



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



Form **990-PF**Department of the Treasury
Internal Revenue Service (77)**Return of Private Foundation**
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

OMB No 1545-0052

2009

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

, and ending

G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

Use the IRS label Otherwise, print or type. See Specific Instructions	Name of foundation THE AUEN FOUNDATION		A Employer identification number 95-4325051
	Number and street (or P O box number if mail is not delivered to street address) Room/suite P.O. BOX 13390		B Telephone number (see page 10 of the instructions) (760) 341-5293
	City or town, state, and ZIP code PALM DESERT CA 92255-3390		C If exemption application is pending, check here <input type="checkbox"/>
			D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 29,016,959			F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
J Accounting method. <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) MODIFIED CASH (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 page 11 of 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 (attach schedule)				
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	2,182	2,182		
4 Dividends and interest from securities	1,083,836	1,083,836		
5 a Gross rents				
b Net rental income or (loss)				
6 a Net gain or (loss) from sale of assets not on line 10	-739,891			
b Gross sales price for all assets on line 6a 7,289,849				
7 Capital gain net income (from Part IV, line 2)				
8 Net short-term capital gain				
9 Income modifications				
10 a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income SEE SCHEDULE (1)	463,768	463,768		
12 Total. Add lines 1 through 11	809,895	1,549,786		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc				
14 Other employee salaries and wages	276,240			276,240
15 Pension plans, employee benefits	599,015			599,015
16 a Legal fees SEE SCHEDULE (2)	81,222	64,778		16,444
b Accounting fees SEE SCHEDULE (3)	30,750			30,750
c Other professional fees (attach schedule)				
17 Interest				
18 Taxes (see page 14 of the instructions) . SEE SCH (4)	26,500			
19 Depreciation and depletion SEE SCHEDULE (5)	37,674	554		
20 Occupancy	12,000	1,200		10,800
21 Travel, conferences, and meetings	4,540			4,540
22 Printing and publications				
23 Other expenses SEE SCHEDULE (6)	37,828	20,782		17,046
24 Total operating and administrative expenses. Add lines 13 through 23	1,105,769	87,314		954,835
25 Contributions, gifts, grants paid	456,150			456,150
26 Total expenses and disbursements. Add lines 24 and 25	1,561,919	87,314		1,410,985
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	-752,024			
b Net investment income (if negative, enter -0-)		1,462,472		
c Adjusted net income (if negative, enter -0-)				

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

Form **990-PF** (2009)

(HITA)

15
5

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		5,653				
	2 Savings and temporary cash investments		2,272,502	326,308	326,308		
	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 page 15 of the instructions)						
	7 Other notes and loans receivable SEE SCH (7) ▶	9,441,089					
	Less allowance for doubtful accounts ▶		2,308,683	9,441,089	2,306,369		
	8 Inventories for sale or use						
	9 Prepaid expenses and deferred charges						
	10 a Investments—U S and state government obligations (attach schedule)		127,254				
	b Investments—corporate stock SEE SCHEDULE (8)		18,414,055	16,305,034	13,164,230		
	c Investments—corporate bonds SEE SCHEDULE (9)		4,580,720	6,443,151	5,974,588		
	11 Investments—land, buildings, and equipment basis ▶						
Liabilities	Less accumulated depreciation (attach schedule) ▶						
	12 Investments—mortgage loans						
	13 Investments—other (attach schedule)						
	14 Land, buildings, and equipment basis ▶	230,273					
	Less accumulated depreciation SEE SCH (10) ▶	94,696	173,252	135,577	135,577		
	15 Other assets (describe ▶ SEE SCHEDULE (11))		5,509,776	7,109,887	7,109,887		
	16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)		33,391,895	39,761,046	29,016,959		
Net Assets or Fund Balances	17 Accounts payable and accrued expenses						
	18 Grants payable						
	19 Deferred revenue						
	20 Loans from officers directors, trustees, and other disqualified persons						
	21 Mortgages and other notes payable (attach schedule)						
	22 Other liabilities (describe ▶ Due to related entities)		41,524	27,979			
	23 Total liabilities (add lines 17 through 22)		41,524	27,979			
	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input checked="" type="checkbox"/>						
	24 Unrestricted		33,350,371	39,733,067			
	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, bldg, and equipment fund						
	29 Retained earnings, accumulated income, endowment, or other funds						
	30 Total net assets or fund balances (see page 17 of the instructions)		33,350,371	39,733,067			
	31 Total liabilities and net assets/fund balances (see page 17 of the instructions)		33,391,895	39,761,046			

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	33,350,371
2 Enter amount from Part I, line 27a	2	-752,024
3 Other increases not included in line 2 (itemize) ▶ SEE SCHEDULE (12)	3	7,134,720
4 Add lines 1, 2, and 3	4	39,733,067
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	39,733,067

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 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a Publicly Traded Securities - See Sch (13)			
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 7,289,849		8,029,740	-739,891
b			
c			
d			
e			
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k) but not less than -0-) or Losses (from col. (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			-739,891
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	-739,891	
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 pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	3		

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.

