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|-----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Form 990<br><br><br>Department of the Treasury<br>Internal Revenue Service | <b>Return of Organization Exempt From Income Tax</b><br><br><b>Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)</b><br><br>▶ The organization may have to use a copy of this return to satisfy state reporting requirements | OMB No 1545-0047<br><br><b>2010</b><br><br><b>Open to Public Inspection</b> |
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|                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>A For the 2010 calendar year, or tax year beginning 08-01-2010 and ending 07-31-2011</b>                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                      |
| <b>B</b> Check if applicable<br><input type="checkbox"/> Address change<br><input type="checkbox"/> Name change<br><input type="checkbox"/> Initial return<br><input type="checkbox"/> Terminated<br><input type="checkbox"/> Amended return<br><input type="checkbox"/> Application pending | <b>C</b> Name of organization<br>MATHEMATICAL SCIENCES RESEARCH INSTITUTE<br><br>Doing Business As<br><br>Number and street (or P O box if mail is not delivered to street address)<br>17 GAUSS WAY<br><br>Room/suite<br><br>City or town, state or country, and ZIP + 4<br>BERKLEY, CA 94720 | <b>D Employer identification number</b><br><br>94-2650833<br><br><b>E Telephone number</b><br><br>(510) 642-0143<br><br><b>G</b> Gross receipts \$ 10,632,663                                                                                                                                                        |
|                                                                                                                                                                                                                                                                                              | <b>F</b> Name and address of principal officer<br>PHYLLIS CARTER<br>17 GAUSS WAY<br>BERKLEY, CA 94720                                                                                                                                                                                         | <b>H(a)</b> Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br><br><b>H(b)</b> Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If "No," attach a list (see instructions)<br><b>H(c)</b> Group exemption number ▶ |
|                                                                                                                                                                                                                                                                                              | <b>I</b> Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) ◀ (Insert no ) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527                                                                                               |                                                                                                                                                                                                                                                                                                                      |
|                                                                                                                                                                                                                                                                                              | <b>J Website:</b> ▶ WWW.MSRI.ORG                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                      |
|                                                                                                                                                                                                                                                                                              | <b>K</b> Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶                                                                                                            |                                                                                                                                                                                                                                                                                                                      |
| <b>L</b> Year of formation 1980                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                      |
| <b>M</b> State of legal domicile CA                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                      |

| Part I                                                                                   |                                                                                                                                                                                                                                                                                 | Summary                   |              |
|------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|--------------|
| Activities & Governance                                                                  | <b>1</b> Briefly describe the organization's mission or most significant activities<br>MSRI FOSTERS MATHEMATICAL RESEARCH BY BRINGING TO QETHER THE FOREMOST MATHEMATICAL SCIENTISTS FROM AROUND THE WORLD IN AN ENVIRONMENT THAT PROMOTES CREATIVE AND EFFECTIVE COLLABORATION |                           |              |
|                                                                                          |                                                                                                                                                                                                                                                                                 |                           |              |
|                                                                                          |                                                                                                                                                                                                                                                                                 |                           |              |
|                                                                                          |                                                                                                                                                                                                                                                                                 |                           |              |
|                                                                                          | <b>2</b> Check this box <input checked="" type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets                                                                                                                      |                           |              |
|                                                                                          | <b>3</b> Number of voting members of the governing body (Part VI, line 1a) . . . . .                                                                                                                                                                                            | <b>3</b>                  | 36           |
|                                                                                          | <b>4</b> Number of independent voting members of the governing body (Part VI, line 1b) . . . . .                                                                                                                                                                                | <b>4</b>                  | 36           |
|                                                                                          | <b>5</b> Total number of individuals employed in calendar year 2010 (Part V, line 2a) . . . . .                                                                                                                                                                                 | <b>5</b>                  | 31           |
| <b>6</b> Total number of volunteers (estimate if necessary) . . . . .                    | <b>6</b>                                                                                                                                                                                                                                                                        | 10                        |              |
| <b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12 . . . . . | <b>7a</b>                                                                                                                                                                                                                                                                       | 0                         |              |
| <b>b</b> Net unrelated business taxable income from Form 990-T, line 34 . . . . .        | <b>7b</b>                                                                                                                                                                                                                                                                       | 0                         |              |
| Revenue                                                                                  | <b>8</b> Contributions and grants (Part VIII, line 1h) . . . . .                                                                                                                                                                                                                | Prior Year                | Current Year |
|                                                                                          | <b>9</b> Program service revenue (Part VIII, line 2g) . . . . .                                                                                                                                                                                                                 | 2,668,794                 | 9,233,905    |
|                                                                                          | <b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d ) . . . . .                                                                                                                                                                                              | 369,017                   | 364,150      |
|                                                                                          | <b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)                                                                                                                                                                                              | 79,164                    | 7,415        |
|                                                                                          | <b>12</b> Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .                                                                                                                                                                            | 4,860                     | 10,381       |
|                                                                                          |                                                                                                                                                                                                                                                                                 | 3,121,835                 | 9,615,851    |
| Expenses                                                                                 | <b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1–3 ) . . . . .                                                                                                                                                                                           | 2,841,458                 | 2,259,460    |
|                                                                                          | <b>14</b> Benefits paid to or for members (Part IX, column (A), line 4) . . . . .                                                                                                                                                                                               | 0                         | 0            |
|                                                                                          | <b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)                                                                                                                                                                                     | 1,991,231                 | 2,301,638    |
|                                                                                          | <b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e) . . . . .                                                                                                                                                                                              | 0                         | 0            |
|                                                                                          | <b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶476,550                                                                                                                                                                                                     |                           |              |
|                                                                                          | <b>17</b> Other expenses (Part IX, column (A), lines 11a–11d, 11f–24f) . . . . .                                                                                                                                                                                                | 2,587,110                 | 4,091,631    |
|                                                                                          | <b>18</b> Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)                                                                                                                                                                                              | 7,419,799                 | 8,652,729    |
|                                                                                          | <b>19</b> Revenue less expenses Subtract line 18 from line 12 . . . . .                                                                                                                                                                                                         | -4,297,964                | 963,122      |
| Net Assets or Fund Balances                                                              |                                                                                                                                                                                                                                                                                 | Beginning of Current Year | End of Year  |
|                                                                                          | <b>20</b> Total assets (Part X, line 16) . . . . .                                                                                                                                                                                                                              | 24,272,636                | 24,884,416   |
|                                                                                          | <b>21</b> Total liabilities (Part X, line 26) . . . . .                                                                                                                                                                                                                         | 152,944                   | 324,596      |
|                                                                                          | <b>22</b> Net assets or fund balances Subtract line 21 from line 20 . . . . .                                                                                                                                                                                                   | 24,119,692                | 24,559,820   |

|                                                                                                                                                                                                                                                                                                                       |                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| <b>Part II</b>                                                                                                                                                                                                                                                                                                        | <b>Signature Block</b> |
| 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 officer) is based on all information of which preparer has any knowledge. |                        |

|                                                                                                                                                                 |                                                                                                                                               |                                      |      |                                                 |                           |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|------|-------------------------------------------------|---------------------------|
| Sign Here                                                                                                                                                       | <br>*****<br>Signature of officer                          | 2012-06-14<br>Date                   |      |                                                 |                           |
|                                                                                                                                                                 | <br>PHYLLIS CARTER CFO/CAO<br>Type or print name and title |                                      |      |                                                 |                           |
| Paid Preparer Use Only                                                                                                                                          | Print/Type preparer's name<br>MAGA KISRIEV                                                                                                    | Preparer's signature<br>MAGA KISRIEV | Date | Check if self-employed <input type="checkbox"/> | PTIN                      |
|                                                                                                                                                                 | Firm's name ▶ BURR PILGER MAYER INC                                                                                                           |                                      |      |                                                 | Firm's EIN ▶              |
|                                                                                                                                                                 | Firm's address ▶ 600 CALIFORNIA STREET SUITE 1300<br><br>SAN FRANCISCO, CA 94108                                                              |                                      |      |                                                 | Phone no ▶ (415) 421-5757 |
| May the IRS discuss this return with the preparer shown above? (see instructions) . . . . . <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |                                                                                                                                               |                                      |      |                                                 |                           |

Part III

Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III

1

Briefly describe the organization’s mission

THE MATHEMATICAL SCIENCES RESEARCH INSTITUTE (MSRI) EXIST TO FURTHER THE ADVANCEMENT AND COMMUNICATION OF FUNDAMENTAL KNOWLEDGE IN MATHEMATICS AND THE MATHEMATICAL SCIENCES, THE DEVELOPMENT OF HUMAN CAPITAL FOR THE GROWTH AND USE OF SUCH KNOWLEDGE, AND THE CULTIVATION IN THE LARGER SOCIETY OF AWARENESS AND APPRECIATION OF THE BEAUTY, POWER AND IMPORTANCE OF MATHEMATICAL IDEAS AND WAYS OF UNDERSTANDING THE WORLD

2

Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

If “Yes,” describe these new services on Schedule O

3

Did the organization cease conducting, or make significant changes in how it conducts, any program services?

If “Yes,” describe these changes on Schedule O

4

Describe the exempt purpose achievements for each of the organization’s three largest program services by expenses

Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4a | (Code ) (Expenses \$ 5,070,164 including grants of \$ 2,259,460 ) (Revenue \$ 364,150 )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|    | SCIENTIFIC PROGRAMS MSRI CONDUCTS BROADLY-BASED RESEARCH PROGRAMS IN THE MATHEMATICAL SCIENCES AND CLOSELY RELATED FIELDS IN ANY GIVEN YEAR, MSRI CONDUCTS BETWEEN TWO AND FOUR THEMATIC RESEARCH PROGRAMS, EACH LASTING EITHER 4 MONTHS OR 10 MONTHS EACH SUCH PROGRAM HOSTS 40-100 MATHEMATICAL SCIENTISTS FROM ALL OVER THE WORLD WHOSE RESEARCH CENTERS ON THE PROGRAM'S THEME, DURING WHICH TIME, THEY COLLABORATE ON RESEARCH, CONDUCT SEMINARS AND WORKSHOPS, AND TRAIN AND MENTOR POSTDOCTORAL FELLOWS IN THE DISCIPLINE MSRI ALSO HOSTS, EACH YEAR, SEVERAL STAND-ALONE WORKSHOPS ON SPECIAL TOPICS, EACH ONE LASTING FOR A PERIOD BETWEEN ONE DAY AND TWO WEEKS AND BRINGING TO MSRI BETWEEN 40 AND 150 PARTICIPANTS MSRI ALSO COLLABORATES WITH OTHER MATHEMATICS INSTITUTES IN SCIENTIFIC PROGRAMS AND IN ITS EFFORTS TO ENCOURAGE A DIVERSE POPULATION TO PARTICIPATE IN MATHEMATICS RESEARCH PROGRAMS |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4b | (Code ) (Expenses \$ 1,289,159 including grants of \$ ) (Revenue \$ )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|    | MATH AND SOCIETY PROGRAMS MSRI SPONSORS A LARGE NUMBER OF PROGRAMS AND ACTIVITIES WHOSE GOAL IS TO ENHANCE K-12 MATHEMATICS EDUCATION AND TEACHER TRAINING THESE INCLUDE SUPPORTING SEVERAL MATH CIRCLES (AFTERSCHOOL ACTIVITIES IN MATHEMATICS FOR SCHOOL CHILDREN) IN THE BAY AREA, THE NATIONAL ASSOCIATION OF MATH CIRCLES (WHICH PROMOTES A MATH CIRCLES NATIONWIDE, MATHEMATICS RELATED EVENTS FOR CHILDREN (JULIA ROBINSON MATHEMATICS FESTIVAL, THE BAY AREA MATHEMATICS OLYMPIAD), CIRCLE ON THE ROAD (A PROGRAM TO FOSTER ESTABLISHMENT OF NEW MATH CIRCLES), CRITICAL ISSUES IN MATHEMATICS EDUCATION (A FORUM FOR EXCHANGE OF IDEAS BETWEEN MATHEMATICS RESEARCHERS AND EDUCATORS), AND THE MATHEMATICS PROFESSIONAL DEVELOPMENT INSTITUTE (TRAINING FOR TEACHERS OF MATHEMATICS) IN ADDITION, EACH YEAR, A SERIES OF FILMS, AND PUBLIC LECTURES AND OTHER EVENTS ARE HOSTED AT MSRI FOR THE PUBLIC THAT HELPS THE INTERESTED LAY PERSON TO UNDERSTAND THE IMPORTANCE OF MATHEMATICS AND ITS APPLICATIONS IN OUR SOCIETY AND CULTURE AND TO APPRECIATE THE SIGNIFICANT RECENT ADVANCES IN THE DISCIPLINE |

