27 through 31.			
	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)	53,733,822.	48,696,627.	
	31 **Total liabilities and net assets/fund balances** (see the instructions)	53,733,822.	48,696,627.	

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	53,733,822.
2	Enter amount from Part I, line 27a	2	-5,037,195.
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	48,696,627.
5	Decreases not included in line 2 (itemize) ►	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	48,696,627.

Part IV Capital Gains and Losses for Tax on Investment Income AS AMENDED

(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 See Statement 10			
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				
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			
b			
c			
d			
e			

2	Capital gain net income or (net capital loss) — If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7	2	-1,596,540.
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	-1,211,842.

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	4,009,879.	53,651,838.	0.074739
2007	3,034,106.	60,547,761.	0.050111
2006	3,921,524.	57,546,850.	0.068145
2005	1,251,996.	55,495,693.	0.022560
2004	636,712.	52,696,500.	0.012083

2	**Total** of line 1, column (d)	2	0.227638
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	0.045528
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	44,978,082.
5	Multiply line 4 by line 3	5	2,047,762.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,432.
7	Add lines 5 and 6	7	2,051,194.
8	Enter qualifying distributions from Part XII, line 4	8	3,784,854.

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)

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1a	Exempt operating foundations described in section 4940(d)(2), check here ► ☐ and enter 'N/A' on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary - see instr.)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► ☒ and enter 1% of Part I, line 27b	1	3,432.
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	3,432.
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	3,432.
6	Credits/Payments.		
a	2009 estimated tax pmts and 2008 overpayment credited to 2009 — 6a: 24,130.		
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 See Statement 11	7	5,609.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ 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	0.
10	**Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** See Statement 12 ►	10	2,177.
11	Enter the amount of line 10 to be **Credited to 2010 estimated tax** ► 0. **Refunded** ►	11	2,177.

Part VII-A Statements Regarding Activities

			Yes	No
1a	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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?	1b		X
	*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.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation ► $ 0. (2) On foundation managers ► $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If 'Yes,' attach a detailed description of the activities*	2		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? *If 'Yes,' attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4b		N/A
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If 'Yes,' attach the statement required by General Instruction T.*	5		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?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If 'Yes,' complete Part II, column (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see the instructions) ► CO			
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? If 'No,' attach explanation*	8b	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)? *If 'Yes,' complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses*	10		X

Part VII-A Statements Regarding Activities *Continued* AS AMENDED

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?	13	X	

Website address ► N/A

14 The books are in care of ► John J. Sie Telephone no. ► 303-468-6060

Located at ► 3300 East 1st Ave., Ste. 390, Denver, CO ZIP + 4 ► 80206

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** — Check here ► ☐ N/A

and enter the amount of tax-exempt interest received or accrued during the year ► 15 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?	☐ Yes	☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes	☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes	☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes	☐ 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)?	☐ Yes	☒ 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)	☐ Yes	☒ 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)?			1b	X
Organizations relying on a current notice regarding disaster assistance check here ► ☐				
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?	☐ Yes	☒ No		
If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ .				
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.				
► 20__ , 20__ , 20__ , 20__ .				
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes	☒ 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

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

AS AMENDED

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
Anna M. Sie 21 Sandy Lake Road Cherry Hills Village, CO 80113	Trustee 0	0.	0.	0.
John J. Sie 21 Sandy Lake Raod Cherry Hills Village, CO 80113	Trustee 30.00	12,000.	24,021.	0.
Michelle S. Whitten 930 South Columbine Street Denver, CO 80210	Executive Di 40.00	112,311.	15,621.	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
None				

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.'** AS AMENDED

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
Monticello Associates 1200 17th Street #2600 Denver, CO 80202	Investment advisor	75,000.

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 N/A	
2	
3	
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.

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

AS AMENDED

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	40,354,567.
b	Average of monthly cash balances		1b	5,308,460.
c	Fair market value of all other assets (see instructions)		1c	
d	**Total** (add lines 1a, b, and c)		1d	45,663,027.
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	45,663,027.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)		4	684,945.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	44,978,082.
6	**Minimum investment return.** Enter 5% of line 5		6	2,248,904.

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	2,248,904.
2a	Tax on investment income for 2009 from Part VI, line 5	2a 3,432.		
b	Income tax for 2009 (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	3,432.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	2,245,472.
4	Recoveries of amounts treated as qualifying distributions		4	
5	Add lines 3 and 4		5	2,245,472.
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	2,245,472.

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	3,784,854.
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	3,784,854.
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	3,432.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4		6	3,781,422.

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)

AS AMENDED

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				2,245,472.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			513,260.	
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				
e From 2008				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4 ► $ 3,784,854.				
a Applied to 2008, but not more than line 2a			513,260.	
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				2,245,472.
e Remaining amount distributed out of corpus	1,026,122.			
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	1,026,122.			
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	1,026,122.			
10 Analysis of line 9				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	1,026,122.			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) N/A

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling ▶ AS AMENDED

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or 4942(j)(5)

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year (a) 2009	Prior 3 years (b) 2008	(c) 2007	(d) 2006	(e) Total
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a 'Assets' alternative test — enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c 'Support' alternative test — enter.					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the organization had $5,000 or more in assets at any time during the year — see instructions.)

1 **Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than $5,000). (See section 507(d)(2))

John J. Sie

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

None

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc, Programs:**

Check here ▶ [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc, (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed

b The form in which applications should be submitted and information and materials they should include

c Any submission deadlines.