(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 (col. (b) divided by col. (c))
2008	902,230	22,585,767	0.039947
2007	850,464	31,836,719	0.026713
2006	5,371,798	30,071,346	0.178635
2005	1,510,072	31,643,337	0.047722
2004	1,784,795	33,864,986	0.052703
2 Total of line 1, column (d)		2	0.345720
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	0.069144
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5		4	18,409,776
5 Multiply line 4 by line 3		5	1,272,926
6 Enter 1% of net investment income (1% of Part I, line 27b)		6	14,625
7 Add lines 5 and 6		7	1,287,551
8 Enter qualifying distributions from Part XII, line 4 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 on page 18.		8	1,410,985

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of 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 instructions)		1	14,625
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, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3 Add lines 1 and 2		3	14,625
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	14,625
6 Credits/Payments			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	31,484	
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	31,484	
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		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	16,859	
11 Enter the amount of line 10 to be credited to 2010 estimated tax	11	16,859	Refunded

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 page 19 of the instructions for definition)? 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		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 <u>\$ N/A</u> (2) On foundation managers <u>\$ N/A</u>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <u>\$ N/A</u>		
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		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		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? If "Yes," attach the statement required by General Instruction T.		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? If "Yes," complete Part II, col (c), and Part XV.	X	
8 a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) <u>CA</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? If "No," attach explanation	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 on page 27)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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 page 20 of the 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 **► The Auen Foundation** Telephone no **► (760) 341-5293**
 Located at **► 75-200 Classic Club Blvd., 2nd Floor, Palm Desert, CA USA** ZIP+4 **► 92211**

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 **► 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? <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 checked="" type="checkbox"/> Yes <input 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 page 20 of the instructions)? N/A <input type="checkbox"/>	1b	
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 page 20 of 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? <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

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 page 22 of the 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 page 22 of the instructions)?

5b N/A

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? N/A

☐ 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 page 22 of the 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
RONALD M. AUEN PO BOX 13390 P. DESERT CA 92255-3390	Trustee 1 HOUR	NONE	NONE	NONE

2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the 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
SHERRIE AUEN PO BOX 13390, PALM DESERT, CA 92255-3390	Dir of Programs 40+ Hours	150,460	17,704	NONE
CATHARINE REED (*) PO BOX 13390, PALM DESERT, CA 92255-3390	Asst Dir -Programs 40+ Hours	454,568	20,672	NONE
(*) Upon adoption of a defined benefit plan, the deferred compensation agreement was terminated, as of Dec. 31, 2008. Amount shown includes \$342,840 in deferred compensation actually paid, in 2009. Such amount was previously reported as compensation when accrued.				
Total number of other employees paid over \$50,000				

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 page 23 of the 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

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 page 24 of the 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	
3 All other program-related investments See page 24 of the instructions	
Total. Add lines 1 through 3	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	15,762,244
b	Average of monthly cash balances	1b	608,761
c	Fair market value of all other assets (see page 24 of the instructions)	1c	2,319,123
d	Total (add lines 1a, b, and c)	1d	18,690,128
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	18,690,128
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see page 25 of the instructions)	4	280,352
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	18,409,776
6	Minimum investment return. Enter 5% of line 5	6	920,489

Part XI Distributable Amount (see page 25 of the 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	920,489
2a	Tax on investment income for 2009 from Part VI, line 5	2a	14,625
b	Income tax for 2009 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	14,625
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	905,864
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	905,864
6	Deduction from distributable amount (see page 25 of the instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	905,864

Part XII Qualifying Distributions (see page 25 of the 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	1,410,985
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	1,410,985
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 page 26 of the instructions)	5	14,625
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,396,360

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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				905,864
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2009				
a From 2004				
b From 2005				
c From 2006	1,253,199			
d From 2007				
e From 2008				
f Total of lines 3a through e	1,253,199			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ \$ 1,410,985				
a Applied to 2008, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions)				
d Applied to 2009 distributable amount				905,864
e Remaining amount distributed out of corpus	505,121			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,758,320			
b Prior years' undistributed income Subtract line 4b from line 2b				
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				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions				
e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	1,758,320			
10 Analysis of line 9				
a Excess from 2005				
b Excess from 2006	1,253,199			
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	505,121			

N/A

1 a 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

b Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(j)(3) or ☐ 4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

[illegible]

Part XV **Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see page 28 of the 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).)