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4c | (Code ) (Expenses \$ 802,511 including grants of \$ ) (Revenue \$ )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|    | COMPUTING AND COMMUNICATION MSRI PROVIDES INFORMATION TECHNOLOGY (IT) RESOURCES AND SERVICES TO ITS RESEARCHERS AND THE BROADER MATH COMMUNITY WORLDWIDE MSRI MAINTAINS AN IT PLATFORM THAT FEATURES THE MOST ADVANCED MATHEMATICAL SOFTWARE AND THAT GRANTS ACCESS TO AND SUPPORTS VIRTUAL COLLABORATIVE RESEARCH AMONGST MATHEMATICIANS AT THE INSTITUTE MSRI DEVELOPS AND MAINTAINS A VMATH WEBSITE THAT STREAMS VIDEOS OF PAST PROGRAM LECTURES FOR MATHEMATICIANS AND THE GENERAL PUBLIC ALSO, MSRI DEVELOPED AND CURRENTLY MAINTAINS AND PROMOTES THE NATIONAL ASSOCIATION OF MATH CIRCLES WEBSITE, ENABLING A NATIONWIDE NETWORK OF MATH CIRCLES TO SHARE ONLINE MATH RESOURCES AND TOOLS AND FOR USE IN MATH CIRCLE AFTER-SCHOOL PROGRAMS AND CHILDHOOD EDUCATION IN ADDITION, MSRI PRODUCES AND DISTRIBUTES DIGITAL VERSIONS OF ITS MOST POPULAR SCIENTIFIC AND PUBLIC EVENTS |

4d

Other program services (Describe in Schedule O )

(Expenses \$ including grants of \$ ) (Revenue \$ )

4e

Total program service expenses \$ 7,161,834

Part IV

Checklist of Required Schedules

|     |                                                                                                                                                                                                                                                                                                                                               | Yes | No |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1   | Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A.</i>                                                                                                                    | Yes |    |
| 2   | Is the organization required to complete Schedule B, Schedule of Contributors (see instruction)?                                                                                                                                                           | Yes |    |
| 3   | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I.</i> . . . . .                                                                                                                                        |     | No |
| 4   | <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II.</i> . . . . .                                                                                                                         |     | No |
| 5   | Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III.</i> . . . . .                                                                                                 |     |    |
| 6   | Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I.</i>   |     | No |
| 7   | Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? <i>If "Yes," complete Schedule D, Part II.</i>                                      |     | No |
| 8   | Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III.</i>                                                                                                    |     | No |
| 9   | Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV.</i>  |     | No |
| 10  | Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V.</i>                                                                                         | Yes |    |
| 11  | If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable                                                                                                                                                                                                |     |    |
| a   | Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI.</i>                                                                                                                  | Yes |    |
| b   | Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII.</i>                                              |     | No |
| c   | Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII.</i>                                             |     | No |
| d   | Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX.</i>                                                               |     | No |
| e   | Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X.</i>                                                                                                                            |     | No |
| f   | Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X.</i>     | Yes |    |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI, XII, and XIII.</i>                                                                                            | Yes |    |
| b   | Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional.</i>              |     | No |
| 13  | Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E.</i>                                                                                                                                                                                                                                     |     | No |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? . . . . .                                                                                                                                                                                                                                         |     | No |
| b   | Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the United States? <i>If "Yes," complete Schedule F, Parts I and IV.</i> . . . . .                                                                                             |     | No |
| 15  | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the U S ? <i>If "Yes," complete Schedule F, Parts II and IV.</i> . . . . .                                                                                                                |     | No |
| 16  | Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the U S ? <i>If "Yes," complete Schedule F, Parts III and IV.</i> . . . . .                                                                                                                    |     | No |
| 17  | Did the organization report a total of more than \$15,000, of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I (see instructions)</i>                                                                                                                         |     | No |
| 18  | Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II.</i> . . . . .                                                                                                                                              |     | No |
| 19  | Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III.</i> . . . . .                                                                                                                                                                        |     | No |
| 20a | Did the organization operate one or more hospitals? <i>If "Yes," complete Schedule H.</i> . . . . .                                                                                                                                                                                                                                           |     | No |
| b   | If "Yes" to line 20a, did the organization attach its audited financial statement to this return? <b>Note.</b> Some Form 990 filers that operate one or more hospitals must attach audited financial statements (see instructions)                                                                                                            |     |    |

Part IV

Checklist of Required Schedules (continued)

|     |                                                                                                                                                                                                                                                                                        |     |     |    |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|----|
| 21  | Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i> . . . . .                                                      | 21  | Yes |    |
| 22  | Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i> . . . . .                                                                       | 22  | Yes |    |
| 23  | Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> . . . . .            | 23  | Yes |    |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b–24d and complete Schedule K. If "No," go to line 25</i> . . . . . | 24a |     | No |
| b   | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . .                                                                                                                                                                              | 24b |     |    |
| c   | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .                                                                                                                                   | 24c |     |    |
| d   | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . .                                                                                                                                                                        | 24d |     |    |
| 25a | <b>Section 501(c)(3) and 501(c)(4) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i> . . . . .                                                                  | 25a |     | No |
| b   | Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i> . . . . .   | 25b |     | No |
| 26  | Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II</i> . . . . .                                | 26  |     | No |
| 27  | Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III</i> . . . . .        | 27  |     | No |
| 28  | Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)                                                                                          |     |     |    |
| a   | A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> . . . . .                                                                                                                                                               | 28a |     | No |
| b   | A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> . . . . .                                                                                                                                            | 28b |     | No |
| c   | An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> . . . . .                                                | 28c |     | No |
| 29  | Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> . . . . .                                                                                                                                                              | 29  | Yes |    |
| 30  | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> . . . . .                                                                                              | 30  |     | No |
| 31  | Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> . . . . .                                                                                                                                                    | 31  |     | No |
| 32  | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> . . . . .                                                                                                                                  | 32  |     | No |
| 33  | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> . . . . .                                                                                  | 33  |     | No |
| 34  | Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i> . . . . .                                                                                                                                     | 34  |     | No |
| 35  | Is any related organization a controlled entity within the meaning of section 512(b)(13)? . . . . .                                                                                                                                                                                    | 35  |     | No |
| a   | Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No       |     |     |    |
| 36  | <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i> . . . . .                                                                                       | 36  |     | No |
| 37  | Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i> . . . . .                                         | 37  |     | No |
| 38  | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .                                                                                           | 38  | Yes |    |

|                                                                                                                   |                                                                                                                                                                                                                                                                              |            |           |
|-------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------|
| <b>Part V</b> <b>Statements Regarding Other IRS Filings and Tax Compliance</b>                                    |                                                                                                                                                                                                                                                                              |            |           |
| Check if Schedule O contains a response to any question in this Part V <input type="checkbox"/>                   |                                                                                                                                                                                                                                                                              |            |           |
|                                                                                                                   |                                                                                                                                                                                                                                                                              | <b>Yes</b> | <b>No</b> |
| <b>1a</b>                                                                                                         | Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.                                                                                                                                                                                                | <b>1a</b>  | 172       |
| <b>b</b>                                                                                                          | Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.                                                                                                                                                                                             | <b>1b</b>  | 0         |
| <b>c</b>                                                                                                          | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?                                                                                                                     | <b>1c</b>  | Yes       |
| <b>2a</b>                                                                                                         | Enter the number of employees reported on Form W-3, <i>Transmittal of Wage and Tax Statements</i> filed for the calendar year ending with or within the year covered by this return.                                                                                         | <b>2a</b>  | 31        |
| <b>b</b>                                                                                                          | If at least one is reported on line 2a, did the organization file all required federal employment tax returns?                                                                                                                                                               | <b>2b</b>  | Yes       |
| <b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions). |                                                                                                                                                                                                                                                                              |            |           |
| <b>3a</b>                                                                                                         | Did the organization have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                | <b>3a</b>  | No        |
| <b>b</b>                                                                                                          | If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O.                                                                                                                                                                            | <b>3b</b>  |           |
| <b>4a</b>                                                                                                         | At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?                                   | <b>4a</b>  | No        |
| <b>b</b>                                                                                                          | If "Yes," enter the name of the foreign country:<br>See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.                                                                                                           |            |           |
| <b>5a</b>                                                                                                         | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?                                                                                                                                                                        | <b>5a</b>  | No        |
| <b>b</b>                                                                                                          | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?                                                                                                                                                             | <b>5b</b>  | No        |
| <b>c</b>                                                                                                          | If "Yes" to line 5a or 5b, did the organization file Form 8886-T?                                                                                                                                                                                                            | <b>5c</b>  |           |
| <b>6a</b>                                                                                                         | Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible?                                                                                                  | <b>6a</b>  | No        |
| <b>b</b>                                                                                                          | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?                                                                                                                                | <b>6b</b>  |           |
| <b>7 Organizations that may receive deductible contributions under section 170(c).</b>                            |                                                                                                                                                                                                                                                                              |            |           |
| <b>a</b>                                                                                                          | Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?                                                                                                                              | <b>7a</b>  | No        |
| <b>b</b>                                                                                                          | If "Yes," did the organization notify the donor of the value of the goods or services provided?                                                                                                                                                                              | <b>7b</b>  |           |
| <b>c</b>                                                                                                          | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?                                                                                                                                         | <b>7c</b>  | No        |
| <b>d</b>                                                                                                          | If "Yes," indicate the number of Forms 8282 filed during the year.                                                                                                                                                                                                           | <b>7d</b>  |           |
| <b>e</b>                                                                                                          | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?                                                                                                                                                              | <b>7e</b>  | No        |
| <b>f</b>                                                                                                          | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?                                                                                                                                                                 | <b>7f</b>  | No        |
| <b>g</b>                                                                                                          | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?                                                                                                                                             | <b>7g</b>  |           |
| <b>h</b>                                                                                                          | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?                                                                                                                                           | <b>7h</b>  |           |
| <b>8</b>                                                                                                          | <b>Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? | <b>8</b>   |           |
| <b>9 Sponsoring organizations maintaining donor advised funds.</b>                                                |                                                                                                                                                                                                                                                                              |            |           |
| <b>a</b>                                                                                                          | Did the organization make any taxable distributions under section 4966?                                                                                                                                                                                                      | <b>9a</b>  |           |
| <b>b</b>                                                                                                          | Did the organization make a distribution to a donor, donor advisor, or related person?                                                                                                                                                                                       | <b>9b</b>  |           |
| <b>10 Section 501(c)(7) organizations.</b> Enter                                                                  |                                                                                                                                                                                                                                                                              |            |           |
| <b>a</b>                                                                                                          | Initiation fees and capital contributions included on Part VIII, line 12.                                                                                                                                                                                                    | <b>10a</b> |           |
| <b>b</b>                                                                                                          | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.                                                                                                                                                                                 | <b>10b</b> |           |
| <b>11 Section 501(c)(12) organizations.</b> Enter                                                                 |                                                                                                                                                                                                                                                                              |            |           |
| <b>a</b>                                                                                                          | Gross income from members or shareholders.                                                                                                                                                                                                                                   | <b>11a</b> |           |
| <b>b</b>                                                                                                          | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them).                                                                                                                                                 | <b>11b</b> |           |
| <b>12a</b>                                                                                                        | <b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?                                                                                                                                                            | <b>12a</b> |           |
| <b>b</b>                                                                                                          | If "Yes," enter the amount of tax-exempt interest received or accrued during the year.                                                                                                                                                                                       | <b>12b</b> |           |
| <b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>                                        |                                                                                                                                                                                                                                                                              |            |           |
| <b>a</b>                                                                                                          | Is the organization licensed to issue qualified health plans in more than one state?<br><b>Note.</b> See the instructions for additional information the organization must report on Schedule O.                                                                             | <b>13a</b> |           |
| <b>b</b>                                                                                                          | Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.                                                                                                                   | <b>13b</b> |           |
| <b>c</b>                                                                                                          | Enter the amount of reserves on hand.                                                                                                                                                                                                                                        | <b>13c</b> |           |
| <b>14a</b>                                                                                                        | Did the organization receive any payments for indoor tanning services during the tax year?                                                                                                                                                                                   | <b>14a</b> | No        |
| <b>b</b>                                                                                                          | If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O.                                                                                                                                                                   | <b>14b</b> |           |