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

Part XV Supplementary Information (continued)

3. Grants and Contributions Paid During the Year or Approved for Future Payment

AS AMENDED

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 B attached		Public		3,514,255.
Total			► 3a	3,514,255.
b *Approved for future payment*				
Total			► 3b	

Part XVI-A Analysis of Income-Producing Activities

AS AMENDED

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	(e) Related or exempt function income (see the instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	64,727.	
4 Dividends and interest from securities			14	514,270.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	-1,596,540.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a Income K-1 Fortress Crdt			14	-10,232.	
b Income K-1 Highclere			14	-4,641.	
c Income K-1 Newport Asia			14	-14,461.	
d Income K-1 WTC-CTF Resear			14	-6,428.	
e					
12 Subtotal. Add columns (b), (d), and (e)				-1,053,305.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	-1,053,305.

(See worksheet in the instructions for line 13 to verify calculations.)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See the instructions)
N/A	

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

AS AMENDED

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of.		
	(1) Cash	1a (1)		X
	(2) Other assets	1a (2)		X
b	Other transactions		
	(1) Sales of assets to a noncharitable exempt organization	1b (1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b (2)		X
	(3) Rental of facilities, equipment, or other assets	1b (3)		X
	(4) Reimbursement arrangements	1b (4)		X
	(5) Loans or loan guarantees	1b (5)		X
	(6) Performance of services or membership or fundraising solicitations	1b (6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is 'Yes,' complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
N/A			

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If 'Yes,' complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

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

SIGN HERE

► Signature of officer or trustee — Date 9/13/11 — ► Trustee Title

Paid Preparer's Use Only				
Preparer's signature ►		Date 8/17/11	Check if self employed ► ☐	Preparer's Identifying number (See Signature in the instrs) N/A
Firm's name (or yours if self employed), address, and ZIP code ►	John J. Curran, P.C. 600 S. Cherry St., Ste. 835 Denver, CO 80246		EIN ► N/A	
			Phone no ►	(303) 377-0007

Amended Form 1041

Explanation of Changes AS AMENDED

In connection with the preparation of the accounting for the preparation of Form 990-PF for 2010, it was discovered that some ordinary income and capital gains earned by, but not received from, a Passive Foreign Investment Company (PFIC)was inadvertently reported as income on the return, as originally filed. It was discovered that distributions received from other Passive Foreign Investment Companies, which should have been reported as sales, was also inadvertently omitted from the return as originally filed. It was also discovered that in kind donations of occupancy and services provided to another non profit entity was inadvertently omitted from the return as originally filed.

The net effect of these amendments is to reduce the Excise tax and increase the total overpayment by $2,177. Since the overpayment of $18,521,as originally reported, has been credited to 2010 estimated tax, this amended return requests a refund of the additional overpayment in the amount of $2,177. Additional schedules explaining the required changes are attached.

The Anna and John J. Sie Foundation **83-6058353**
2009 Amended 990-PF
Explanation of changes

G \Client Data\ClientData\2011\JJC\4451\[Amended 2009 explanation xls]Sheet1

Part I Analysis of Revenues & Expenses		Column (a) Revenue & Expense per books Original Amount	Net change	Corrected Amount	Column (b) Net investment Income Original Amount	Net change	Corrected Amount
Line 1 Contributions		1,000		1,000	-		-
Line 3 Interest income		64,727		64,727	64,727		64,727
Line 4 Dividend income		514,270		514,270	514,270		514,270
Line 6a-Net gain (loss) from sale of assets	a	(2,529,988)	933,448	(1,596,540)	-		-
Line 11 Other Income	b	181,902	(217,664)	(35,762)	181,902	(217,664)	(35,762)
Line 12 Total		(1,768,089)	715,784	(1,052,305)	760,899	(217,664)	543,235
Line 26 Total expenses and disbursements		(3,984,890)		(3,984,890)	(200,036)		(200,036)
Line 27a Excess of revenue over expenses and disbursements		(5,752,979)	715,784	(5,037,195)			
Line 27b Net investment income					560,863	(217,664)	343,199
Line 6b-Gross sales price	c	3,050,428	3,087,995	6,138,423	-		-

		Column (a) Revenue & Expense per books Original Amount	Net change	Corrected Amount	Column (c) Disbursements for charitable purposes Original Amount	Net change	Corrected Amount
Line 23 Other Expenses (See Statement 6)	d	154,817	(208,067)	(53,250)	82,688	(208,067)	(125,379)
Line 25 Contributions, gifts, grants paid Part XV	d	3,306,188	208,067	3,514,255	3,306,188	208,067	3,514,255

a - Net loss from sale of assets changed for the following reasons:

Net gain from cash distributed from PFIC Eton Park Overseas Fund LTD	216,771
Net gain from cash distributed from PFIC Convexity Capital Offshore LP	610,577
No cash distribution from PFIC ICAP Offshore Absolute Return Fund II Ltd	(11,746)
Correct tax basis on liquidation of Tosca Fund Ltd	117,846
	933,448

b-Other income changed for the following reasons:

No cash distribution from PFIC ICAP Offshore Absolute Return Fund II Ltd	(99,818)	(99,818)
Correct tax basis on liquidation of Tosca Fund Ltd	(117,846)	(117,846)
	(217,664)	(217,664)

AS AMENDED

The Anna and John J. Sie Foundation **83-6058353**
2009 Amended 990-PF
Explanation of changes
G \Client Data\ClientData\2011\JJC\4451\[Amended 2009 explanation xls]Sheet1

	Column (a) Revenue & Expense per books			Column (b) Net investment Income		
	Original Amount	Net change	Corrected Amount	Original Amount	Net change	Corrected Amount

c-Gross sales price changed for the following reasons:

Report cash distributed from PFIC Eton Park Overseas Fund LTD	830,605
Report cash distributed from PFIC Convexity Capital Offshore LP	2,270,141
Correct reporting of PFIC Tosca Fund Ltd	(1,005)
No cash distribution from PFIC ICAP Offshore Absolute Return Fund II Ltd	(11,746)
	3,087,995

	Column (a) Revenue & Expense per books			Column (c) Disbursements for charitable purposes		
	Original Amount	Net change	Corrected Amount	Original Amount	Net change	Corrected Amount

d-Other expenses and Contributions, etc. changed for the following reason:

In-kind contributions of occupancy costs and services to the Global Down Syndrome Foundation were omitted from the return as originally filed Proper reporting reduced other expenses and increased Contributions, gifts, grants paid	208,067	208,067

		Column (b) End of Year Book Value		
Part II Balance Sheet		Original Amount	Net change	Corrected Amount
Line 2 Savings		6,035,787	-	6,035,787
Line 10a Investments US		947,543	-	947,543
Line 13-Investments other	e	40,996,513	715,784	41,712,297
Line 15 Other Assets		1,000	-	1,000
Line 16 Total Assets		47,980,843	715,784	48,696,627
Line 24 Unrestricted Fund Balance		47,980,843	715,784	48,696,627

e - Investments (other) changed for the following reasons:

Reporting cash distributed from PFIC Eton Park Overseas Fund LTD as sale	216,771
Reporting cash distributed from PFIC Convexity Capital Offshore LP as sale	610,577
No cash distribution from PFIC ICAP Offshore Absolute Return Fund II Ltd	(111,564)
	715,784

Part IV Capital Gains and Losses - see explanation for Part I line 6a

AS AMENDED

The Anna and John J. Sie Foundation **83-6058353**
2009 Amended 990-PF
Explanation of changes

G \Client Data\ClientData\2011\JJC\4451\[Amended 2009 explanation xls]Sheet1

Part VI Excise Tax Based on Investment Income		Original Amount	Net change	Corrected Amount
Line 1b - 1% of Part I line 27B	f	5,609	(2,177)	3,432
Line 3 Add lines 1 and 2		5,609	(2,177)	3,432
Line 5 Tax based on investment income		5,609	(2,177)	3,432
Line 6a 2008 overpayment credited to 2009		24,130	-	24,130
Line 7 Total credits and payments		24,130	-	24,130
Line 10 Overpayment		18,521	2,177	20,698
Line 11 Amount to be credited to 2010		18,521	-	18,521
Line 11 Refund		-	2,177	2,177

f - 1 % Excise tax changed because net investment income decreased by $217,664.
See explanation for changes to Part I

AS AMENDED

Statement 1
Form 990-PF, Part I, Line 11
Other Income

AS AMENDED

	(a) Revenue per Books	(b) Net Investment Income	(c) Adjusted Net Income
Income K-1 Fortress Crdt	$ -10,232.	$ -10,232.	
Income K-1 Highclere	-4,641.	-4,641.	
Income K-1 Newport Asia	-14,461.	-14,461.	
Income K-1 WTC-CTF Resear	-6,428.	-6,428.	
Total	$ -35,762.	$ -35,762.	$ 0.

Statement 2
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Atlass Professional Corp.	$ 1,750.	$ 875.		$ 875.
Brownstein Hyatt & Farber	30,138.			30,138.
Total	$ 31,888.	$ 875.		$ 31,013.

Statement 3
Form 990-PF, Part I, Line 16b
Accounting Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
John Curran, P.C. - CPA	$ 22,032.	$ 22,032.		
Total	$ 22,032.	$ 22,032.		$ 0.

Statement 4
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
Monticello Associates-Investment Advisor	$ 75,000.	$ 75,000.		
Paul Comstock Co. - Investment Advisor	20,000.	20,000.		
Total	$ 95,000.	$ 95,000.		$ 0.

Statement 5
Form 990-PF, Part I, Line 18
Taxes

AS AMENDED

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Excise tax paid on investment income	$ 10,000.	$ 10,000.		
Payroll taxes	19,362.			$ 19,362.
Total	$ 29,362.	$ 10,000.		$ 19,362.

Statement 6
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Auto expense	$ 1,581.			$ 1,581.
Continuing education	225.			225.
Contract labor	44,010.			44,010.
Dues and subscriptions	484.			484.
Inkind donation of occupancy & services	-208,067.			-208,067.
Investment fees	72,129.	$ 72,129.		
Meals	4,912.			4,912.
Miscellaneous	175.			175.
Office supplies	9,737.			9,737.
Payroll processing fee	2,580.			2,580.
Postage	1,435.			1,435.
Special Event Expenses	7,201.			7,201.
Telephone	9,887.			9,887.
Workers Comp	461.			461.
Total	$ -53,250.	$ 72,129.		$ -125,379.

Statement 7
Form 990-PF, Part II, Line 10a
Investments - U.S. and State Government Obligations

U.S. Government Obligations	Valuation Method	Book Value	Fair Market Value
Mellon Bond Account	Cost	$ 947,543.	$ 1,003,152.
		$ 947,543.	$ 1,003,152.
	Total	$ 947,543.	$ 1,003,152.