NONE

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 ☒ 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 page 28 of the 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

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

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

Recipient		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
Name and address (home or business)					
a <i>Paid during the year</i> SEE SCHEDULE (15)					456,150
Total				▶ 3a	456,150
b <i>Approved for future payment</i>					
Total				▶ 3b	

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

- | | | 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 | | |

[illegible]

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990 PF, Dec. 31, 2009

INDEX TO SCHEDULES

(1) Part I, Line 11	Other Income
(2) Part I, Line 16a	Legal Fees
(3) Part I, Line 16b	Accounting Fees
(4) Part I, Line 18	Taxes
(5) Part I, Line 19	Depreciation
(6) Part I, Line 23	Other Expenses
(7) Part II, Line 7	Other Notes and Loans Receivables
(8) Part II, Line 10b	Corporate Stock
(9) Part II, Line 10c	Corporate Bonds
(10) Part II, Line 14	Land, Buildings, Equipment
(11) Part II, Line 15	Other Assets
(12) Part III, Line 5	Increases in Net Assets or Fund Balance
(13) Part IV	Capital Gains and Losses
(14) Part X, Line 1c	Fair Market Value of Other Assets
(15) Part XV, Line 3a	Grants Paid During Year
(16) Part XVII, Line 1b(4)	Transfers To and Transactions with Non-Charitable Exempt Organizations

The Auch Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (I), Part I, Line 11

DESCRIPTION

OTHER INCOME

PER BOOKS

NET
INVESTMENT
INCOME

Interest - Notes

463,768

463,768

463,768

463,768

The Auen Foundation
P O. Box 13390
Palm Desert, California 92255-3390

EIN. 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (2), Part I, Line 16a

LINE 16A - LEGAL FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Barton, Klugman, & Oetting 350 So Grand Ave. Ste. 2200 L.A. 90071-3485 Service. Legal	81,222	64,778	16,444
Totals	<u>81,222</u>	<u>64,778</u>	<u>16,444</u>

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (3), Part I, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Deloitte 350 South Grand Avenue, Suite 200 Los Angeles, Ca 90071-3462 Service Financial Reports and Tax Returns	<u>30,750</u>	<u>-</u>	<u>30,750</u>

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (4), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	<u>26,500</u>	<u>0</u>	<u>0</u>

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (5), Part I, Line 19

<u>DESCRIPTION</u>	<u>DEPRECIATION EXPENSE</u>
Corporate (Equipment, Autos, & Trucks)	37,674
Total depreciation per book	<u>37,674</u>
Column (b) - Net investment income	<u>554</u>
Depreciation not for investment purposes	<u><u>37,120</u></u>

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN. 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (6), Part I, Line 23

<u>DESCRIPTION</u>	<u>PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSE</u>
OTHER EXPENSES:			
Auto/Transportation Expenses	10,982	-	10,982
Auto Expense Reimbursed	(6,890)	-	(6,890)
Bank/Wire Charges	386	386	-
Corporate Fees	180	20	160
Education	1,755	-	1,755
Insurance	(368)	622	(990)
Overhead Reimbursement	2,931	293	2,638
Office Supplies	2,359	-	2,359
Outside Services	18,127	18,127	-
Subscription	5,447	69	5,378
Property Taxes	1,265	1,265	-
Telephone	1,654	-	1,654
TOTALS	37,828	20,782	17,046

The Auen Foundation
P. O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990-PF, Dec 31, 2009
Schedule (7), Part II, Line 7

OTHER NOTES AND LOANS RECEIVABLES

DESCRIPTION	Original Amount	Balance Due Beg of Year	Balance Due End of Year	Fair Market Value	
Peter Solomon	9,300,000	2,165,280	9,300,000	2,165,280	(a)
Rusty Hamilton	<u>145,000</u>	<u>143,403</u>	<u>141,089</u>	<u>141,089</u>	(b)
TOTAL	<u>9,445,000</u>	<u>2,308,683</u>	<u>9,441,089</u>	<u>2,306,369</u>	

(a) The 2008 990PF reported in Part I, Line 23, Column (a) bad debt expense, related to the Solomon Note, of \$7,134,720. This amount was not included in the determination of net investment income, Part I, Line 27b, Column (b). This amount was also reported as an allowance for doubtful accounts in Part II, Line 7. Although these amounts were reported as "per books", they have not been recorded on the books. The Balance Due End of Year above, \$9,300,000, correctly states the amount per books.

(b) The Foundation carries a note receivable, secured by a deed of trust, from the sale of property with a 9% interest rate, due June 2012. Principal and interest payments are due monthly.