Part VI

Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.  
Check if Schedule O contains a response to any question in this Part VI

Section A. Governing Body and Management

|    |                                                                                                                                                                                                                     |    |     |    |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
|    |                                                                                                                                                                                                                     |    | Yes | No |
| 1a | Enter the number of voting members of the governing body at the end of the tax year                                                                                                                                 | 1a | 36  |    |
| b  | Enter the number of voting members included in line 1a, above, who are independent                                                                                                                                  | 1b | 36  |    |
| 2  | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?                                               | 2  | Yes |    |
| 3  | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | 3  |     | No |
| 4  | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?                                                                                                    | 4  | Yes |    |
| 5  | Did the organization become aware during the year of a significant diversion of the organization's assets?                                                                                                          | 5  |     | No |
| 6  | Does the organization have members or stockholders?                                                                                                                                                                 | 6  |     | No |
| 7a | Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body?                                                                                         | 7a |     | No |
| b  | Are any decisions of the governing body subject to approval by members, stockholders, or other persons?                                                                                                             | 7b |     | No |
| 8  | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following                                                                                    |    |     |    |
| a  | The governing body?                                                                                                                                                                                                 | 8a | Yes |    |
| b  | Each committee with authority to act on behalf of the governing body?                                                                                                                                               | 8b | Yes |    |
| 9  | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O        | 9  |     | No |

Section B. Policies

(This Section B requests information about policies not required by the Internal Revenue Code.)

|     |                                                                                                                                                                                                                                                                                                |     |     |    |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|----|
|     |                                                                                                                                                                                                                                                                                                |     | Yes | No |
| 10a | Does the organization have local chapters, branches, or affiliates?                                                                                                                                                                                                                            | 10a |     | No |
| b   | If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization?                                                                             | 10b |     |    |
| 11a | Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form?                                                                                                                                                                             | 11a | Yes |    |
| b   | Describe in Schedule O the process, if any, used by the organization to review this Form 990                                                                                                                                                                                                   |     |     |    |
| 12a | Does the organization have a written conflict of interest policy? If "No," go to line 13                                                                                                                                                                                                       | 12a | Yes |    |
| b   | Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?                                                                                                                                                              | 12b | Yes |    |
| c   | Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done                                                                                                                                             | 12c |     | No |
| 13  | Does the organization have a written whistleblower policy?                                                                                                                                                                                                                                     | 13  | Yes |    |
| 14  | Does the organization have a written document retention and destruction policy?                                                                                                                                                                                                                | 14  | Yes |    |
| 15  | Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?                                                                           |     |     |    |
| a   | The organization's CEO, Executive Director, or top management official                                                                                                                                                                                                                         | 15a | Yes |    |
| b   | Other officers or key employees of the organization                                                                                                                                                                                                                                            | 15b | Yes |    |
|     | If "Yes" to line 15a or 15b, describe the process in Schedule O (See instructions)                                                                                                                                                                                                             |     |     |    |
| 16a | Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?                                                                                                                                          | 16a |     | No |
| b   | If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements? | 16b |     |    |

Section C. Disclosure

|    |                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                              |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 17 | List the States with which a copy of this Form 990 is required to be filed                                                                                                                                                                                                                                                                              | AL , AK , AZ , AR , CA , CT , FL , GA , IL , KS , KY , MA , MD , ME , MI , MN , MS , NC , ND , NH , NJ , NM , NY , OH , OK , OR , PA , RI , SC , TN , UT , VA , WA , WI , WV |
| 18 | Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you make these available. Check all that apply.<br><input type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request |                                                                                                                                                                              |
| 19 | Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public. See Additional Data Table.                                                                                                                                              |                                                                                                                                                                              |
| 20 | State the name, physical address, and telephone number of the person who possesses the books and records of the organization.                                                                                                                                                                                                                           | PHYLLIS CARTER<br>17 GAUSS WAY<br>BERKELEY, CA 947205070<br>(510) 643-8321                                                                                                   |

Check if Schedule O contains a response to any question in this Part VII ☐ ☒

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

[illegible]

## Part VII

|           |                                                              |         |   |        |
|-----------|--------------------------------------------------------------|---------|---|--------|
| <b>1b</b> | <b>Sub-Total</b>                                             |         |   |        |
| <b>c</b>  | <b>Total from continuation sheets to Part VII, Section A</b> |         |   |        |
| <b>d</b>  | <b>Total (add lines 1b and 1c)</b>                           | 416,778 | 0 | 91,298 |

**2** Total number of individuals (including but not limited to those listed in Item 3) who received or accrued more than \$100,000 in reportable compensation from the organization. **3**

|          |                                                                                                                                                                                                                                               | Yes          | No |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|----|
| <b>3</b> | Did the organization list any <b>former</b> officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> . . . . .                                        | <b>3</b>     | No |
| <b>4</b> | For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> . . . . . | <b>4</b> Yes |    |
| <b>5</b> | Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> . . . . .                       | <b>5</b>     | No |

## **Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization

| (A)                       | (B)                     | (C)          |
|---------------------------|-------------------------|--------------|
| Name and business address | Description of services | Compensation |
|                           |                         |              |
|                           |                         |              |
|                           |                         |              |
|                           |                         |              |
|                           |                         |              |

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization ►0

Part VIII

Statement of Revenue

|                                                        |                                                                 |                                                                                                                                   | (A)                                                                                   | (B)                                | (C)                        | (D)                                                       |         |
|--------------------------------------------------------|-----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|------------------------------------|----------------------------|-----------------------------------------------------------|---------|
|                                                        |                                                                 |                                                                                                                                   | Total revenue                                                                         | Related or exempt function revenue | Unrelated business revenue | Revenue excluded from tax under sections 512, 513, or 514 |         |
| Contributions, gifts, grants and other similar amounts | 1a                                                              | Federated campaigns . . . . .                                                                                                     | 1a                                                                                    |                                    |                            |                                                           |         |
|                                                        | b                                                               | Membership dues . . . . .                                                                                                         | 1b                                                                                    |                                    |                            |                                                           |         |
|                                                        | c                                                               | Fundraising events . . . . .                                                                                                      | 1c                                                                                    |                                    |                            |                                                           |         |
|                                                        | d                                                               | Related organizations . . . . .                                                                                                   | 1d                                                                                    |                                    |                            |                                                           |         |
|                                                        | e                                                               | Government grants (contributions)                                                                                                 | 1e                                                                                    | 5,689,143                          |                            |                                                           |         |
|                                                        | f                                                               | All other contributions, gifts, grants, and similar amounts not included above                                                    | 1f                                                                                    | 3,544,762                          |                            |                                                           |         |
|                                                        | g                                                               | Noncash contributions included in lines 1a-1f \$                                                                                  |                                                                                       | 47,206                             |                            |                                                           |         |
|                                                        | h                                                               | Total. Add lines 1a-1f . . . . .                                                                                                  |                                                                                       | 9,233,905                          |                            |                                                           |         |
|                                                        | Program Service Revenue                                         | 2a                                                                                                                                | ACADEM SVC FEES & OTH                                                                 | Business Code<br>900099            | 364,150                    | 364,150                                                   |         |
| b                                                      |                                                                 |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
| c                                                      |                                                                 |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
| d                                                      |                                                                 |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
| e                                                      |                                                                 |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
| f                                                      |                                                                 | All other program service revenue                                                                                                 |                                                                                       |                                    |                            |                                                           |         |
| g                                                      |                                                                 | Total. Add lines 2a-2f . . . . .                                                                                                  |                                                                                       | 364,150                            |                            |                                                           |         |
| Other Revenue                                          |                                                                 | 3                                                                                                                                 | Investment income (including dividends, interest and other similar amounts) . . . . . |                                    | 74,280                     |                                                           | 74,280  |
|                                                        | 4                                                               | Income from investment of tax-exempt bond proceeds . . . . .                                                                      |                                                                                       |                                    |                            |                                                           |         |
|                                                        | 5                                                               | Royalties . . . . .                                                                                                               |                                                                                       | 7,843                              |                            | 7,843                                                     |         |
|                                                        | 6a                                                              | Gross Rents                                                                                                                       | (i) Real                                                                              | (ii) Personal                      |                            |                                                           |         |
|                                                        |                                                                 | b                                                                                                                                 | Less rental expenses                                                                  |                                    |                            |                                                           |         |
|                                                        |                                                                 | c                                                                                                                                 | Rental income or (loss)                                                               |                                    |                            |                                                           |         |
|                                                        |                                                                 | d                                                                                                                                 | Net rental income or (loss) . . . . .                                                 |                                    |                            |                                                           |         |
|                                                        | 7a                                                              | Gross amount from sales of assets other than inventory                                                                            | (i) Securities                                                                        | (ii) Other                         |                            |                                                           |         |
|                                                        |                                                                 | b                                                                                                                                 | Less cost or other basis and sales expenses                                           |                                    |                            |                                                           |         |
|                                                        |                                                                 | c                                                                                                                                 | Gain or (loss)                                                                        |                                    |                            |                                                           |         |
|                                                        |                                                                 | d                                                                                                                                 | Net gain or (loss) . . . . .                                                          |                                    | -66,865                    |                                                           | -66,865 |
|                                                        | 8a                                                              | Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c) See Part IV, line 18 . . . . . | a                                                                                     |                                    |                            |                                                           |         |
|                                                        |                                                                 | b                                                                                                                                 | Less direct expenses . . . . .                                                        | b                                  |                            |                                                           |         |
|                                                        |                                                                 | c                                                                                                                                 | Net income or (loss) from fundraising events . . . . .                                |                                    |                            |                                                           |         |
|                                                        | 9a                                                              | Gross income from gaming activities See Part IV, line 19 . . . . .                                                                | a                                                                                     |                                    |                            |                                                           |         |
|                                                        |                                                                 | b                                                                                                                                 | Less direct expenses . . . . .                                                        | b                                  |                            |                                                           |         |
|                                                        |                                                                 | c                                                                                                                                 | Net income or (loss) from gaming activities . . . . .                                 |                                    |                            |                                                           |         |
| 10a                                                    | Gross sales of inventory, less returns and allowances . . . . . | a                                                                                                                                 |                                                                                       |                                    |                            |                                                           |         |
|                                                        | b                                                               | Less cost of goods sold . . . . .                                                                                                 | b                                                                                     |                                    |                            |                                                           |         |
|                                                        | c                                                               | Net income or (loss) from sales of inventory . . . . .                                                                            |                                                                                       |                                    |                            |                                                           |         |
| 11a                                                    | Miscellaneous Revenue                                           | Business Code                                                                                                                     |                                                                                       |                                    |                            |                                                           |         |
|                                                        | OTHER REVENUE                                                   | 900099                                                                                                                            | 2,538                                                                                 | 2,538                              |                            |                                                           |         |
|                                                        | b                                                               |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
|                                                        | c                                                               |                                                                                                                                   |                                                                                       |                                    |                            |                                                           |         |
|                                                        | d                                                               | All other revenue . . . . .                                                                                                       |                                                                                       |                                    |                            |                                                           |         |
|                                                        | e                                                               | Total. Add lines 11a-11d . . . . .                                                                                                |                                                                                       | 2,538                              |                            |                                                           |         |
|                                                        | 12                                                              | Total revenue. See Instructions . . . . .                                                                                         |                                                                                       | 9,615,851                          | 366,688                    | 0                                                         | 15,258  |

Part IX

Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns.