Statement 8
Form 990-PF, Part II, Line 13
Investments - Other

AS AMENDED

Other Investments	Valuation Method	Book Value	Fair Market Value
Convexity Capital Offshore LP	Cost	$ 3,319,129.	$ 5,520,396.
Indus Structured Finance	Cost	1,451,099.	1,045,920.
Sowood Alpha Fund	Cost	155,630.	51,451.
ICAP Offshore Absolute Return	Cost	2,029,200.	2,405,790.
CTF Wellington Equity Research	Cost	8,743,340.	7,879,279.
Dodge & Cox Funds Intl	Cost	7,052,060.	5,681,343.
Palo Alta Small Cap Fund	Cost	1,500,000.	1,028,283.
Newport Asia Institutional	Cost	1,078,934.	1,378,912.
Eton Park Overseas Fund	Cost	1,386,166.	1,957,354.
Longleaf Partners Fds	Cost	1,770,221.	1,300,548.
Highclere Investment Fund	Cost	964,771.	1,024,119.
Camcap Energy Offshore Fund	Cost	2,500,000.	2,646,605.
Tosca Fund Ltd	Cost	4,010.	4,010.
Viking Global Equities	Cost	2,000,000.	2,907,178.
Highside Offshore Ltd	Cost	2,000,000.	1,552,410.
Maverick Fund LDC	Cost	2,000,000.	1,798,289.
Highfields Capital	Cost	2,000,000.	2,032,279.
Tudor Global Emerging Markets Fund LP	Cost	194,430.	194,430.
Fortress Credit Opportunities fund	Cost	1,563,307.	1,909,596.
	Total	$ 41,712,297.	$ 42,318,192.

Statement 9
Form 990-PF, Part II, Line 15
Other Assets

	Book Value	Fair Market Value
Public Service Videos	$ 1,000.	$ 1,000.
Total	$ 1,000.	$ 1,000.

Statement 10
Form 990-PF, Part IV, Line 1
Capital Gains and Losses for Tax on Investment Income

Item	(a) Description	(b) How Acquired	(c) Date Acquired	(d) Date Sold
1	Flow through entity -WTC-CTF Research	Purchased	Various	Various
2	Flow through entity -WTC-CTF Research	Purchased	Various	Various
3	Flow through entity - Newport Asia	Purchased	Various	Various
4	Flow through entity-Newport Asia	Purchased	Various	Various
5	Flow through entity-Highclere Internatl	Purchased	Various	Various
6	Flow through entity-Highclere Internatl	Purchased	Various	Various
7	Tosca Fund Ltd	Purchased	7/31/2007	12/31/2009
8	Statement A	Purchased	Various	Various
9	Statement A	Purchased	Various	Various
10	Tudor Global Emerging Mkts Fd	Purchased	3/31/2008	12/31/2009
11	Flow through entity -WTC-CTF Research	Purchased	12/31/2009	12/31/2009

Statement 10 (continued)
Form 990-PF, Part IV, Line 1
Capital Gains and Losses for Tax on Investment Income

AS AMENDED

Item	(a) Description	(b) How Acquired	(c) Date Acquired	(d) Date Sold
12	Partial liquidation-Eton Park PFIC	Purchased	11/30/2006	2/13/2009
13	Partial liquidation-Convexity PFIC	Purchased	2/28/2006	3/31/2009
14	Capital Gain Dividends			

Item	(e) Gross Sales	(f) Deprec. Allowed	(g) Cost Basis	(h) Gain (Loss)	(i) FMV 12/31/69	(j) Adj. Bas. 12/31/69	(k) Excess (i)-(j)	(l) Gain (Loss)
1	33,190.		0.	33,190.				$ 33,190.
2	0.		1114629.	-1114629.				-1114629.
3	0.		128.	-128.				-128.
4	0.		9,054.	-9,054.				-9,054.
5	0.		4,370.	-4,370.				-4,370.
6	0.		63,002.	-63,002.				-63,002.
7	860,234.		2020360.	-1160126.				-1160126.
8	57,852.		55,581.	2,271.				2,271.
9	138,321.		145,760.	-7,439.				-7,439.
10	1943960.		2000000.	-56,040.				-56,040.
11	0.		48,681.	-48,681.				-48,681.
12	830,605.		613,834.	216,771.				216,771.
13	2270141.		1659564.	610,577.				610,577.
14								4,120.
							Total	$-1596540.

Statement 11
Form 990-PF, Part VI, Line 7
Total Credits and Payments

Tax Credits and Payments	$ 24,130.
Original Return Overpayment	-18,521.
Total	$ 5,609.

Statement 12
Form 990-PF, Part VI, Line 10
Overpayment

Overpayment	$ 2,177.
Total	$ 2,177.

The Anna and John J. Sie Foundation 83-6058353

AS AMENDED

Other Income Producing Activities
Interest on savings & cash investments

Chase Bank	$	1,540.
Dreyfus-Mellon #3000		8.
Dreyfus-Mellon #3008		47,726.
WTC-CTF Research Equity		3,455.
Newport Asia Institutional Fund		153.
The Highclere International Investors		3.
Fortress Credit		11,842.
Total	$	64,727.

Other Income Producing Activities
Dividends/interest from securities.

Dreyfus - Mellon #3000	$	23,013.
Dreyfus - Mellon #3008		1,456.
Dodge & Cox - Mellon 3016		76,703.
WTC-CTF Research Equity		141,159.
Newport Asia Institutional Fund		32,042.
The Highclere International Investors		25,910.
Fortress Credit		213,987.
Total	$	514,270.