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990-PF, Dec. 31, 2009
Schedule (8), Part II, Line 10b

DATE	DESCRIPTION	ENDING COST	FMV
<u>COMMON STOCKS - BROKER I</u>			
08-14-01	ALCOA INC.	293,540	128,960
10-17-07	AMERICA MOVIL SA DE CV	268,561	187,920
05-31-07	AT&T INC	330,161	224,240
03-30-04	CALAMOS STRATEGIC TOTAL	583,819	344,938
12-16-09	CITIGROUP INC	157,500	165,500
04-28-06	CLOUGH GLOBAL OPP FUND	299,818	207,257
10-10-07	COPANO ENERGY L.L.C.	185,416	119,550
11-21-07	DYNEGY INC DEL CL "A"	162,511	36,200
09-09-02	EL PASO CORP	159,227	98,300
05-29-08	IAC/ INTERACTIVE COM	74,133	71,680
12-18-01	MIRANT CORP NEW	138,174	12,094
12-18-01	WTO II MIRANT CORP CL A	176,188	1,222
04-23-07	MS EMERGING MKTS DOMESTIC DEBT	250,000	171,000
07-19-07	ORBITZ WORLDWIDE	45,000	22,020
03-31-08	PHILLIP MORRIS INTL INC.	129,323	240,950
10-02-08	POWERSHARES	191,905	228,750
10-09-07	WILLIAMS PARTNERS LTD	109,013	76,675
03-31-06	MI/BLACKROCK GLOBAL ALLOCATION A	394,526	390,255
03-27-06	MI/BLACKROCK GLOBAL ALLOCATION C	879,311	873,222
02-02-07	E V TAX MGD DIVIDEND INC A	965,243	686,774
12-14-06	E V TAX MGD DIVIDEND INC C	230,544	164,492
06-28-05	EVERGREEN ASSET "A"	1,008,823	854,970
04-29-05	EVERGREEN ASSET "C"	673,548	596,581
TOTAL		7,706,285	5,903,549

COMMON STOCKS - BROKER II

01-26-07	LC STRAT VALUE	515,254	526,501
01-26-07	SOUTHERNSUN	242,927	244,471
01-26-07	GSAM REAL ESTATE SEC	107,491	115,426
01-26-07	THORNBURG	257,705	275,169
01-26-07	OECHSLE (NON US EQ)	346,953	275,121
06-30-09	GSAM LCG STRAT	425,148	496,918
TOTAL		1,895,477	1,933,605

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990-PF, Dec 31, 2009
Schedule (8), Part II, Line 10b

DATE	DESCRIPTION	ENDING COST	FMV
<u>PREFERRED STOCK - BROKER I</u>			
01-02-09	BANK OF AMERICA	287,500	282,210
05-20-08	BANK OF AMERICA	250,000	241,700
04-09-08	BARCLAYS BANK PLC	250,000	248,600
01-11-07	BIOMED REALTY TR INC	250,000	232,000
07-13-07	DEUTSCHE BANK CAP	100,000	83,960
05-01-08	DEUTSCHE BANK CONT CAP TR V	250,000	251,900
02-20-08	DEUTSCHE BANK CAP TRUST III	200,000	189,840
05-04-07	ENTERTAINMENT PR	100,000	81,200
05-14-08	FANNIE MAE	250,000	9,900
06-13-07	ING GROEP NV	250,000	169,800
06-11-08	ING GROEP NV	100,000	87,680
02-12-08	LEHMAN BROTHERS HOLDINGS	375,000	1,200
08-23-05	PUBLIC STORAGE	500,000	441,800
10-20-06	PUBLIC STORAGE	200,000	186,240
01-04-07	PUBLIC STORAGE	250,000	232,900
06-28-07	ROYAL BK SCOTLAND GRP	100,000	43,520
11-25-09	HRPT PROPERTIES	80,000	76,000
02-24-06	PPLUS TR SERIES RRD-I CLASS A	100,000	73,640
11-08-06	COUNTRYWIDE CAP V	150,000	129,900
12-20-06	PRIMUS	250,000	135,700
12-15-09	JPM CHASE XXVIII	200,000	204,240
05-18-07	NATL CITY CAP TR	200,000	174,000
01-13-09	NAT CITY CAP IV	130,771	152,378
09-21-06	COMCAST CORP	5,000	5,008
12-06-06	VIACOM INC	250,000	239,500
03-20-07	CBS CORP.	200,000	168,720
04-25-07	MERRILL LYNCH CAP TRUST II	100,000	76,080
06-20-08	CONSTELL ENG GP-A	150,000	154,980
10-28-09	BB&T CAPTL TR	200,000	206,800
10-12-06	MORGAN STANLEY CAP TRUST	125,000	109,700
12-07-06	MERRILL LYNCH CAP TRUST I	100,000	76,560
01-26-07	USB CAPITAL XII	100,000	91,520
02-09-07	WACHOVIA CAP TR IV	200,000	176,720
02-27-07	CITIGROUP CAP XVII	200,000	145,600
10-23-07	FIFTH THIRD CAP	50,000	40,780
06-07-07	AMER INTL GROUP	200,000	104,800
TOTAL		6,703,271	5,327,076
GRAND TOTAL		16,305,034	13,164,230