All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

| Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. |                                                                                                                                                                                                                                       | (A)<br>Total expenses | (B)<br>Program service expenses | (C)<br>Management and general expenses | (D)<br>Fundraising expenses |
|--------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------------|----------------------------------------|-----------------------------|
| 1                                                                              | Grants and other assistance to governments and organizations in the U S See Part IV, line 21                                                                                                                                          | 39,000                | 39,000                          |                                        |                             |
| 2                                                                              | Grants and other assistance to individuals in the U S See Part IV, line 22                                                                                                                                                            | 2,220,460             | 2,220,460                       |                                        |                             |
| 3                                                                              | Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16                                                                                                               |                       |                                 |                                        |                             |
| 4                                                                              | Benefits paid to or for members                                                                                                                                                                                                       |                       |                                 |                                        |                             |
| 5                                                                              | Compensation of current officers, directors, trustees, and key employees . . . . .                                                                                                                                                    |                       |                                 |                                        |                             |
| 6                                                                              | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .                                                                               | 645,852               | 390,711                         | 176,818                                | 78,323                      |
| 7                                                                              | Other salaries and wages                                                                                                                                                                                                              | 1,292,896             | 785,814                         | 350,690                                | 156,392                     |
| 8                                                                              | Pension plan contributions (include section 401(k) and section 403(b) employer contributions) . . . . .                                                                                                                               | 88,192                | 62,006                          | 14,882                                 | 11,304                      |
| 9                                                                              | Other employee benefits . . . . .                                                                                                                                                                                                     | 142,582               | 71,965                          | 53,722                                 | 16,895                      |
| 10                                                                             | Payroll taxes . . . . .                                                                                                                                                                                                               | 132,116               | 88,859                          | 26,061                                 | 17,196                      |
| a                                                                              | Fees for services (non-employees) Management . . . . .                                                                                                                                                                                |                       |                                 |                                        |                             |
| b                                                                              | Legal . . . . .                                                                                                                                                                                                                       | 36,008                | 56                              | 35,952                                 |                             |
| c                                                                              | Accounting . . . . .                                                                                                                                                                                                                  | 42,230                |                                 | 42,230                                 |                             |
| d                                                                              | Lobbying . . . . .                                                                                                                                                                                                                    |                       |                                 |                                        |                             |
| e                                                                              | Professional fundraising services See Part IV, line 17 . . . . .                                                                                                                                                                      |                       |                                 |                                        |                             |
| f                                                                              | Investment management fees . . . . .                                                                                                                                                                                                  |                       |                                 |                                        |                             |
| g                                                                              | Other . . . . .                                                                                                                                                                                                                       | 108,393               | 48,398                          | 15,595                                 | 44,400                      |
| 12                                                                             | Advertising and promotion . . . . .                                                                                                                                                                                                   |                       |                                 |                                        |                             |
| 13                                                                             | Office expenses . . . . .                                                                                                                                                                                                             | 72,592                | 19,372                          | 8,356                                  | 44,864                      |
| 14                                                                             | Information technology . . . . .                                                                                                                                                                                                      |                       |                                 |                                        |                             |
| 15                                                                             | Royalties . . . . .                                                                                                                                                                                                                   |                       |                                 |                                        |                             |
| 16                                                                             | Occupancy . . . . .                                                                                                                                                                                                                   | 140,629               | 124,238                         | 14,769                                 | 1,622                       |
| 17                                                                             | Travel . . . . .                                                                                                                                                                                                                      | 67,931                | 49,138                          | 7,083                                  | 11,710                      |
| 18                                                                             | Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .                                                                                                                              |                       |                                 |                                        |                             |
| 19                                                                             | Conferences, conventions, and meetings . . . . .                                                                                                                                                                                      |                       |                                 |                                        |                             |
| 20                                                                             | Interest . . . . .                                                                                                                                                                                                                    |                       |                                 |                                        |                             |
| 21                                                                             | Payments to affiliates . . . . .                                                                                                                                                                                                      |                       |                                 |                                        |                             |
| 22                                                                             | Depreciation, depletion, and amortization . . . . .                                                                                                                                                                                   | 622,280               | 547,606                         | 68,451                                 | 6,223                       |
| 23                                                                             | Insurance . . . . .                                                                                                                                                                                                                   | 15,275                | 10,346                          | 4,811                                  | 118                         |
| 24                                                                             | Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24f If line 24f amount exceeds 10% of line 25, column (A) amount, list line 24f expenses on Schedule O )                                       |                       |                                 |                                        |                             |
| a                                                                              | MEMBER SALARIES AND LIV                                                                                                                                                                                                               | 681,471               | 681,471                         |                                        |                             |
| b                                                                              | WORKSHOPS LESS GRANTS T                                                                                                                                                                                                               | 626,805               | 584,134                         | 4,100                                  | 38,571                      |
| c                                                                              | PURCHASED SERVICES                                                                                                                                                                                                                    | 407,725               | 338,765                         | 42,242                                 | 26,718                      |
| d                                                                              | RESEARCH PROFESSORS                                                                                                                                                                                                                   | 398,965               | 398,965                         |                                        |                             |
| e                                                                              | POSTDOCTORAL FELLOWSHIP                                                                                                                                                                                                               | 365,006               | 364,986                         | 20                                     |                             |
| f                                                                              | All other expenses                                                                                                                                                                                                                    | 506,321               | 335,544                         | 148,563                                | 22,214                      |
| 25                                                                             | Total functional expenses. Add lines 1 through 24f                                                                                                                                                                                    | 8,652,729             | 7,161,834                       | 1,014,345                              | 476,550                     |
| 26                                                                             | Joint costs. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720) Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation |                       |                                 |                                        |                             |

Part X

Balance Sheet

|                             |                                                                                                                                                         |                                                                                                                                                                                                                                                                                                     |            |            | (A)               |            | (B)         |
|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|------------|-------------------|------------|-------------|
|                             |                                                                                                                                                         |                                                                                                                                                                                                                                                                                                     |            |            | Beginning of year |            | End of year |
| Assets                      | <b>1</b>                                                                                                                                                | Cash—non-interest-bearing . . . . .                                                                                                                                                                                                                                                                 |            |            | 321,615           | <b>1</b>   |             |
|                             | <b>2</b>                                                                                                                                                | Savings and temporary cash investments . . . . .                                                                                                                                                                                                                                                    |            |            | 1,523,725         | <b>2</b>   | 2,071,622   |
|                             | <b>3</b>                                                                                                                                                | Pledges and grants receivable, net . . . . .                                                                                                                                                                                                                                                        |            |            | 2,420,721         | <b>3</b>   | 2,710,496   |
|                             | <b>4</b>                                                                                                                                                | Accounts receivable, net . . . . .                                                                                                                                                                                                                                                                  |            |            | 664               | <b>4</b>   | 15,293      |
|                             | <b>5</b>                                                                                                                                                | Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .                                                                                                                                       |            |            |                   | <b>5</b>   |             |
|                             | <b>6</b>                                                                                                                                                | Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers, and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Schedule L . . . . . |            |            |                   | <b>6</b>   |             |
|                             | <b>7</b>                                                                                                                                                | Notes and loans receivable, net . . . . .                                                                                                                                                                                                                                                           |            |            |                   | <b>7</b>   |             |
|                             | <b>8</b>                                                                                                                                                | Inventories for sale or use . . . . .                                                                                                                                                                                                                                                               |            |            |                   | <b>8</b>   |             |
|                             | <b>9</b>                                                                                                                                                | Prepaid expenses and deferred charges . . . . .                                                                                                                                                                                                                                                     |            |            | 47,808            | <b>9</b>   | 21,030      |
|                             | <b>10a</b>                                                                                                                                              | Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D . . . . .                                                                                                                                                                                                       | <b>10a</b> | 16,368,446 |                   |            |             |
|                             | <b>b</b>                                                                                                                                                | Less: accumulated depreciation . . . . .                                                                                                                                                                                                                                                            | <b>10b</b> | 4,971,001  | 11,541,260        | <b>10c</b> | 11,397,445  |
|                             | <b>11</b>                                                                                                                                               | Investments—publicly traded securities . . . . .                                                                                                                                                                                                                                                    |            |            | 8,416,843         | <b>11</b>  | 8,668,530   |
|                             | <b>12</b>                                                                                                                                               | Investments—other securities. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                        |            |            | 0                 | <b>12</b>  |             |
|                             | <b>13</b>                                                                                                                                               | Investments—program-related. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                         |            |            |                   | <b>13</b>  |             |
|                             | <b>14</b>                                                                                                                                               | Intangible assets . . . . .                                                                                                                                                                                                                                                                         |            |            |                   | <b>14</b>  |             |
|                             | <b>15</b>                                                                                                                                               | Other assets. See Part IV, line 11 . . . . .                                                                                                                                                                                                                                                        |            |            | 0                 | <b>15</b>  | 0           |
|                             | <b>16</b>                                                                                                                                               | <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .                                                                                                                                                                                                                          |            |            | 24,272,636        | <b>16</b>  | 24,884,416  |
| Liabilities                 | <b>17</b>                                                                                                                                               | Accounts payable and accrued expenses . . . . .                                                                                                                                                                                                                                                     |            |            | 152,943           | <b>17</b>  | 324,596     |
|                             | <b>18</b>                                                                                                                                               | Grants payable . . . . .                                                                                                                                                                                                                                                                            |            |            |                   | <b>18</b>  |             |
|                             | <b>19</b>                                                                                                                                               | Deferred revenue . . . . .                                                                                                                                                                                                                                                                          |            |            |                   | <b>19</b>  |             |
|                             | <b>20</b>                                                                                                                                               | Tax-exempt bond liabilities . . . . .                                                                                                                                                                                                                                                               |            |            |                   | <b>20</b>  |             |
|                             | <b>21</b>                                                                                                                                               | Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .                                                                                                                                                                                                                     |            |            |                   | <b>21</b>  |             |
|                             | <b>22</b>                                                                                                                                               | Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .                                                                                                                      |            |            |                   | <b>22</b>  |             |
|                             | <b>23</b>                                                                                                                                               | Secured mortgages and notes payable to unrelated third parties . . . . .                                                                                                                                                                                                                            |            |            |                   | <b>23</b>  |             |
|                             | <b>24</b>                                                                                                                                               | Unsecured notes and loans payable to unrelated third parties . . . . .                                                                                                                                                                                                                              |            |            |                   | <b>24</b>  |             |
|                             | <b>25</b>                                                                                                                                               | Other liabilities. Complete Part X of Schedule D . . . . .                                                                                                                                                                                                                                          |            |            | 1                 | <b>25</b>  |             |
|                             | <b>26</b>                                                                                                                                               | <b>Total liabilities.</b> Add lines 17 through 25 . . . . .                                                                                                                                                                                                                                         |            |            | 152,944           | <b>26</b>  | 324,596     |
| Net Assets or Fund Balances | <b>Organizations that follow SFAS 117, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27 through 29, and lines 33 and 34.</b> |                                                                                                                                                                                                                                                                                                     |            |            |                   |            |             |
|                             | <b>27</b>                                                                                                                                               | Unrestricted net assets . . . . .                                                                                                                                                                                                                                                                   |            |            | 12,636,292        | <b>27</b>  | 12,411,155  |
|                             | <b>28</b>                                                                                                                                               | Temporarily restricted net assets . . . . .                                                                                                                                                                                                                                                         |            |            | 3,364,816         | <b>28</b>  | 1,797,358   |
|                             | <b>29</b>                                                                                                                                               | Permanently restricted net assets . . . . .                                                                                                                                                                                                                                                         |            |            | 8,118,584         | <b>29</b>  | 10,351,307  |
|                             | <b>Organizations that do not follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 30 through 34.</b>                          |                                                                                                                                                                                                                                                                                                     |            |            |                   |            |             |
|                             | <b>30</b>                                                                                                                                               | Capital stock or trust principal, or current funds . . . . .                                                                                                                                                                                                                                        |            |            |                   | <b>30</b>  |             |
|                             | <b>31</b>                                                                                                                                               | Paid-in or capital surplus, or land, building or equipment fund . . . . .                                                                                                                                                                                                                           |            |            |                   | <b>31</b>  |             |
|                             | <b>32</b>                                                                                                                                               | Retained earnings, endowment, accumulated income, or other funds . . . . .                                                                                                                                                                                                                          |            |            |                   | <b>32</b>  |             |
|                             | <b>33</b>                                                                                                                                               | <b>Total net assets or fund balances</b> . . . . .                                                                                                                                                                                                                                                  |            |            | 24,119,692        | <b>33</b>  | 24,559,820  |
|                             | <b>34</b>                                                                                                                                               | <b>Total liabilities and net assets/fund balances</b> . . . . .                                                                                                                                                                                                                                     |            |            | 24,272,636        | <b>34</b>  | 24,884,416  |

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI . . . . .

|   |                                                                                                               |   |            |
|---|---------------------------------------------------------------------------------------------------------------|---|------------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12)                                                     | 1 | 9,615,851  |
| 2 | Total expenses (must equal Part IX, column (A), line 25)                                                      | 2 | 8,652,729  |
| 3 | Revenue less expenses Subtract line 2 from line 1                                                             | 3 | 963,122    |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))                     | 4 | 24,119,692 |
| 5 | Other changes in net assets or fund balances (explain in Schedule O)                                          | 5 | -522,994   |
| 6 | Net assets or fund balances at end of year Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B)) | 6 | 24,559,820 |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII . . . . .

|    |                                                                                                                                                                                                                                                                                                                                                  | Yes | No |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1  | Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other<br>If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O                                                                      |     |    |
| 2a | Were the organization's financial statements compiled or reviewed by an independent accountant?                                                                                                                                                                                                                                                  |     | No |
| b  | Were the organization's financial statements audited by an independent accountant?                                                                                                                                                                                                                                                               | Yes |    |
| c  | If "Yes," to 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?<br>If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O | Yes |    |
| d  | If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a separate basis, consolidated basis, or both<br><input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separated basis             |     |    |
| 3a | As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?                                                                                                                                                                                         | Yes |    |
| b  | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits                                                                                                                             | Yes |    |

SCHEDULE A

(Form 990 or 990EZ)

Department of the Treasury  
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No 1545-0047

2010

Open to Public  
Inspection

|                                                                      |                                              |
|----------------------------------------------------------------------|----------------------------------------------|
| Name of the organization<br>MATHEMATICAL SCIENCES RESEARCH INSTITUTE | Employer identification number<br>94-2650833 |
|----------------------------------------------------------------------|----------------------------------------------|

Part I

Reason for Public Charity Status (All organizations must complete this part.) See instructions

The organization is not a private foundation because it is (For lines 1 through 11, check only one box )

- 1

☐

A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2

☐

A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E )
- 3

☐

A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4

☐

A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state
- 5

☐

An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II )
- 6

☐

A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7

☒

An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)** (Complete Part II )
- 8

☐

A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II )
- 9

☐

An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2).** (Complete Part III )
- 10

☐

An organization organized and operated exclusively to test for public safety See**section 509(a)(4).**
- 11

☐

An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2) See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h  

a

☐

Type I

b

☐

Type II

c

☐

Type III - Functionally integrated

d

☐

Type III - Other
- e

☐

By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)
- f

☐

If the organization received a written determination from the IRS that it is a Type I, Type II or Type III supporting organization, check this box
- g

☐

Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?  

(i)

a person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the the supported organization?

(ii)

a family member of a person described in (i) above?

(iii)

a 35% controlled entity of a person described in (i) or (ii) above?
- h

☐

Provide the following information about the supported organization(s)

| (i)<br>Name of supported organization | (ii)<br>EIN | (iii)<br>Type of organization (described on lines 1- 9 above or IRC section (see instructions)) | (iv)<br>Is the organization in col (i) listed in your governing document? |    | (v)<br>Did you notify the organization in col (i) of your support? |    | (vi)<br>Is the organization in col (i) organized in the U S ? |    | (vii)<br>Amount of support |
|---------------------------------------|-------------|-------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|----|--------------------------------------------------------------------|----|---------------------------------------------------------------|----|----------------------------|
|                                       |             |                                                                                                 | Yes                                                                       | No | Yes                                                                | No | Yes                                                           | No |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
|                                       |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |
| Total                                 |             |                                                                                                 |                                                                           |    |                                                                    |    |                                                               |    |                            |

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

| Section A. Public Support                                                                                                                                                                             |           |           |           |           |           |            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------|-----------|-----------|-----------|------------|
| Calendar year (or fiscal year beginning in) ▶                                                                                                                                                         | (a) 2006  | (b) 2007  | (c) 2008  | (d) 2009  | (e) 2010  | (f) Total  |
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")                                                                                                   | 1,633,596 | 9,376,734 | 3,563,559 | 2,668,794 | 9,233,905 | 26,476,588 |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf                                                                                                     |           |           |           |           |           |            |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge                                                                                             |           |           |           |           |           |            |
| 4 Total. Add lines 1 through 3                                                                                                                                                                        | 1,633,596 | 9,376,734 | 3,563,559 | 2,668,794 | 9,233,905 | 26,476,588 |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) |           |           |           |           |           | 5,419,871  |
| 6 Public Support. Subtract line 5 from line 4                                                                                                                                                         |           |           |           |           |           | 21,056,717 |

| Section B. Total Support                                                                                                                                                  |           |           |           |           |           |            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------|-----------|-----------|-----------|------------|
| Calendar year (or fiscal year beginning in) ▶                                                                                                                             | (a) 2006  | (b) 2007  | (c) 2008  | (d) 2009  | (e) 2010  | (f) Total  |
| 7 Amounts from line 4                                                                                                                                                     | 1,633,596 | 9,376,734 | 3,563,559 | 2,668,794 | 9,233,905 | 26,476,588 |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources                                          | 151,039   | 246,078   | 112,726   | 84,024    | 82,123    | 675,990    |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on                                                                      |           |           |           |           |           |            |
| 10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV )                                                                         |           |           |           |           |           |            |
| 11 Total support (Add lines 7 through 10)                                                                                                                                 |           |           |           |           |           | 27,152,578 |
| 12 Gross receipts from related activities, etc (See instructions )                                                                                                        |           |           |           |           | 12        |            |
| 13 First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and stop here ▶ |           |           |           |           |           |            |

| Section C. Computation of Public Support Percentage                                                                                                                                                                                                                                                                                                                                          |    |          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----------|
| 14 Public Support Percentage for 2010 (line 6 column (f) divided by line 11 column (f))                                                                                                                                                                                                                                                                                                      | 14 | 77.550 % |
| 15 Public Support Percentage for 2009 Schedule A, Part II, line 14                                                                                                                                                                                                                                                                                                                           | 15 | 73.780 % |
| 16a 33 1/3% support test—2010. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization ▶                                                                                                                                                                         |    |          |
| b 33 1/3% support test—2009. If the organization did not check the box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization ▶                                                                                                                                                                    |    |          |
| 17a 10%-facts-and-circumstances test—2010. If the organization did not check a box on line 13, 16a, or 16b and line 14 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts and circumstances" test The organization qualifies as a publicly supported organization ▶    |    |          |
| b 10%-facts-and-circumstances test—2009. If the organization did not check a box on line 13, 16a, 16b, or 17a and line 15 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts and circumstances" test The organization qualifies as a publicly supported organization ▶ |    |          |
| 18 Private Foundation If the organization did not check a box on line 13, 16a, 16b, 17a or 17b, check this box and see instructions ▶                                                                                                                                                                                                                                                        |    |          |

Part IIIPart III

Support Schedule for Organizations Described in Section 509(a)(2)  
(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

| Section A. Public Support                                                                                                                                                  |          |          |          |          |          |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in)                                               | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (f) Total |
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")                                                                        |          |          |          |          |          |           |
| 2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose |          |          |          |          |          |           |
| 3 Gross receipts from activities that are not an unrelated trade or business under section 513                                                                             |          |          |          |          |          |           |
| 4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf                                                                          |          |          |          |          |          |           |
| 5 The value of services or facilities furnished by a governmental unit to the organization without charge                                                                  |          |          |          |          |          |           |
| 6 Total. Add lines 1 through 5                                                                                                                                             |          |          |          |          |          |           |
| 7a Amounts included on lines 1, 2, and 3 received from disqualified persons                                                                                                |          |          |          |          |          |           |
| b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year           |          |          |          |          |          |           |
| c Add lines 7a and 7b                                                                                                                                                      |          |          |          |          |          |           |
| 8 Public Support (Subtract line 7c from line 6 )                                                                                                                           |          |          |          |          |          |           |

| Section B. Total Support                                                                                                                                                                                                                                                     |          |          |          |          |          |           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in)                                                                                                                                               | (a) 2006 | (b) 2007 | (c) 2008 | (d) 2009 | (e) 2010 | (f) Total |
| 9 Amounts from line 6                                                                                                                                                                                                                                                        |          |          |          |          |          |           |
| 10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources                                                                                                                                           |          |          |          |          |          |           |
| b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975                                                                                                                                                                    |          |          |          |          |          |           |
| c Add lines 10a and 10b                                                                                                                                                                                                                                                      |          |          |          |          |          |           |
| 11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on                                                                                                                                               |          |          |          |          |          |           |
| 12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV )                                                                                                                                                                           |          |          |          |          |          |           |
| 13 Total support (Add lines 9, 10c, 11 and 12 )                                                                                                                                                                                                                              |          |          |          |          |          |           |
| 14 First Five Years If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b>  |          |          |          |          |          |           |

| Section C. Computation of Public Support Percentage                                     |    |  |
|-----------------------------------------------------------------------------------------|----|--|
| 15 Public Support Percentage for 2010 (line 8 column (f) divided by line 13 column (f)) | 15 |  |
| 16 Public support percentage from 2009 Schedule A, Part III, line 15                    | 16 |  |

| Section D. Computation of Investment Income Percentage                                                                                                                                                                                                                                                                                                           |    |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--|
| 17 Investment income percentage for 2010 (line 10c column (f) divided by line 13 column (f))                                                                                                                                                                                                                                                                     | 17 |  |
| 18 Investment income percentage from 2009 Schedule A, Part III, line 17                                                                                                                                                                                                                                                                                          | 18 |  |
| 19a 33 1/3% support tests—2010. If the organization did not check the box on line 14, and line 15 is more than 33 1/3% and line 17 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization          |    |  |
| b 33 1/3% support tests—2009. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization  |    |  |
| 20 Private Foundation If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions                                                                                                                                                   |    |  |

Part IV

**Supplemental Information.** Supplemental Information. Complete this part to provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

SCHEDULE D

(Form 990)

Department of the Treasury  
Internal Revenue Service

Supplemental Financial Statements

▶ **Complete if the organization answered "Yes," to Form 990,  
Part IV, line 6, 7, 8, 9, 10, 11, or 12.**  
▶ **Attach to Form 990. ▶ See separate instructions.**

OMB No 1545-0047

2010

Open to Public  
Inspection

**Name of the organization**  
MATHEMATICAL SCIENCES RESEARCH INSTITUTE

**Employer identification number**  
94-2650833

Part I

Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

|   |                                                                                                                                                                                                                                                                                                                                        |                              |
|---|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
|   | (a) Donor advised funds                                                                                                                                                                                                                                                                                                                | (b) Funds and other accounts |
| 1 | Total number at end of year                                                                                                                                                                                                                                                                                                            |                              |
| 2 | Aggregate contributions to (during year)                                                                                                                                                                                                                                                                                               |                              |
| 3 | Aggregate grants from (during year)                                                                                                                                                                                                                                                                                                    |                              |
| 4 | Aggregate value at end of year                                                                                                                                                                                                                                                                                                         |                              |
| 5 | Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? <div><input type="checkbox"/> Yes<input type="checkbox"/> No</div>                                                            |                              |
| 6 | Did the organization inform all grantees, donors, and donor advisors in writing that grant funds may be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? <div><input type="checkbox"/> Yes<input type="checkbox"/> No</div> |                              |

Part II

Conservation Easements. Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

1

Purpose(s) of conservation easements held by the organization (check all that apply)

☐ Preservation of land for public use (e g , recreation or pleasure)☐ Preservation of an historically importantly land area☐ Protection of natural habitat☐ Preservation of a certified historic structure☐ Preservation of open space

2

Complete lines 2a–2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

|    |                             |
|----|-----------------------------|
|    | Held at the End of the Year |
| 2a |                             |
| 2b |                             |
| 2c |                             |
| 2d |                             |

3

Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the taxable year ▶ \_\_\_\_\_

4

Number of states where property subject to conservation easement is located ▶ \_\_\_\_\_

5

Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

☐ Yes☐ No

6

Staff and volunteer hours devoted to monitoring, inspecting and enforcing conservation easements during the year ▶ \_\_\_\_\_

7

Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ▶ \$ \_\_\_\_\_

8

Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and 170(h)(4)(B)(ii)?

☐ Yes☐ No

9

In Part XIV, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

Part III

Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets. Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

1a

If the organization elected, as permitted under SFAS 116, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education or research in furtherance of public service, provide, in Part XIV, the text of the footnote to its financial statements that describes these items

b

If the organization elected, as permitted under SFAS 116, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenues included in Form 990, Part VIII, line 1▶ \$ \_\_\_\_\_

(ii) Assets included in Form 990, Part X▶ \$ \_\_\_\_\_

2

If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 relating to these items

a

Revenues included in Form 990, Part VIII, line 1▶ \$ \_\_\_\_\_

b

Assets included in Form 990, Part X▶ \$ \_\_\_\_\_

For Privacy Act and Paperwork Reduction Act Notice, see the Intructions for Form 990

Cat No 52283D

Schedule D (Form 990) 2010

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** *(continued)*

3

Using the organization's accession and other records, check any of the following that are a significant use of its collection items (check all that apply)

a

☐ Public exhibition

b

☐ Scholarly research

c

☐ Preservation for future generations

d

☐ Loan or exchange programs

e

☐ Other

4

Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIV

5

During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?