The Anna and John J Sie Foundation
83-6058353 Year 2009
Form 990PF, Part IV
Capital Gain and Losses for Tax on Investment Income
G \Client Data\ClientData\2010\JJC\4451\2009 accounting & tax return\[Lot Level Dispositions 2009 xls]Schedule D support

	(a) Description		(b) How Acquired	(c)Date Acquired	(d)Date Sold	(e) Gross Sales	(g) Cost Basis	(h) Gain (loss)
Short Term								
5,000.0000	U S TREASURY NOTE	2 375% 08/31/2010 DD 08/31/08	Purchased	8/29/2008	1/6/2009	5,141 78	5,000 34	141 44
5,000 0000	U S TREASURY NOTE	3 875% 05/15/2018 DD 05/15/08	Purchased	5/22/2008	1/13/2009	5,690.61	4,977 53	713.08
69 8000	US TREAS-CPI INFLAT	0 625% 04/15/2013 DD 04/15/08	Purchased	1/6/2009	1/15/2009	69.80	66 54	3.26
10,000.0000	U S TREASURY NOTE	4.000% 08/15/2018 DD 08/15/08	Purchased	8/29/2008	1/30/2009	10,995.27	10,156 41	838 86
10,000 0000	FEDERAL HOME LN BKS CONS BD	5.375% 08/15/2018 DD 08/13/03	Purchased	9/26/2008	2/23/2009	10,894.60	10,259.59	635.01
53 2500	US TREAS-CPI INFLAT	0.625% 04/15/2013 DD 04/15/08	Purchased	1/6/2009	2/27/2009	53 25	50 83	2 42
6 4000	US TREAS-CPI INFLAT	0 625% 04/15/2013 DD 04/15/08	Purchased	10/15/2008	4/15/2009	6 40	6 40	-
25,000 0000	FEDERAL NATL MTG ASSN MTN	4 000% 08/18/2011 DD 08/18/08	Purchased	9/29/2008	8/18/2009	25,000.00	25,062.45	(62.45)
					Total short term	57,851.71	55,580 09	2,271 62
Long Term								
335 1000	US TREAS-CPI INFLAT	2 375% 01/15/2017 DD 01/15/07	Purchased	5/1/2007	1/15/2009	335 10	339 91	(4.81)
607.8000	US TREAS-CPI INFLAT	2 375% 01/15/2017 DD 01/15/07	Purchased	5/1/2007	1/15/2009	607 80	616 53	(8.73)
25,000 0000	CATERPILLAR FINL MTN #TR00789	5 050% 12/01/2010 DD 12/05/05	Purchased	5/2/2006	1/29/2009	25,860 50	24,810 59	1,049 91
20,000 0000	SBC COMMN INC GLOBAL NT	5 875% 08/15/2012 DD 08/19/02	Purchased	3/23/2006	1/30/2009	20,954.60	20,132 55	822 05
10,000 0000	U S TREASURY NOTE	4 500% 05/15/2017 DD 05/15/07	Purchased	7/31/2007	1/30/2009	11,272 23	9,804.21	1,468 02
20,000.0000	COUNTRYWIDE MTN #TR 00173	6 250% 04/15/2009 DD 04/13/99	Purchased	8/14/2007	4/15/2009	20,000.00	20,000.00	-
5,000 0000	CIT GROUP INC NEW SR NT	PLAN OF REORGANIZATION	Purchased	3/20/2007	5/7/2009	3,425 00	5,002.48	(1,577.48)
5,000.0000	CIT GROUP INC NEW SR NT	PLAN OF REORGANIZATION	Purchased	3/20/2007	5/7/2009	3,425 00	5,002 18	(1,577 18)
10,000.0000	CIT GROUP INC NEW SR NT	PLAN OF REORGANIZATION	Purchased	3/20/2007	5/29/2009	6,900 00	10,004 28	(3,104 28)
15,000.0000	CIT GROUP INC NEW SR NT	PLAN OF REORGANIZATION	Purchased	3/20/2007	5/29/2009	10,500 00	15,006.46	(4,506 46)
35,000.0000	COUNTRYWIDE HOME LNS INC MTN	5 625% 07/15/2009 DD 07/22/02	Purchased	8/8/2007	7/15/2009	35,000.00	35,000 00	-
40 5000	US TREAS-CPI INFLAT	2.375% 01/15/2017 DD 01/15/07	Purchased	5/1/2007	7/15/2009	40.50	41 05	(0.55)
					Total long term	138,320 73	145,760 24	(7,439.51)
					TOTAL	196,172 44	201,340 33	(5,167.89)

AS AMENDED

The Anna & John J. Sie Foundation
83-6058353 Year 2009
Form 990PF, Part XV, Line 3
Recipient Paid During the Year
G \Client Data\ClientData\2010\JJC\4451\2009 accounting & tax return\[2009 AJSF Donations xls]Tax return schedule