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

FIN: 95-4325051
Form 990-Pf, Dec. 31, 2009
Schedule (9), Part II, Line 10c

DATE	DESCRIPTION	PAR VALUE	ENDING COST	FMV PRICE	FMV
<u>BOND MUTUAL FUND - BROKER I</u>					
01-31-05	ADVENT CLAYMORE ENHANCED G&I	27,989	552,314	11.2000	313,477
06-29-07	VAN KMPN DYNAMIC CR OPP FUND	15,000	300,000	11.8400	177,600
			<u>852,314</u>		<u>491,077</u>

CORPORATE BONDS- BROKER II

12-11-06	MAGNA ENTERTAINMENT CORP	100,000	105,005	15.5000	15,500
05-17-04	GMAC	75,000	74,250	86.3750	64,781
03-24-09	NATIONAL CITY COR	100,000	93,505	101.8750	101,875
08-06-09	GMAC	100,000	96,005	99.8080	99,808
04-23-09	FORD MOTOR CREDIT	900,000	544,505	96.9640	872,676
03-06-07	HINES NURSERIES INC.	200,000	171,005	0.2500	500
09-25-09	SEAGATE TECHNOLOGY	200,000	202,505	101.7500	203,500
02-01-07	TELECORDIA	300,000	286,011	89.0000	267,000
10-28-09	FIFTH THIRD BANK	100,000	104,800	102.9620	102,962
10-19-09	KLYCORP	100,000	104,172	103.2140	103,214
05-28-03	GABRIELI/GAMCO	400,000	409,220	86.4960	345,984
11-17-09	SANDISK CORP SR CVI	100,000	79,505	83.3750	83,375
09-30-09	ARCELORMITTAL	50,000	52,033	105.5200	52,760
10-14-09	MONSIEUR	150,000	149,765	98.4740	147,711
09-15-09	CHESAPEAKE ENERGY	100,000	100,505	101.7500	101,750
10-09-09	ZIONS BANCORP	200,000	181,795	88.2500	176,500
11-30-09	CHESAPEAKE ENERGY	100,000	107,255	109.7500	109,750
09-18-09	TEXTRON INC	150,000	153,625	104.0835	156,125
05-31-07	NEXTEL COMM D 15	200,000	206,755	97.2500	194,500
10-23-09	HORACE MANN EDUC	100,000	99,505	99.6420	99,642
08-31-09	DONNELLY RR	200,000	205,143	108.8610	217,722
10-10-03	GMAC	100,000	103,000	78.5200	78,520
11-30-09	MOSAIC CO REG S	150,000	162,604	107.1670	160,751
12-03-09	FIFTH THIRD BANK	200,000	182,805	89.5240	179,048
09-16-09	NATI. SEMICON	150,000	150,386	102.4360	153,654
05-23-07	DYNIEGY HOLDINGS	200,000	196,005	69.0000	138,000
03-30-07	PIONEER NATURAL RESOURCE CO.	200,000	193,805	90.3110	180,622
04-21-09	BANK ONE CAPITAL	150,000	126,005	112.5390	168,809
07-17-07	MIRANT AMERICAS	350,000	369,261	90.0000	315,000
04-11-07	GMAC	200,000	217,505	89.9720	179,944
09-23-09	BANK OF AMERICA CORP	255,000	233,632	96.2740	245,499
01-28-09	WELLS FARGO & CO	100,000	63,002	65.7800	65,780
12-09-09	GS CAPITAL III	100,000	65,955	100.2500	100,250
			<u>5,590,837</u>		<u>5,483,511</u>
TOTAL			<u>6,443,151</u>		<u>5,974,588</u>

The Auen Foundation
P. O. Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990-PF, Dec. 31, 2009
Schedule (10), Part II, Line 14

DESCRIPTION	BOOK VALUE	ACCUM DEPRECIATION	NET BOOK VALUE	TOTAL FAIR MARKET VALUE
<u>Real Properties</u>				
Land	11,000	-	11,000	
<u>Fixed Assets:</u>				
Auto and Equipment	219,273	94,696	124,577	124,577
<hr/>				
Total	230,273	94,696	135,577	135,577
<hr/>				

Depreciation - The cost of property and equipment is depreciated using the alternative modified accelerated cost recovery system. The useful lives used in the computation of depreciation are as follows:

Equipment	5 - 10 years
Transportation equipment	5 years

The Auen Foundation
P. O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990-PF, Dec 31, 2009
Schedule (11), Part II, Line 15

DESCRIPTION	ENDING BOOK VALUE	FAIR MARKET VALUE
OTHER ASSETS:		
Charitable Loans (a)	7,100,000	7,100,000
Purchased Interest	9,887	9,887
TOTAL AMOUNT	7,109,887	7,109,887

(a) Marywood Palm Valley School loan, 6% interest rate, secured by a deed of trust, monthly interest payment only through September 2016, then monthly principal and interest payments due thereafter. All unpaid principal and interest are due in September 2028.