☐ Yes ☐ No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a

Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?

☐ Yes ☐ No

b

If "Yes," explain the arrangement in Part XIV and complete the following table

|    |        |
|----|--------|
|    | Amount |
| 1c |        |
| 1d |        |
| 1e |        |
| 1f |        |

2a

Did the organization include an amount on Form 990, Part X, line 21?

☐ Yes ☐ No

b

If "Yes," explain the arrangement in Part XIV

**Part V Endowment Funds.** Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

|    |                                                          |               |                   |                     |                    |
|----|----------------------------------------------------------|---------------|-------------------|---------------------|--------------------|
|    | (a)Current Year                                          | (b)Prior Year | (c)Two Years Back | (d)Three Years Back | (e)Four Years Back |
| 1a | Beginning of year balance . . . . .                      | 8,515,267     | 8,386,968         | 6,863,715           |                    |
| b  | Contributions . . . . .                                  | 2,207,723     | 86,633            | 44,561              |                    |
| c  | Investment earnings or losses . . . . .                  | 150,534       | 44,561            | 73,190              |                    |
| d  | Grants or scholarships . . . . .                         |               |                   |                     |                    |
| e  | Other expenditures for facilities and programs . . . . . |               |                   |                     |                    |
| f  | Administrative expenses . . . . .                        |               | 2,895             |                     |                    |
| g  | End of year balance . . . . .                            | 10,873,524    | 8,515,267         | 6,981,466           |                    |

2

Provide the estimated percentage of the year end balance held as

a

Board designated or quasi-endowment ▶ 1 900 %

b

Permanent endowment ▶ 95 200 %

c

Term endowment ▶ 2 900 %

3a

Are there endowment funds not in the possession of the organization that are held and administered for the organization by

(i)

unrelated organizations . . . . .

3a(i)

☐ Yes ☐ No

(ii)

related organizations . . . . .

3a(ii)

☐ Yes ☐ No

b

If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?

3b

☐ Yes ☐ No

4

Describe in Part XIV the intended uses of the organization's endowment funds

**Part VI Investments—Land, Buildings, and Equipment.** See Form 990, Part X, line 10.

|                                                                                            |                                      |                                |                              |                |
|--------------------------------------------------------------------------------------------|--------------------------------------|--------------------------------|------------------------------|----------------|
| Description of investment                                                                  | (a) Cost or other basis (investment) | (b)Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
| 1a Land . . . . .                                                                          |                                      |                                |                              |                |
| b Buildings . . . . .                                                                      |                                      |                                |                              |                |
| c Leasehold improvements . . . . .                                                         |                                      | 13,041,218                     | 2,789,195                    | 10,252,023     |
| d Equipment . . . . .                                                                      |                                      |                                |                              |                |
| e Other . . . . .                                                                          |                                      | 3,327,228                      | 2,181,806                    | 1,145,422      |
| Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) |                                      |                                |                              | 11,397,445     |



| Part XI Reconciliation of Change in Net Assets from Form 990 to Financial Statements |                                                                                 |            |
|--------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|------------|
| 1                                                                                    | Total revenue (Form 990, Part VIII, column (A), line 12)                        | 19,615,851 |
| 2                                                                                    | Total expenses (Form 990, Part IX, column (A), line 25)                         | 28,652,729 |
| 3                                                                                    | Excess or (deficit) for the year Subtract line 2 from line 1                    | 3963,122   |
| 4                                                                                    | Net unrealized gains (losses) on investments                                    | 4150,655   |
| 5                                                                                    | Donated services and use of facilities                                          | 5          |
| 6                                                                                    | Investment expenses                                                             | 6          |
| 7                                                                                    | Prior period adjustments                                                        | 7-673,649  |
| 8                                                                                    | Other (Describe in Part XIV)                                                    | 8          |
| 9                                                                                    | Total adjustments (net) Add lines 4 - 8                                         | 9-522,994  |
| 10                                                                                   | Excess or (deficit) for the year per financial statements Combine lines 3 and 9 | 10440,128  |

| Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return |                                                                                             |            |
|---------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|------------|
| 1                                                                                           | Total revenue, gains, and other support per audited financial statements . . . . .          | 19,777,796 |
| 2                                                                                           | Amounts included on line 1 but not on Form 990, Part VIII, line 12                          |            |
| a                                                                                           | Net unrealized gains on investments . . . . .2a150,655                                      |            |
| b                                                                                           | Donated services and use of facilities . . . . .2b11,290                                    |            |
| c                                                                                           | Recoveries of prior year grants . . . . .2c                                                 |            |
| d                                                                                           | Other (Describe in Part XIV) . . . . .2d                                                    |            |
| e                                                                                           | Add lines 2a through 2d . . . . .2e161,945                                                  |            |
| 3                                                                                           | Subtract line 2e from line 1 . . . . .3                                                     | 39,615,851 |
| 4                                                                                           | Amounts included on Form 990, Part VIII, line 12, but not on line 1                         |            |
| a                                                                                           | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .4a                |            |
| b                                                                                           | Other (Describe in Part XIV) . . . . .4b                                                    |            |
| c                                                                                           | Add lines 4a and 4b . . . . .4c0                                                            |            |
| 5                                                                                           | Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12 ) . . . . .5 | 59,615,851 |

| Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return |                                                                                              |            |
|------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|------------|
| 1                                                                                              | Total expenses and losses per audited financial statements . . . . .                         | 18,664,019 |
| 2                                                                                              | Amounts included on line 1 but not on Form 990, Part IX, line 25                             |            |
| a                                                                                              | Donated services and use of facilities . . . . .2a11,290                                     |            |
| b                                                                                              | Prior year adjustments . . . . .2b                                                           |            |
| c                                                                                              | Other losses . . . . .2c                                                                     |            |
| d                                                                                              | Other (Describe in Part XIV) . . . . .2d                                                     |            |
| e                                                                                              | Add lines 2a through 2d . . . . .2e11,290                                                    |            |
| 3                                                                                              | Subtract line 2e from line 1 . . . . .3                                                      | 38,652,729 |
| 4                                                                                              | Amounts included on Form 990, Part IX, line 25, but not on line 1:                           |            |
| a                                                                                              | Investment expenses not included on Form 990, Part VIII, line 7b . . . . .4a                 |            |
| b                                                                                              | Other (Describe in Part XIV) . . . . .4b                                                     |            |
| c                                                                                              | Add lines 4a and 4b . . . . .4c0                                                             |            |
| 5                                                                                              | Total expenses Add lines 3 and 4c. (This should equal Form 990, Part I, line 18 ) . . . . .5 | 58,652,729 |

Part XIV Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, Part XI, line 8, Part XII, lines 2d and 4b, and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

| Identifier                                          | Return Reference | Explanation                                                                                                                                        |
|-----------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| DESCRIPTION OF INTENDED USE OF ENDOWMENT FUNDS      | PART V, LINE 4   | ENDOWMENTS ARE HELD TO SUPPORT THE WORK OF RESEARCH PROFESSORS,POSTDOCTORAL SCHOLARS, AND MATHEMATICS CIRCLE PROGRAMS                              |
| DESCRIPTION OF UNCERTAIN TAX POSITIONS UNDER FIN 48 | PART X           | FOLLOWING THE ACCOUNTING GUIDANCE FOR UNCERTAIN TAX POSITIONS, MANAGEMENT CONCLUDED THERE ARE NO UNCERTAIN TAX POSITIONS AT JUNE 30, 2011 AND 2010 |

Schedule I  
(Form 990)

Department of the Treasury  
Internal Revenue Service

Name of the organization  
MATHEMATICAL SCIENCES RESEARCH INSTITUTE

Grants and Other Assistance to Organizations,  
Governments and Individuals in the United States

Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.  
▶ Attach to Form 990

OMB No 1545-0047

2010

Open to Public  
Inspection

Employer identification number  
94-2650833

Part I

General Information on Grants and Assistance

- 1

Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . .

☒ Yes ☐ No
- 2

Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

Part II

Grants and Other Assistance to Governments and Organizations in the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 21 for any recipient that received more than \$5,000. Check this box if no one recipient received more than \$5,000. Part II can be duplicated if additional space is needed. . . . . ▶ ☒

| 1 (a) Name and address of organization or government | (b) EIN | (c) IRC Code section if applicable | (d) Amount of cash grant | (e) Amount of non-cash assistance | (f) Method of valuation (book, FMV, appraisal, other) | (g) Description of non-cash assistance | (h) Purpose of grant or assistance |
|------------------------------------------------------|---------|------------------------------------|--------------------------|-----------------------------------|-------------------------------------------------------|----------------------------------------|------------------------------------|
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |
|                                                      |         |                                    |                          |                                   |                                                       |                                        |                                    |

2

Enter total number of section 501(c)(3) and government organizations . . . . . ▶

3

Enter total number of other organizations . . . . . ▶

**Part III**

**Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22.  
Use Schedule I-1 (Form 990) if additional space is needed.

| (a)Type of grant or assistance                  | (b)Number of recipients | (c)Amount of cash grant | (d)Amount of non-cash assistance | (e)Method of valuation (book, FMV, appraisal, other) | (f)Description of non-cash assistance |
|-------------------------------------------------|-------------------------|-------------------------|----------------------------------|------------------------------------------------------|---------------------------------------|
| (1) STIPENDS, PER DIEM AND TRAVEL REIMBURSEMENT | 599                     | 2,220,460               |                                  | FMV                                                  |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |
|                                                 |                         |                         |                                  |                                                      |                                       |

**Part IV**

**Supplemental Information.** Complete this part to provide the information required in Part I, line 2, and any other additional information.

| Identifier                                 | Return Reference | Explanation                                                                                                                                                                                                                                |
|--------------------------------------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| PROCEDURE FOR MONITORING GRANTS IN THE U S | PART I, LINE 2   | SCHEDULE I, PART I, LINE 2 MSRI REQUIRES SUBMISSION OF HOTEL AND TRAVEL RECEIPTS BEFORE REIMBURSING THE GRANTEE'S EXPENSES IN ADDITION, FOR NATIONAL SECURITY GRANTS, VERIFICATION OF THE RECIPIENT'S UNITED STATE CITIZENSHIP IS OBTAINED |

Schedule J  
(Form 990)

Compensation Information

OMB No 1545-0047

2010

Open to Public Inspection

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ Complete if the organization answered "Yes" to Form 990, Part IV, question 23.

▶ Attach to Form 990. ▶ See separate instructions.