AS AMENDED

Name and address	Donee Relationship	Foundation Status	Purpose of Grant	Amount
Adams Camp, 6767 S. Spruce Street, Suite 102, Centennial, CO 80112	N/A	Public	Sponsorship and scholarship support for camp for children with special needs	5,000
Adams 12 Five Star Schools, 1500 E 128th Ave, Thornton, CO 80241	N/A	Public	Support the Chinese Language Program at Hulstrom Options K-8	5,000
Arthritis Foundation, Rocky Mountain Chapter, 2280 South Albion Street, Denver, CO 80222	N/A	Public	Improve lives through leadership in the prevention, control and cure of arthritis and related diseases.	5,000
Asian Pacific Development Center, 1825 Your Street, Denver, CO 80206	N/A	Public	To support the needs of Asian American and Pacific Islander (AA/PI) residents throughout Colorado	1,000
Beacon Center (Cherish the Children Gala), 333 West Hampden Ave., Suite 305, Englewood CO 80110	N/A	Public	To give troubled adolescents the tools needed to become happy, healthy, productive adults.	9,050
Cherry Creek Schools Foundation, 4700 South Yosemite, #130, Greenwood Village, CO 80111	N/A	Public	Support the Chinese Language Program at Grand View High School	5,000
Children's Diabetes Foundation, 777 Grant Street #302, Denver, CO 80203	N/A	Public	To support research in childhood diabetes and to provide the best possible clinical and educational programs for children with diabetes	3,750
Children's Hospital Foundation, 13123 E 16th Ave, Box 045, Aurora, CO 80045	N/A	Public	Sponsor the 2009 Gala benefiting pediatric health care	10,000
Children's Hospital Foundation, 13123 E 16th Ave, Box 045, Aurora, CO 80045	N/A	Public	Sponsor Little Hearts Luncheon benefiting pediatric health care	9,750
Children's Hospital Foundation, 13123 E 16th Ave, Box 045, Aurora, CO 80045	N/A	Public	Sponsor 2009 Feast and 5K benefiting pediatric health care	10,000
Chinese-American Engineers & Scientists Association of Southern California (CESASC), 5474 West 76th Street, Los Angeles, CA 90045	N/A	Public	Endowment for perpetual scholarship to students of Chinese descent to continue their American College education	5,000
Cincinnati Children's Hospital Medical, 3333 Burnet Avenue, Cincinnati, Ohio 45229-3039	N/A	Public	Sponsor Sample, Savor & Support benefiting pediatric health care	3,000
Colorado Conservation Trust, 1551 Ogden Street, Denver, CO 80218	N/A	Public	Support facilitating solutions for Colorado land and water conservaiton	9,520
Colorado Dragon Boad Festival, 11049 West 44th Ave #110, Wheat Ridge CO 80033	N/A	Public	Supporting Asian American Pacific Islander cultural events in the Rocky Mountain Region	500
Denver Academy, 4400 East Iliff Avenue, Denver, CO 80222	N/A	Public	Support the 2009 Reach for the Stars Gala to assist future generations of children with learning differences who will need financial aid to attend the school.	5,000
Denver Art Museum, 100 West 14th Avenue Parkway, Denver, CO 80204	N/A	Public	Collectors' Choice event to commission an outdoor sculpture by Joe Shapiro	4,800

The Anna & John J Sie Foundation
83-6058353 Year: 2009
Form 990PF, Part XV, Line 3
Recipient Paid During the Year
G:\Client Data\ClientData\2010\JJC\4451\2009 accounting & tax return\[2009 AJSF Donations.xls]Tax return schedule

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Denver Art Museum, 100 West 14th Avenue Parkway, Denver, CO 80204	N/A	Public	Support DAM Uncorked to help the museum acquire, care for, and exhibit world-class works of art and build programs that benefit the community	8,645
Denver Art Museum, 100 West 14th Avenue Parkway, Denver, CO 80204	N/A	Public	Third payment of $500,000 pledge. To develop and present exhibits and educational offerings	100,000
Denver Film Society, 900 Auraria Parkway, Denver, CO 80204	N/A	Public	Support the Starz Denver Film Festival, dedicated to the celebration and cultivation of film as art	15,144
Denver Options, Inc., 9900 East Iliff Ave, Denver, CO 80231	N/A	Public	Responding to the needs of individuals with developmental and intellectual disabilities, especially when no other agency in Denver can respond	5,000
Denver Public Schools Foundation, 900 Grant Street #503, Denver, CO 80203	N/A	Public	Support for the Chinese Language Programs to benefit students for Denver Public Schools	5,000
Denver Scholarship Foundation, 303 E 17th Ave, #200, Denver, CO 80203	N/A	Public	Supporting scholarships to help Denver Public Schools students get into, pay for and graduate from college	8,625
Denver School of Science and Technology, 2000 Valentia Street, Denver, CO 80238	N/A	Public	Support the Hip to be Square event benefiting the education for students with special needs	4,900
Denver Zoo, 23rd Avenue, Denver, CO	N/A	Public	Sponser the Do at the Zoo benefiting conservation and education	400
Developmental Pathways, Inc, 325 Inverness Drive South, Englewood, CO 80112	N/A	Public	Support the Sixth Annual Pathways Client Achievement Awards to benefit people with developmental disabilities	3,500
Douglas County Educational Foundaiton, 620 Wilcox Street, Castle Rock, CO 80104	N/A	Public	Support the Chinese Language program at Chaparral High Schoo	5,000
Down Syndrome Education USA, 1451 Quail Street #104, Newport Beach, CA 92660	N/A	Public	Down Syndrome Education works to improve education for young people with Down syndrome.	5,000
Edward M. Kennedy Institutes for the United States Senate, 400 Atlantic Avenue, Boston, MA 02110	N/A	Public	Support the institute to educate the public about our system of government and enhance civic engagement	10,000
Friends of the Haven, 3630 W. Princetom Circle, Denver, CO 80236	N/A	Public	To support improving the quality of life and productivity of individuals and families affected by substance abuse, dependence and co-occurring mental health disorders	5,000
Giving Back Foundation,Chauncey Billups Foundation, 6033 West Century Blvd #350, Los Angeles, CA 90045	N/A	Public	Supporting local groups that help kids from low-income families	500

The Anna & John J. Sie Foundation
83-6058353 Year: 2009
Form: 990PF, Part XV, Line 3
Recipient Paid During the Year
G \Client Data\ClientData\2010\JJC\4451\2009 accounting & tax return\[2009 AJSF Donations xls]Tax return schedule

