Form **990**

Department of the Treasury
Internal Revenue Service

# Return of Organization Exempt From Income Tax

**Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)**

▶ The organization may have to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0047

**2011**

**Open to Public Inspection**

**A For the 2011 calendar year, or tax year beginning 01-01-2011 and ending 12-31-2011**

**B** Check if applicable
☐ Address change
☐ Name change
☐ Initial return
☐ Terminated
☐ Amended return
☐ Application pending

**C** Name of organization
THE FOUNDATION CENTER

Doing Business As

Number and street (or P O box if mail is not delivered to street address) | Room/suite
79 FIFTH AVENUE

City or town, state or country, and ZIP + 4
NEW YORK, NY 100033076

**D Employer identification number**
13-1837418

**E Telephone number**
(212) 620-4230

**G** Gross receipts $ 21,699,923

**F** Name and address of principal officer
BRADFORD K SMITH
79 FIFTH AVENUE
NEW YORK, NY 100033076

**H(a)** Is this a group return for affiliates? ☐ Yes ☑ No

**H(b)** **Are all affiliates included?** ☐ Yes ☐ No
If "No," attach a list (see instructions)

**H(c)** Group exemption number ▶

**I** Tax-exempt status ☑ 501(c)(3) ☐ 501(c) ( ) ◀ (insert no ) ☐ 4947(a)(1) or ☐ 527

**J Website:** ▶ WWW FOUNDATIONCENTER ORG

**K** Form of organization ☑ Corporation ☐ Trust ☐ Association ☐ Other ▶

**L** Year of formation 1956

**M** State of legal domicile NY

## Part I Summary

*Activities & Governance*

**1** Briefly describe the organization's mission or most significant activities
THE FOUNDATION CENTER'S MISSION IS TO STRENGTHEN THE SOCIAL SECTOR BY ADVANCING KNOWLEDGE ABOUT PHILANTHROPY IN THE UNITED STATES AND AROUND THE WORLD

**2** Check this box ▶☐ if the organization discontinued its operations or disposed of more than 25% of its net assets

| | | | |
|---|---|---|---|
| 3 | Number of voting members of the governing body (Part VI, line 1a) | 3 | 17 |
| 4 | Number of independent voting members of the governing body (Part VI, line 1b) | 4 | 16 |
| 5 | Total number of individuals employed in calendar year 2011 (Part V, line 2a) | 5 | 200 |
| 6 | Total number of volunteers (estimate if necessary) | 6 | 16 |
| 7a | Total unrelated business revenue from Part VIII, column (C), line 12 | 7a | 87,015 |
| b | Net unrelated business taxable income from Form 990-T, line 34 | 7b | -3,222 |

| | | | Prior Year | Current Year |
|---|---|---|---|---|
| Revenue | 8 | Contributions and grants (Part VIII, line 1h) | 7,239,719 | 7,884,538 |
| | 9 | Program service revenue (Part VIII, line 2g) | 12,978,107 | 13,249,329 |
| | 10 | Investment income (Part VIII, column (A), lines 3, 4, and 7d ) | 703,008 | 432,581 |
| | 11 | Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) | 108,398 | 87,015 |
| | 12 | Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 21,029,232 | 21,653,463 |
| Expenses | 13 | Grants and similar amounts paid (Part IX, column (A), lines 1–3 ) | 0 | 0 |
| | 14 | Benefits paid to or for members (Part IX, column (A), line 4 ) | 0 | 0 |
| | 15 | Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) | 12,242,134 | 13,985,815 |
| | 16a | Professional fundraising fees (Part IX, column (A), line 11e) | 0 | 0 |
| | b | Total fundraising expenses (Part IX, column (D), line 25) ▶820,553 | | |
| | 17 | Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e) | 7,645,661 | 7,901,931 |
| | 18 | Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25) | 19,887,795 | 21,887,746 |
| | 19 | Revenue less expenses Subtract line 18 from line 12 | 1,141,437 | -234,283 |

| | | | Beginning of Current Year | End of Year |
|---|---|---|---|---|
| Net Assets or Fund Balances | 20 | Total assets (Part X, line 16 ) | 26,872,032 | 26,758,155 |
| | 21 | Total liabilities (Part X, line 26 ) | 7,441,331 | 7,946,740 |
| | 22 | Net assets or fund balances Subtract line 21 from line 20 | 19,430,701 | 18,811,415 |