Name of the organization  
MATHEMATICAL SCIENCES RESEARCH INSTITUTE

Employer identification number  
94-2650833

Part I

Questions Regarding Compensation

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |     |    |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Yes | No |
| 1a | Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items                                                                                                                                                                                                                                                                                                                                                                                                          |     |    |
|    | <div><div><input type="checkbox"/> First-class or charter travel</div><div><input checked="" type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Health or social club dues or initiation fees</div><div><input type="checkbox"/> Discretionary spending account</div><div><input type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div> |     |    |
| b  | If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all the expenses described above? If "No," complete Part III to explain                                                                                                                                                                                                                                                                                                                                                                                                                      | 1b  | No |
| 2  | Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?                                                                                                                                                                                                                                                                                                                                                                                                                             | 2   | No |
| 3  | Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director Check all that apply                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |     |    |
|    | <div><div><input checked="" type="checkbox"/> Compensation committee</div><div><input checked="" type="checkbox"/> Written employment contract</div><div><input type="checkbox"/> Independent compensation consultant</div><div><input checked="" type="checkbox"/> Compensation survey or study</div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input checked="" type="checkbox"/> Approval by the board or compensation committee</div></div>                                                                                                                                                            |     |    |
| 4  | During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |     |    |
| a  | Receive a severance payment or change-of-control payment from the organization or a related organization?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 4a  | No |
| b  | Participate in, or receive payment from, a supplemental nonqualified retirement plan?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 4b  | No |
| c  | Participate in, or receive payment from, an equity-based compensation arrangement?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 4c  | No |
|    | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |     |    |
|    | Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |     |    |
| 5  | For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |     |    |
| a  | The organization?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 5a  | No |
| b  | Any related organization?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 5b  | No |
|    | If "Yes," to line 5a or 5b, describe in Part III                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |     |    |
| 6  | For persons listed in form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |     |    |
| a  | The organization?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 6a  | No |
| b  | Any related organization?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 6b  | No |
|    | If "Yes," to line 6a or 6b, describe in Part III                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |     |    |
| 7  | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 7   | No |
| 8  | Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regs section 53 4958-4(a)(3)? If "Yes," describe in Part III                                                                                                                                                                                                                                                                                                                                                                                                                     | 8   | No |
| 9  | If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 9   |    |

**Part II** **Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions on row (ii) Do not list any individuals that are not listed on Form 990, Part VII

**Note.** The sum of columns (B)(i)-(iii) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a

| (A) Name           |      | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                                     | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|--------------------|------|----------------------------------------------------|-------------------------------------|-------------------------------------|------------------------------------------------|-------------------------|---------------------------------|------------------------------------------------------------|
|                    |      | (i) Base compensation                              | (ii) Bonus & incentive compensation | (iii) Other reportable compensation |                                                |                         |                                 |                                                            |
| (1) HELENE BARCELO | (i)  | 158,760                                            | 0                                   | 0                                   | 16,038                                         | 17,879                  | 192,677                         | 0                                                          |
|                    | (ii) | 0                                                  | 0                                   | 0                                   | 0                                              | 0                       | 0                               | 0                                                          |
| (2) DAVID AUCKLY   | (i)  | 130,823                                            | 0                                   | 0                                   | 11,492                                         | 34,593                  | 176,908                         | 0                                                          |
|                    | (ii) | 0                                                  | 0                                   | 0                                   | 0                                              | 0                       | 0                               | 0                                                          |
| ( 3 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 4 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 5 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 6 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 7 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 8 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 9 )              |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 10 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 11 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 12 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 13 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 14 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 15 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |
| ( 16 )             |      |                                                    |                                     |                                     |                                                |                         |                                 |                                                            |

Part IIISupplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 4c, 5a, 5b, 6a, 6b, 7, and 8. Also complete this part for any additional information.

| Identifier               | Return Reference | Explanation                                                                                                                                                                                                                                                                                   |
|--------------------------|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SUPPLEMENTAL INFORMATION | PART III         | MSRI OFFERS A MONETARY HOUSING ALLOWANCE TO INCENT SUCCESSFUL JOB CANDIDATES TO ACCEPT THEIR OFFER. THE COST OF LIVING IS VERY HIGH IN THE CA BAY AREA. IN ADDITION, THE ASSOCIATE DIRECTOR POSITION IS A TWO-YEAR POSITION. THE ANNUAL VALUE OF THE HOUSING ALLOWANCE RECEIVED WAS \$21,600. |

SCHEDULE M  
(Form 990)

Department of the Treasury  
Internal Revenue Service

NonCash Contributions

►Complete if the organization answered "Yes" on Form 990, Part IV, lines 29 or 30.  
► Attach to Form 990.

OMB No 1545-0047

2010

Open to Public Inspection

Name of the organization  
MATHEMATICAL SCIENCES RESEARCH INSTITUTE

Employer identification number  
94-2650833

Part I Types of Property

|                                                                                                                                                                                      | (a)<br>Check if<br>applicable | (b)<br>Number of Contributions or items<br>contributed | (c)<br>Noncash contribution amounts<br>reported on Form 990, Part VIII, line<br>1g | (d)<br>Method of determining oncash contribution<br>amounts |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 1 Art—Works of art . . . .                                                                                                                                                           |                               |                                                        |                                                                                    |                                                             |
| 2 Art—Historical treasures                                                                                                                                                           |                               |                                                        |                                                                                    |                                                             |
| 3 Art—Fractional interests                                                                                                                                                           |                               |                                                        |                                                                                    |                                                             |
| 4 Books and publications                                                                                                                                                             |                               |                                                        |                                                                                    |                                                             |
| 5 Clothing and household<br>goods . . . . .                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 6 Cars and other vehicles .                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 7 Boats and planes . . . .                                                                                                                                                           |                               |                                                        |                                                                                    |                                                             |
| 8 Intellectual property . .                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 9 Securities—Publicly traded                                                                                                                                                         |                               |                                                        |                                                                                    |                                                             |
| 10 Securities—Closely held<br>stock . . . . .                                                                                                                                        |                               |                                                        |                                                                                    |                                                             |
| 11 Securities—Partnership,<br>LLC, or trust interests .                                                                                                                              |                               |                                                        |                                                                                    |                                                             |
| 12 Securities—Miscellaneous                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 13 Qualified conservation<br>contribution—Historic<br>structures . . . . .                                                                                                           |                               |                                                        |                                                                                    |                                                             |
| 14 Qualified conservation<br>contribution—Other . .                                                                                                                                  |                               |                                                        |                                                                                    |                                                             |
| 15 Real estate—Residential .                                                                                                                                                         |                               |                                                        |                                                                                    |                                                             |
| 16 Real estate—Commercial                                                                                                                                                            |                               |                                                        |                                                                                    |                                                             |
| 17 Real estate—Other . .                                                                                                                                                             |                               |                                                        |                                                                                    |                                                             |
| 18 Collectibles . . . . .                                                                                                                                                            |                               |                                                        |                                                                                    |                                                             |
| 19 Food inventory . . . . .                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 20 Drugs and medical supplies                                                                                                                                                        |                               |                                                        |                                                                                    |                                                             |
| 21 Taxidermy . . . . .                                                                                                                                                               |                               |                                                        |                                                                                    |                                                             |
| 22 Historical artifacts . .                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 23 Scientific specimens . .                                                                                                                                                          |                               |                                                        |                                                                                    |                                                             |
| 24 Archeological artifacts .                                                                                                                                                         |                               |                                                        |                                                                                    |                                                             |
| 25 Other ► ( BOOKS )                                                                                                                                                                 | X                             |                                                        | 47,206                                                                             | FMV                                                         |
| 26 Other ►( )                                                                                                                                                                        |                               |                                                        |                                                                                    |                                                             |
| 27 Other ►( )                                                                                                                                                                        |                               |                                                        |                                                                                    |                                                             |
| 28 Other ►( )                                                                                                                                                                        |                               |                                                        |                                                                                    |                                                             |
| 29 Number of Forms 8283 received by the organization during the tax year for contributions<br>for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . . |                               |                                                        | 29                                                                                 |                                                             |

|     |                                                                                                                                                                                                                                                                                                   |     |    |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 30a | During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period? . . . . . | Yes | No |
| b   | If "Yes," describe the arrangement in Part II                                                                                                                                                                                                                                                     |     | No |
| 31  | Does the organization have a gift acceptance policy that requires the review of any non-standard contributions?                                                                                                                                                                                   | Yes |    |
| 32a | Does the organization hire or use third parties or related organizations to solicit, process, or sell non-cash contributions? . . . . .                                                                                                                                                           |     | No |
| b   | If "Yes," describe in Part II                                                                                                                                                                                                                                                                     |     |    |
| 33  | If the organization did not report revenues in column (c) for a type of property for which column (a) is checked, describe in Part II                                                                                                                                                             |     |    |

Part II

**Supplemental Information.** Complete this part to provide the information required by Part I, lines 30b, 32b, and 33. Also complete this part for any additional information.

| Identifier | Return Reference | Explanation |
|------------|------------------|-------------|
|------------|------------------|-------------|

SCHEDULE O

(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on  
Form 990 or to provide any additional information.  
▶ Attach to Form 990 or 990-EZ.

OMB No 1545-0047

2010

Open to Public  
Inspection

|                                                                             |                                                     |
|-----------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Name of the organization</b><br>MATHEMATICAL SCIENCES RESEARCH INSTITUTE | <b>Employer identification number</b><br>94-2650833 |
|-----------------------------------------------------------------------------|-----------------------------------------------------|

| Identifier                           | Return Reference | Explanation                                                                                                |
|--------------------------------------|------------------|------------------------------------------------------------------------------------------------------------|
| FORM 990, PART VI, SECTION A, LINE 2 |                  | SOME OF THE DIRECTORS HAVE CAREERS AS INVESTORS AND FELLOW DIRECTORS HOLD INVESTMENTS IN FUNDS THEY MANAGE |

| Identifier                           | Return Reference | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FORM 990, PART VI, SECTION A, LINE 4 |                  | <p>THE NUMBER, COMPOSITION, QUALIFICATIONS, AUTHORITY, OR DUTIES OF THE GOVERNING BODY'S VOTING MEMBERS, OLD BYLAWS THE CORPORATION SHALL HAVE A MINIMUM OF 16 AND A MAXIMUM OF 35 ELECTED TRUSTEES AND, IN ADDITION, THE FOLLOWING WILL SERVE AS EX OFFICIO TRUSTEES THE DIRECTOR, THE DEPUTY DIRECTOR, THE CHAIR OF THE COMMITTEE OF ACADEMIC SPONSORS, AND, IF THEY ARE NOT ALREADY ELECTED TRUSTEES, THE CHAIR OF THE SCIENTIFIC ADVISORY COMMITTEE AND THE CHAIR OF THE HUMAN RESOURCES ADVISORY COMMITTEE NEW BYLAWS THE CORPORATION SHALL HAVE A MINIMUM OF 16 AND A MAXIMUM OF 35 ELECTED TRUSTEES AND, IN ADDITION, THE FOLLOWING WILL SERVE AS EX OFFICIO TRUSTEES IF THEY ARE NOT ALREADY ELECTED TRUSTEES THE CHAIR, THE VICE-CHAIR, THE SECRETARY, THE TREASURER, THE DIRECTOR, THE DEPUTY DIRECTOR, AND THE CHAIRS OF THE COMMITTEE OF ACADEMIC SPONSORS, THE SCIENTIFIC ADVISORY COMMITTEE, THE HUMAN RESOURCES ADVISORY COMMITTEE, AND THE EDUCATIONAL ADVISORY COMMITTEE THE NUMBER, COMPOSITION, QUALIFICATIONS, AUTHORITY, OR DUTIES OF THE ORGANIZATION'S OFFICERS OR KEY EMPLOYEES, OLD BYLAWS THE BOARD OF TRUSTEES HAS A CHAIR, A VICE-CHAIR, A SECRETARY, AND A TREASURER, EACH ELECTED FOR A 3-YEAR TERM IN ADDITION, THE CORPORATION HAS FOUR OFFICERS A DIRECTOR, A DEPUTY DIRECTOR, A SECRETARY, AND A CHIEF FINANCIAL OFFICER NEW BYLAWS THE OFFICERS OF THE CORPORATION ARE THE CHAIR, VICE-CHAIR, SECRETARY, TREASURER, A DIRECTOR, A DEPUTY DIRECTOR, AND A CHIEF FINANCIAL OFFICER NEITHER THE SECRETARY, THE TREASURER, NOR THE CHIEF FINANCIAL OFFICER MAY SERVE CONCURRENTLY AS THE CHAIR OLD BYLAWS THE CHIEF FINANCIAL OFFICER IS ELECTED BY THE BOARD OF TRUSTEES NEW BYLAWS THE CHIEF FINANCIAL OFFICER IS HIRED BY THE STEERING COMMITTEE OLD BYLAWS NO DUTIES SPECIFIED FOR THE BOARD SECRETARY OR TREASURER NEW BYLAWS THE (ONE) SECRETARY OVERSEES THE KEEPING OF THE RECORD OF PROCEEDINGS OF THE BOARD, THE GIVING OF NOTICES AS MAY BE NECESSARY, AND THE KEEPING OF THE MINUTE BOOKS OF THE CORPORATION THE TREASURER ADVISES THE CHIEF FINANCIAL OFFICER AND SERVES AS THE CHAIR OF THE FINANCE COMMITTEE IN ADDITION TO THE DUTIES OF THE CHIEF FINANCIAL OFFICER UNDER THE OLD BYLAWS, THE CHIEF FINANCIAL OFFICER SERVES ON THE FINANCE COMMITTEE NEW BYLAWS THE DIRECTOR MUST FURNISH AN ANNUAL WRITTEN REPORT TO ALL THE TRUSTEES THAT PROVIDES INFORMATION ON (A) THE ASSETS AND LIABILITIES OF THE CORPORATION, (B) THE PRINCIPAL CHANGES IN ASSETS AND LIABILITIES, (C) THE REVENUE OR RECEIPTS OF THE CORPORATION, (D) THE EXPENSES OR DISBURSEMENTS OF THE CORPORATION, AND (E) ANY TRANSACTION INVOLVING MORE THAN \$50,000 BETWEEN THIS CORPORATION AND ANY OF ITS TRUSTEES OR OFFICERS THIS REPORT WILL BE ACCOMPANIED BY A REPORT THEREON OF INDEPENDENT ACCOUNTANTS NEW BYLAWS THE BOARD OF TRUSTEES (OR A BOARD COMMITTEE) SHALL REVIEW ANY COMPENSATION PACKAGES (INCLUDING ALL BENEFITS) OF THE DIRECTOR, DEPUTY DIRECTOR, AND CHIEF FINANCIAL OFFICER THE QUORUM, VOTING RIGHTS, OR VOTING APPROVAL REQUIREMENTS OF THE GOVERNING BODY MEMBERS OR THE ORGANIZATION'S STOCKHOLDERS OR MEMBERSHIP, OLD BYLAWS A QUORUM IS A MAJORITY OF THE TRUSTEES IN OFFICE (BUT NO FEWER THAN 8 TRUSTEES) NEW BYLAWS A QUORUM IS A MAJORITY OF THE TRUSTEES IN OFFICE (BUT NO FEWER THAN EITHER 8 TRUSTEES OR ONE-FIFTH OF THE AUTHORIZED NUMBER OF TRUSTEES) THE COMMITTEES OF THE ORGANIZATION, OLD BYLAWS THERE WERE TWO STANDING COMMITTEES THE SCIENTIFIC ADVISORY COMMITTEE AND THE HUMAN RESOURCES ADVISORY COMMITTEE NEW BYLAWS THERE ARE BOARD COMMITTEES (ONLY TRUSTEES CAN BE MEMBERS) AND ADVISORY COMMITTEES THE STANDING BOARD COMMITTEE IS THE STEERING COMMITTEE THE STANDING ADVISORY COMMITTEES ARE THE AUDIT COMMITTEE, THE SCIENTIFIC ADVISORY COMMITTEE, THE HUMAN RESOURCES COMMITTEE, AND THE EDUCATIONAL ADVISORY COMMITTEE THE COMPOSITION OR PROCEDURES CONTAINED WITHIN THE ORGANIZING DOCUMENT OR BYLAWS OF AN AUDIT COMMITTEE OLD BYLAWS NO MENTION OF AN AUDIT COMMITTEE NEW BYLAWS FOR ANY TAX YEAR IN WHICH THIS CORPORATION HAS GROSS REVENUES OF \$2 MILLION OR MORE, THIS CORPORATION SHALL HAVE AN AUDIT COMMITTEE WHOSE MEMBERS SHALL BE APPOINTED BY THE BOARD OF TRUSTEES TO FOUR-YEAR TERMS, AND WHO MAY INCLUDE BOTH TRUSTEES AND NON-TRUSTEES, SUBJECT TO THE FOLLOWING LIMITATIONS (A) MEMBERS OF THE FINANCE COMMITTEE, IF ANY, SHALL CONSTITUTE LESS THAN ONE-HALF OF THE MEMBERSHIP OF THE AUDIT COMMITTEE, (B) THE CHAIR OF THE AUDIT COMMITTEE MAY NOT BE A MEMBER OF THE FINANCE COMMITTEE, IF ANY, (C) THE AUDIT COMMITTEE MAY NOT INCLUDE ANY MEMBER OF THE STAFF, INCLUDING THE DIRECTOR OR CHIEF FINANCIAL OFFICER, (D) THE AUDIT COMMITTEE MAY NOT INCLUDE ANY PERSON WHO HAS A MATERIAL FINANCIAL INTEREST IN ANY ENTITY DOING BUSINESS WITH THIS CORPORATION, AND (E) AUDIT COMMITTEE MEMBERS SHALL NOT BE COMPENSATED FOR THEIR SERVICE AS AUDIT COMMITTEE MEMBERS THE BOARD OF TRUSTEES SHALL SELECT THE CHAIR OF THE AUDIT COMMITTEE, WHOSE TERM SHALL BE FOUR YEARS, AND WHO SHALL BE A MEMBER OF THE AUDIT COMMITTEE BY VIRTUE OF SERVING AS AU</p> |