AS AMENDED

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Global Down Syndrome Foundation, 3300 E First Avenue #+A5090, Denver, CO 80206	Common Control	Controlled Public Exercised Expenditure Control	Supporting the Be Beautiful Be Yourself Jet Set Fashion Show to improve the lives of peole with Down Syndrome by supporting basic research, clinical research and clinical care.	70,804
Global Down Syndrome Foundation, 3300 E First Avenue #+A5090, Denver, CO 80206	Common Control	Controlled Public Exercised Expenditure Control	General support to improve the lives of peole with Down Syndrome by supporting basic research, clinical research and clinical care	700
Global Down Syndrome Foundation, 3300 E First Avenue #+A5090, Denver, CO 80206	Common Control	Controlled Public Exercised Expenditure Control	General support to improve the lives of peole with Down Syndrome Fair market value of office space and equipment, administrative, financial,marketing and communicaiton servcies at no charge	208,067
Glory Community, 4195 Broadmoor Loop, Broomfield, CO 80023	N/A	Public	Meeting the special needs of adults with developmental disabilities and their families by providing a caring residential community	2,500
Gordon Research Conferences, 512 Liberty Lane, West Kingston, RI 02892	N/A	Public	Scientific and educational purposes in the medical field benefiting the Neurotrophic Factors Conference	5,000
Jefferson County Public Schools, 1829 Denver West Drive #27, Golden, CO 80401	N/A	Public	Support the Chinese Language program at Chatfield High School	5,000
Keshet of the Rockies, 450 S Hudson Street, Denver, CO 80246	N/A	Public	Helping Jewish Day schools and teachers adapt curriculum to meet special challenges and work one-on-one with students	3,200
Make-a-Wish - Colorado Chapter, 7951 E Maplewood Ave. #126, Greenwood Village, CO 80111	N/A	Public	Granting the wishes of children with life-threatening medical conditions to enrich the human experience with hope, strength and joy	5,000
Metro Volunteers, 444 Sherman Street, #100, Denver, CO 80203	N/A	Public	To support the 2009 Heart of Volunteerism Award	1,000
Metropolitan Association for Retarded Citizens (ARC), 7721 W 6th Ave Unit G, Lakewood, CO 80215	N/A	Public	Advocating for the rights and full participation of all children and adults with intellectual and developmental disabilities. Sponsorship of the Starlight and Dreams Celebration	9,500
Mile High Down Syndrome Association, 2121 S. Oneida Street, #600, Denver, CO 80224	N/A	Public	Supporting individuals with Down syndrome and their families	10,000
Mile High Down Syndrome Association, 2121 S Oneida Street, #600, Denver, CO 80224	N/A	Public	Supporting the Step up for Down Syndrome Event to benefit people with Down syndrome	2,500

The Anna & John J. Sie Foundation
83-6058353 Year 2009
Form 990PF, Part XV, Line 3
Recipient Paid During the Year
G:\Client Data\ClientData\2010\JJC\4451\2009 accounting & tax return\[2009 AJSF Donations.xls]Tax return schedule

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Mizel Museum, 400 S. Kearney Street, Denver, CO 80224	N/A	Public	Presenting the continuum of the Jewish people within a multicultural context through the arts	4,000
National Down Syndrome Congress, 1370 Center Drive, Suite 102, Atlanta, GA 30338	N/A	Public	Provides information, advocacy and support concerning all aspects of life for individuals with Down syndrome	1,000
National Down Syndrome Society, 666 Broadway, New York, NY 10012	N/A	Public	Enhancing the quality of life, and realizing the potential of all people with Down syndrome	1,000
National Down Syndrome Society, 666 Broadway, New York, NY 10012	N/A	Public	Enhancing the quality of life, and realizing the potential of all people with Down syndrome	1,500
National Football Foundation & College. P O. Box 1358, Kremmling, CO 80459	N/A	Public	Support the Ed McCaffrey Football Camp for children and young adults with down syndrome	7,000
Parent Project for Muscular Dystrophy, 158 Linwood Plaza, #220, Ft. Lee, NJ 07024	N/A	Public	Improve the treatment, quality of life and long term outlook for all individuals affected by Duchenne and Becker muscular dystrophy	10,000
Parent Education and Assistance for Kids (PEAK), 611 North Weber Street #200, Colorado Springs, CO 80903	N/A	Public	Provides training, information and technical assistance to equip families of children birth through age 26 including all disability conditions with strategies to advocate successfully for their children	5,000
Red Rocks Church, 18301 W. Colfax Ave, Golden, CO 80401	N/A	Public	Supporting Lighthouse Children's Center	5,000
Rocky Mountain Children's Law Center, 1325 S Colorado Blvd #308, Denver, CO 80222	N/A	Public	Provide legal aid for abused children.	2,500
Sisters of Laretto, 4000 S. Wadsworth Blvd, Littleton, CO 80123	N/A	Public	To assist in building a school in Akokoamong, Ghana, West Aftrica	5,000
Special Olympics Colorado, 410 Seventeenth Street, Suite 200, Denver, CO 80202	N/A	Public	Providing sports training and athletic competition for children and adults with intellectual disabilities	10,000
Stanley British Primary School, 350 Quebec Court, Denver, CO 80230	N/A	Public	Supporting the Inclusion School Study benefiting children's education	30,000
The 1990 Institute, P O box 1681, Burlingame, CA 94011	N/A	Public	China's Green Student Forum - to promote solidarity of the youth to save China's environment	7,500
The Adoption Exchange, 14232 East Evans Ave, Aurora, CO 80014	N/A	Public	Wednesday's child program and general operations Final pledge payment	15,000
The Bridge Project, 2148 S High Street, Denver, CO 80208	N/A	Public	Providing educational opportunities for children living in Denver's public housing neighborhoods so they graduate from high school and attend college or learn a trade	2,500