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990PF, Dec. 31, 2009
Schedule (12), Part III Line 3

Increases in Net Assets or Fund Balances not included in the amount
from Part I Line 27a - "Excess of revenue over expenses"

Amount

Reversal of bad debt expense reported in 2008 as "per books" However, bad
debt has not been recorded on the books or deducted as an expense in the
calculation of the investment income.

\$ 7,134,720

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990PF, Dec 31, 2009
Schedule (13), Part IV

	Sales Price	Adjusted Cost	Gain or (loss)
<u>ACQUIRED BY PURCHASE</u>			
GOVERNMENT & AGENCY - BONDS	125,000	127,254	(2,254)
CORPORATE BONDS	3,027,783	3,056,256	(28,473)
STOCKS	4,137,066	4,846,230	(709,164)
TOTAL	7,289,849	8,029,740	(739,891)

The Auen Foundation
P O Box 13390
Palm Desert, California 92255-3390

EIN 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (14), Part X, Line 1c

OTHER ASSETS

FAIR
MARKET VALUE

Real Properties	11,000
Notes Receivable	2,306,090
Purchased Interest	1,250
 Fixed Assets.	
Furniture	783
 Total	 <u>2,319,123</u>

The Auen Foundation

EIN: 95-4325051, Form 990PF, December 31, 2009
Schedule (15), Part XV Line 3a, Grants Paid During Year
9/8/2010

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
January 2009					
Loma Linda University Children's Hospital Foundation	200600147	1/26/2009	\$2,000.00	The Auen Foundation	3102
Hospital Operating expenses	09/01				PO Box 1464 Rancho Mirage, CA 92270
\$ 2,000.00					
People Helping People Support for Senior services	200600144	1/8/2009	\$1,000.00	The Auen Foundation	3101
\$ 1,000.00	09/01				1060 La Verne Way, Palm Springs, CA 92264
Total January 2009			\$3,000.00		
(2 items)					
February 2009					
ACT for Multiple Sclerosis senior services	200600148	2/12/2009	\$15,000.00	The Auen Foundation	3103
\$ 15,000.00	09-03				73-710 Fred Waring Drive, Suite 120A, Palm Desert, CA 92260
Palm Desert High School Foundation Intergenerational Program Funds	200600152	2/19/2009	\$1,000.00	The Auen Foundation	3104
\$ 1,000.00	09-09				43-570 Phyllis Jackson Lane, Palm Desert, CA 92260
Total February 2009			\$16,000.00		
(2 items)					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
March 2009					
Aids Assistance Program <i>Food Voucher Program</i> \$ 10,000.00	200600163 09-20	3/31/2009	\$10,000.00	The Auen Foundation	3119 PO Box 4182, Palm Springs, CA 92263
American Cancer Society <i>housing and transportation</i> \$ 10,000.00	200600151 09-06	3/2/2009	\$10,000.00	The Auen Foundation	3105 73-161 Fred Waring Drive, Suite 100, Palm Desert, CA 92260
Boy Scouts of America <i>support for After School Programs</i> \$ 2,000.00	200600159 09-18	3/12/2009	\$2,000.00	The Auen Foundation	3110 1230 Indiana Ct., Redlands, CA 92374
City of Salmon <i>Create a senior exercise program</i> \$ 3,000.00	200600162 09-17	3/31/2009	\$3,000.00	The Auen Foundation	3116 200 Main Street, Salmon, ID 83467
Desert Aids Project <i>community center</i> \$ 20,000.00	200600150 09/04	3/16/2009	\$20,000.00	The Auen Foundation	3112 1695 North Sunrise Way, Palm Springs, CA 92262
Desert Bar Association of Riverside <i>aging issues</i> \$ 1,000.00	200600155 09-10	3/2/2009	\$1,000.00	The Auen Foundation	3106 PO Box 2290, Palm Desert, CA 92263
Food Find Bank <i>outreach for the elderly</i> \$ 5,000.00	200600154 09/08	3/5/2009	\$5,000.00	The Auen Foundation	3108 PO Box 41, Cathedral City, CA 92235