| Identifier                                    | Return Reference | Explanation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-----------------------------------------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FORM 990,<br>PART VI,<br>SECTION A,<br>LINE 4 |                  | DIT COMMITTEE CHAIR THE AUDIT COMMITTEE SHALL (1) RECOMMEND TO THE FULL BOARD OF TRUSTEE S FOR APPROVAL THE RETENTION AND, WHEN APPROPRIATE, THE TERMINATION OF AN INDEPENDENT CERT IFIED PUBLIC ACCOUNTANT TO SERVE AS AUDITOR, (2) SUBJECT TO APPROVAL OF THE FULL BOARD, NE GOTIATE THE COMPENSATION OF THE AUDITOR ON BEHALF OF THE BOARD, (3) CONFER WITH THE AUDITO R TO SATISFY THE AUDIT COMMITTEE MEMBERS THAT THE FINANCIAL AFFAIRS OF THIS CORPORATION AR E IN ORDER, (4) REVIEW AND DETERMINE WHETHER TO ACCEPT THE AUDIT, AND (5) APPROVE PERFORMA NCE OF ANY NON-AUDIT SERVICES PROVIDED TO THIS CORPORATION BY THE AUDITOR'S FIRM |

| Identifier                            | Return Reference | Explanation                                                                                                                                                                                                                                                             |
|---------------------------------------|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| FORM 990, PART VI, SECTION B, LINE 11 |                  | THE FORM 990 IS DISTRIBUTED TO THE FINANCE COMMITTEE FOR REVIEW. COMMITTEE MEMBERS PROVIDE FEEDBACK AND CHANGES TO CONTENT IN THE FORM 990 DIRECTLY TO THE CFO/CAO. ALL CHANGES ARE REFLECTED IN THE FORM 990 BY THE CFO/CAO PRIOR TO FILING THE FORM 990 WITH THE IRS. |

| Identifier | Return Reference                         | Explanation                                                                                                                                                                                                                                        |
|------------|------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|            | FORM 990, PART VI,<br>SECTION B, LINE 12 | CONFLICT OF INTEREST STATEMENTS ARE PROVIDED TO THE BOARD OF TRUSTEES AT THE ANNUAL TRUSTEE MEETING THE BOARD OF TRUSTEES SIGN AND RETURN THE COMPLETED FORMS FOR REVIEW<br>CONFLICTS OF INTERESTED THAT ARE IDENTIFIED ARE ADDRESSED AT THAT TIME |

| Identifier | Return Reference                      | Explanation                                                                                                                                                                                                                                                                                                                                                                                            |
|------------|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|            | FORM 990, PART VI, SECTION B, LINE 15 | THE CFO/CAO PREPARES AND SUBMITS A COMPARATIVE SALARY ANALYSIS FOR EACH OFFICER LEVEL POSITION TO THE COMPENSATION COMMITTEE FOR REVIEW. BASED ON REVIEW, THE STEERING COMMITTEE SUBMITS A RECOMMENDATION FOR APPROVAL OF OFFICER COMPENSATION BY THE BOARD OF TRUSTEE. KEY EMPLOYEE COMPENSATION IS AUTHORIZED BY THE DIRECTOR AND APPROVED BY THE BOARD OF TRUSTEES IN THE ANNUAL BUDGETING PROCESS. |

| Identifier | Return Reference                      | Explanation                               |
|------------|---------------------------------------|-------------------------------------------|
|            | FORM 990, PART VI, SECTION C, LINE 19 | DOCUMENTS ARE MADE AVAILABLE UPON REQUEST |

| Identifier                                | Return Reference             | Explanation                                                                                                                  |
|-------------------------------------------|------------------------------|------------------------------------------------------------------------------------------------------------------------------|
| CHANGES IN NET ASSETS OR<br>FUND BALANCES | FORM 990, PART XI,<br>LINE 5 | NET UNREALIZED GAINS ON INVESTMENTS 150,655 PRIOR PERIOD ADJUSTMENTS<br>-673,649 TOTAL TO FORM 990, PART XI, LINE 5 -522,994 |

| Identifier | Return Reference            | Explanation                                          |
|------------|-----------------------------|------------------------------------------------------|
|            | FORM 990, PART XII, LINE 2C | NO CHANGE IN THE AUDIT COMMITTEE'S OVERSIGHT PROCESS |

Additional Data

Software ID:

Software Version:

EIN: 94-2650833

Name: MATHEMATICAL SCIENCES RESEARCH INSTITUTE

Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

| (A)<br>Name and Title           | (B)<br>Average hours per week | (C)<br>Position (check all that apply) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|---------------------------------|-------------------------------|----------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                 |                               | Individual trustee or director         | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| EDWARD BAKER TRUSTEE            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| DEBORAH LOEWENBERG BALL TRUSTEE | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| GEORGE BENKART TRUSTEE          | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| ELWYN BERLEKAMP TRUSTEE         | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| SUN-YUNG ALICE CHANG TRUSTEE    | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| RUTH CHARNEY TRUSTEE            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JENNIFER CHAYES TRUSTEE         | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| NIEL CHRIS TRUSTEE              | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| MAY CHU TRUSTEE                 | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| DAVID EISENBUD TRUSTEE          | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| CHARLES FEFFERMAN TRUSTEE       | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JERRY FIDDLER TRUSTEE           | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| DAN FREED TRUSTEE               | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JEFF GOODBY TRUSTEE             | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| PHILLIP G GRIFFITHS TRUSTEE     | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| SANFORD GROSSMAN TRUSTEE        | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| MARIA M KLAWE TRUSTEE           | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JULIUS R KREVANS TRUSTEE        | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| HENRY LAUFER TRUSTEE            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| TOM LEIGHTON TRUSTEE            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| DUSA MCDUFF TRUSTEE             | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| PRABHAKAR RAGHAVAN TRUSTEE      | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| PETER SARNAK TRUSTEE            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JAMES H SIMONS TRUSTEE          | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| HUGO SONNENSCHN TRUSTEE         | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

| (A)<br>Name and Title                              | (B)<br>Average hours per week | (C)<br>Position (check all that apply) |                       |         |              |                              |        | (D)<br>Reportable compensation from the organization (W-2/1099-MISC) | (E)<br>Reportable compensation from related organizations (W-2/1099-MISC) | (F)<br>Estimated amount of other compensation from the organization and related organizations |
|----------------------------------------------------|-------------------------------|----------------------------------------|-----------------------|---------|--------------|------------------------------|--------|----------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
|                                                    |                               | Individual trustee or director         | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former |                                                                      |                                                                           |                                                                                               |
| ROGER A STRAUCH TRUSTEE                            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| SANDOR STRAUS TRUSTEE                              | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| ANDREW VITERBI TRUSTEE                             | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| ANDREI OKOUNKOV EX-OFFICIO TRUSTEE                 | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| RICK SCHOEN EX-OFFICIO TRUSTEE                     | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| MORRIS KALKA EX-OFFICIO TRUSTEE                    | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| VICTOR MOLL EX-OFFICIO TRUSTEE                     | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| DAVID SCOTT EX-OFFICIO TRUSTEE                     | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| JOSE SCHEINKMAN TRUSTEE                            | 1 00                          | X                                      |                       |         |              |                              |        | 0                                                                    | 0                                                                         | 0                                                                                             |
| ROBERT BRYANT DIRECTOR AND EX-OFFICIO TRUSTEE      | 40 00                         | X                                      |                       | X       |              |                              |        | 82,830                                                               | 0                                                                         | 8,336                                                                                         |
| HELENE BARCELO DEPUTY DIREC AND EX-OFFICIO TRUSTEE | 40 00                         | X                                      |                       | X       |              |                              |        | 158,760                                                              | 0                                                                         | 33,917                                                                                        |
| DAVID AUCKLY ASSOCITE DIRECTOR                     | 40 00                         |                                        |                       | X       |              |                              |        | 130,823                                                              | 0                                                                         | 46,085                                                                                        |
| PHYLLIS CARTER CFO/COA                             | 40 00                         |                                        |                       | X       |              |                              |        | 44,365                                                               | 0                                                                         | 2,960                                                                                         |
| JIM SOTORIS DEVELOPMENT DIRECTOR                   | 40 00                         |                                        |                       |         | X            |                              |        | 116,392                                                              | 0                                                                         | 21,384                                                                                        |