The Anna & John J Sie Foundation
83-6058353 Year: 2009
Form: 990PF, Part XV, Line 3
Recipient Paid During the Year
G:\Client Data\ClientData\2010\JJC\44451\2009 accounting & tax return\[2009 AJSF Donations.xls]Tax return schedule

AS AMENDED

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The Cable Center, 2000 Buchtel Blvd, Denver, CO 80210	N/A	Public	To education the public to learn, to advance careers and to enhance understanding of cable telecommunications	2,000
The John Lynch Foundation, P.O. Box 172247, Tampa, FL 33672	N/A	Public	Developing leaders by encouraging dreams, by providing programs that assist and motivate and by recognizing achievement and excellence.	11,500
The Joshua School, 2303 East Dartmouth Ave, Englewood, CO 80113	N/A	Public	Supporting an educational and therapeutic day treatment center for individuals and families challenged by autism spectrum disorders and developmental disabilities	5,000
The Nathan Yip Foundation, 8400 East Prentice Ave #808, Greenwood Village, CO 80111	N/A	Public	Sponsor Chinese New Year Celebration Fund Raising Event benefiting underprivileged children in third world countries by providing schools, education and ongoing support.	4,500
The Rise School of Denver, 4949 E Eastmen Ave, Denver, CO 80222	N/A	Public	Supporting the school to provide early childhood education to all children, including those children with developmental disabilities	5,000
The University of Colorado Foundation, 225 E 16th Ave #900, Denver, CO 80203	N/A	Public	To provide support for recruitment expense for the Executive Director of the Linda Crnic Institute at the University of Colorado Denver. The Crnic Institute is a center for research and treatment of Down Syndrome.	125,080
The University of Colorado Foundation, 225 E. 16th Ave #900, Denver, CO 80203	N/A	Public	Support of the Alberto Costa Laboratory benefiting research in Down syndrome	50,000
The University of Colorado Foundation, 225 E. 16th Ave #900, Denver, CO 80203	N/A	Public	Support the Katheleen Gardiner Laboratory focusing on the molecular basis of the cognitive deficits in Down Syndrome	50,000
The University of Colorado Foundation, 225 E 16th Ave #900, Denver, CO 80203	N/A	Public	Funding the Anna and John J Sie Quasi-Endowment of the Colorado Initiative in Molecular Biotechnology	1,000,000
The University of Colorado Hospital Foundation, P O Box 6510, Mail Stop F485 Aurora, CO 80045	N/A	Public	Sponsor Hearts of All Ages to benefit the Cardiac and Vascular Center	4,250
Third Way Center, P.O Box 61385, Denver, CO 80206	N/A	Public	Providing a continuum of services in a home-like environment where high-risk, homeless, mentally ill and disadvantage youth can work through their problems, learn to take responsibility for their actions and become productive members of society	10,000

The Anna & John J Sie Foundation
83-6058353 Year: 2009
Form 990PF, Part XV, Line 3
Recipient Paid During the Year
G:\Client Data\ClientData\2010\JJC\44451\2009 accounting & tax return\[2009 AJSF Donations.xls]Tax return schedule

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Name and address	Donee Relationship	Foundation Status	Purpose of Grant	Amount
University of Denver, 2190 E Asbury Avenue, Denver, CO 80208	N/A	Public	Endowment to establish the Anna Maglione-Sie Endowed Chair in Italian Culture	400,000
University of Denver, CEMMP, 2240 E Buchtel Blvd., Denver, CO 80208	N/A	Public	Sponsorship of the Chinese Executive Media Management Program	4,000
University of Denver, Sie Cheou-Kang Center for International Security and Diplomacy, 2201 South Gaylord St. Denver, CO 80208	N/A	Public	Endowment for the Sie Cheou-King Chair and funds for the Sie Center Building that provides leadership training for international security specialists and diplomats	1,100,000
University of Denver, Graduate School of International Studies, 2201 South Gaylord St Denver, CO 80208	N/A	Public	Sponsorship of the Korbel Scholarship Fund and the Center for Teaching International Relations, educational purposes	9,250
University of Denver 2201 South Gaylord St., Denver, CO 80208	N/A	Public	Supporting the research of Dr Karen Riley to benefit early language and literacy approaches for children with Down syndrome	10,000
Volunteers of America -Western Fantasy, 2660 Lanmer St , Denver, CO 80205	N/A	Public	Sponsorship of Western Fantasy event that provides funds for Volunteers of America that give critical services to families, women and children	9,000
Wings Over The Rockies, 771 E Academy Blvd, Denver, CO 80230	N/A	Public	Sponsorship of Spreading Wings event that sustains the heritage of aviation and space through education and outreach	7,170
Wings Over The Rockies, 771 E. Academy Blvd, Denver, CO 80230	N/A	Public	Sponsor pledge for Raise Your Paddle supporting educational outreach initiatives through aerospace	4,000
Women in Cable Telecommunications, P O Box 21261, Denver, CO 80221	N/A	Public	Advancing the position and influence of women in cable and telecommunications through leadership programs services	3,000
Women's Foundation of Colorado, 1901 E Asbury Ave, Denver, CO 80208	N/A	Public	Research, education, advocacy and grant making to address barriers to economic self-sufficiency that challenge women and girls in Colorado	2,150
				3,514,255