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Gilda's Club Desert Cities <i>memor. of Rosemary Gregoire</i> \$ 1,000.00	200600156 09-12	3/5/2009	\$1,000.00	The Auen Foundation	3107 67-625 E Palm Canyon Dr Suite 6 A Cathedral City CA 92234
KVCR Educational Foundation <i>supporting aging issues</i> \$ 5,000.00	200600153 09-05	3/5/2009	\$5,000.00	The Auen Foundation	3109 701 S. Mt. Vernon Ave., San Bernardino, CA 92410
Leonard Davis School of Gerontology/USC <i>end of life care online course</i> \$ 20,000.00	200600160 09-13	3/31/2009	\$20,000.00	The Auen Foundation	3118 Leonard Davis School of Gerontology, 3715 McClintock Ave. Los Angeles, CA 90089-0191
NAAMI - National Alliance on Mental Illness <i>Supporting aging issues</i> \$ 500.00	200600166 09-14	3/20/2009	\$500.00	The Auen Foundation	3115 PO Box 4015, Palm Desert, CA 92261
Pegasus Riding Academy for the Handicapped <i>operating expenses</i> \$ 2,000.00	200600168 09-15	3/19/2009	\$2,000.00	The Auen Foundation	3113 PO Box 397, Thousand Palms, CA 92276
Soldiers Organized Services <i>Support for transportation expenses</i> \$ 1,000.00	200600165 09-19	3/20/2009	\$1,000.00	The Auen Foundation	3114 57539 Santa Rosa Trail, La Quinta, CA 92253
Staples Center Foundation <i>Indio Task Force-Intergenerational program</i> \$ 25,000.00	200600158 09/07	3/31/2009	\$25,000.00	The Auen Foundation	3117 800 West Olympic Blvd. 3rd Floor. Los Angeles, CA 90015

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
University of Idaho Purchase of Variable Speed Drive (VSD) Panels for at least three of the irrigation pumps at NMCREEC \$ 60,000.00	200600149 09-02	3/12/2009	\$60,000.00	The Auen Foundation	3111 College of Agriculture, 606 Rayburn Street, Moscow, ID 83844-2331
Total March 2009 (15 items)			\$165,500.00		
April 2009					
Angel Light Academy--Ms Baily for intergenerational programs \$ 800.00	200600171 09-30	4/16/2009	\$800.00	The Auen Foundation	3120 83286 Long Cove Dr., Indio, CA 92203
Working Wonders AIDS Prevention Programs \$ 3,000.00	200600172 09-27	4/28/2009	\$3,000.00	The Auen Foundation	3121 35-325 Date Palm Dr., Suite 232, Cathedral City, CA 92234
Total April 2009 (2 items)			\$3,800.00		
May 2009					
Animal Samaritans senior programs \$ 7,500.00	200600174 09-28	5/19/2009	\$7,500.00	The Auen Foundation	3127 PO Box 513, Thousand Palms, CA 92276
Joslyn-Cove Communities Senior Association Dell Small Business Server \$ 6,000.00	200600170 09-16	5/11/2009	\$6,000.00	The Auen Foundation	3125 73-750 Catalina Way, Palm Desert, CA 92260

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Elizabeth Glaser Pediatric Aids Foundation <i>research programs Southern California area</i> \$ 10,000.00	200600175 09-26	5/18/2009	\$10,000.00	The Auen Foundation	3126 2950 31st Street, Suite 125, Santa Monica, CA 90405
Golden Rainbow Senior Center <i>equipment</i> \$ 10,000.00	200600167 09-21	5/4/2009	\$10,000.00	The Auen Foundation	3124 700 E. Tahquitz Canyon Way, Palm Springs, CA 92262
Opera Guild Of The Desert <i>help with transportation for seniors</i> \$ 2,500.00	200600173 09-23A	5/4/2009	\$2,500.00	The Auen Foundation	3123 PO Box 1378, Palm Springs, CA 92263
June 2009			<hr/>		
			Total May 2009	\$36,000.00	(5 items)
Children's Playtime Productions <i>supporting intergenerational programs</i> \$ 300.00	200600181 09-34	6/3/2009	\$300.00	The Auen Foundation	3128 PO Box 10087, Palm Desert, CA 92255-0087
Eisenhower Medical Center/ 5 Star Club <i>Upgrades for The Five Star Center</i> \$ 10,000.00	200600179 09-22	6/9/2009	\$10,000.00	The Auen Foundation	3129 39000 Bob Hope Drive, Rancho Mirage, CA 92270
Opera Arts <i>Senior Food Outreach</i> \$ 10,000.00	200600178 09-23B	6/29/2009	\$10,000.00	The Auen Foundation	3130 PO Box 5312, Palm Springs, CA 92263-5312

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
<u>July 2009</u>					
Total June 2009 (3 items)			\$20,300.00		
The Ranch Recovery Center Inc senior services \$ 15,000.00	200600180 09-31	7/7/2009	\$15,000.00	The Auen Foundation	3132 7885 Annandale Ave., Desert Hot Springs, CA 92240
Parade Charities Corporation Palm Desert Intergenerational Parade \$ 20,000.00	200600183 09-29	7/15/2009	\$20,000.00	The Auen Foundation	3133 73-710 Fred Waring dr., suite 114, Palm Desert, CA 92260-5500
University of Southern California a program to reduce polypharmacy in long term care for the elderly. \$ 20,000.00	200600182 09-33	7/7/2009	\$20,000.00	The Auen Foundation	3131 Ethel Percy Andrus Gerontology Ctr., Los Angeles, CA 90089
Total July 2009 (3 items)			\$55,000.00		
<u>August 2009</u>					
American Heart Association research \$ 1,000.00	200600191 09-42	8/20/2009	\$1,000.00	The Auen Foundation	3139 74-020 Alessandro, Suite A, Palm Desert, CA 92260
Angel Light Academy-Ms Bailey intergenerational program \$ 10,000.00	200600185 09-35	8/17/2009	\$10,000.00	The Auen Foundation	3138 83286 Long Cove Drive, Indio, CA 92203

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Desert Cancer Foundation <i>breast cancer screening</i> \$ 12,000.00	200600195 09-41	9/15/2009	\$12,000.00	The Auen Foundation	3141 74091 Larrea St., Palm Desert, CA 92260
International Classical Concerts of the Desert <i>senior support</i> \$ 2,000.00	200600201 09-44	9/24/2009	\$2,000.00	The Auen Foundation	3143 PO Box 1227, La Quinta, CA 92253
The Salk Institute for Biological Studies <i>research</i> \$ 10,000.00	200600196 09-43	9/24/2009	\$10,000.00	The Auen Foundation	3144 PO Box 85800, San Diego, CA 92186-5800
October 2009			<u>\$25,350.00</u>		
Children Affected By Aids <i>Family Assistance Program</i> \$ 10,000.00	200600207 09-45	10/22/2009	\$10,000.00	The Auen Foundation	3146 6033 West Century Blvd., Suite 260, Los Angeles, CA 90045
Opera Arts <i>holiday food needs</i> \$ 5,000.00	200600212 09-48	10/27/2009	\$5,000.00	The Auen Foundation	3147 PO Box 5312, Palm Springs, CA 92263
Shelter From the Storm, Inc. <i>operating costs for battered women programs</i> \$ 2,500.00	200600214 09-47	10/22/2009	\$2,500.00	The Auen Foundation	3145 73555 Alessandro Drive, Suite D, Palm Desert, CA 92260
Total October 2009 (3 items)			<u>\$17,500.00</u>		

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
<u>November 2009</u>					
Desert Samaritans For The Elderly operating expenses	200600218 09-51	11/9/2009	\$2,500.00	The Auen Foundation	3150 PO Box 10967, Palm Desert, CA 92255
\$ 2,500.00					
La Quinta Arts Foundation senior area support	200600213 09-47	11/3/2009	\$5,000.00	The Auen Foundation	3148 PO Box 777, La Quinta, CA 92253
\$ 5,000.00					
Pegasus Riding Academy for the Handicapped adult caretaker meals	200600215 09-49	11/9/2009	\$2,500.00	The Auen Foundation	3149 PO Box 397, Thousand Palms, CA 92276
\$ 2,500.00					
			<hr/>		
			Total November 2009	\$10,000.00	
			(3 items)		
<u>December 2009</u>					
Joslyn-Cove Communities Senior Association match from the board of Joslyn Senior Center for 6 month Public Relations contract	200600224 09-49	12/15/2009	\$7,200.00	The Auen Foundation	3156 73-750 Catalina Way, Palm Desert, CA 92260
\$ 7,200.00					
The Ranch Recovery Center Inc senior scholarships	200600231 09-52	12/9/2009	\$10,000.00	The Auen Foundation	3153 7885 Annandale Ave., Desert Hot Springs, CA 92240
\$ 10,000.00					
Food Find Bank senior care kit	200600232 09-53	12/15/2009	\$10,000.00	The Auen Foundation	3155 PO Box 41, Cathedral City, CA 92235
\$ 10,000.00					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
McCallum Theatre <i>funding for FIND Guide Dogs Desert ARC and Desert Aids</i> \$ 1,500.00	200600244 09-54	12/15/2009	\$1,500.00	The Auen Foundation	credit card 73000 Fred Waring Drive, Palm Desert, CA 92260
Palm Springs International Film Festival <i>Senior and Active Retirement Program</i> \$ 20,000.00	200600219 09-50	12/1/2009	\$20,000.00	The Auen Foundation	3151 1700 E Tahquitz Canyon Way, #3, Palm Springs, CA 92262
<i>Total December 2009</i> (5 items)			<u>\$48,700.00</u>		
Grand Total (54 items)			<u>\$456,150.00</u>		

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990 PF, Dec 31, 2009
Schedule (16), Part XVII, Line 1b(4)

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

<u>Line No.</u>	<u>Amount Involved</u>	<u>Name of Non-Charitable Exempt Organization</u>	<u>Description</u>
b(4)	\$ 344,140	The Fairfield Homes Title Holding Co., Inc {exempt IRC 501 (c)(2)}	Is the paymaster of the Foundation as authorized by Employment Tax Reg. 31.3121(s) - 1(a) and (b) Accounting services and other administrative expenses provided to the Foundation at allocated cost in accordance with an overhead sharing agreement