## Part II Signature Block

**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**

****** | 2012-05-08
Signature of officer | Date

LORETTA FERRARI TREASURER/SECRETARY
Type or print name and title

**Paid Preparer's Use Only**

| Preparer's signature | Date | Check if self-employed ▶ ☐ | Preparer's taxpayer identification number (see instructions) |
|---|---|---|---|
| Firm's name (or yours if self-employed), address, and ZIP + 4 | KPMG LLP<br>345 Park Avenue<br>New York, NY 101540102 | | EIN ▶<br>Phone no ▶ (212) 758-9700 |

May the IRS discuss this return with the preparer shown above? (see instructions) ☑ Yes ☐ 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

SEE SCHEDULE O

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . . . . . . . . . . . . . . . . . ☐ **Yes** ☑ **No**

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? . . . . . . . . . . . . . . . . . . . . . . . . . ☐ **Yes** ☑ **No**

If "Yes," describe these changes on Schedule O

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured 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 $ 8,505,469 including grants of $ ) (Revenue $ 11,253,358 )

DATA COLLECTION AND PUBLICATIONS - SEE SCHEDULE O

**4b** (Code ) (Expenses $ 5,127,950 including grants of $ ) (Revenue $ 1,430,744 )

LIBRARY/LEARNING CENTERS AND OTHER PUBLIC SERVICES - SEE SCHEDULE O

**4c** (Code ) (Expenses $ 3,301,554 including grants of $ ) (Revenue $ 565,227 )

RESEARCH AND OTHER PROGRAMS - SEE SCHEDULE O

**4d** Other program services (Describe in Schedule O )

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

**4e** **Total program service expenses** ▶$ 16,934,973

## 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)? *If "Yes," complete Schedule A* | 1 | Yes | |
| 2 | Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)? | 2 | Yes | |
| 3 | Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I* | 3 | | No |
| 4 | **Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II* | 4 | | 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? *If "Yes," complete Schedule C, Part III* | 5 | | |
| 6 | Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I* | 6 | | 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? *If "Yes," complete Schedule D, Part II* | 7 | | No |
| 8 | Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III* | 8 | | 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? *If "Yes," complete Schedule D, Part IV* | 9 | | No |
| 10 | Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? *If "Yes," complete Schedule D, Part V* | 10 | 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, line10? *If "Yes," complete Schedule D, Part VI.* | 11a | 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? *If "Yes," complete Schedule D, Part VII.* | 11b | Yes | |
| 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? *If "Yes," complete Schedule D, Part VIII.* | 11c | | 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? *If "Yes," complete Schedule D, Part IX.* | 11d | | No |
| e | Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X.* | 11e | Yes | |
| 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)? *If "Yes," complete Schedule D, Part X.* | 11f | Yes | |
| 12a | Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI, XII, and XIII* | 12a | Yes | |
| b | Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional* | 12b | | No |
| 13 | Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E* | 13 | | No |
| 14a | Did the organization maintain an office, employees, or agents outside of the United States? | 14a | | No |
| b | Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Part I* | 14b | Yes | |
| 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 ? *If "Yes," complete Schedule F, Part II and IV* | 15 | | 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 ? *If "Yes," complete Schedule F, Part III and IV* | 16 | | 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? *If "Yes," complete Schedule G, Part I* | 17 | | 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? *If "Yes," complete Schedule G, Part II* | 18 | | No |
| 19 | Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III* | 19 | | No |
| 20a | Did the organization operate one or more hospitals? *If "Yes," complete Schedule H* | 20a | | No |
| b | If "Yes" to line 20a, did the organization attach its audited financial statement to this return? **Note.** All Form 990 filers that operated one or more hospitals must attach audited financial statements | 20b | | |

**Part IV Checklist of Required Schedules** *(continued)*

| | | | Yes | No |
|---|---|---|---|---|
| 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? *If "Yes," complete Schedule I, Parts I and II* | 21 | | No |
| 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? *If "Yes," complete Schedule I, Parts I and III* | 22 | | No |
| 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? *If "Yes," complete Schedule J* | 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? *If "Yes," answer questions 24b–24d and complete Schedule K. If "No," go to line 25* | 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 | **Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part 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? *If "Yes," complete Schedule L, Part 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? *If "Yes," complete Schedule L, Part II* | 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? *If "Yes," complete Schedule L, Part III* | 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? *If "Yes," complete Schedule L, Part IV* | 28a | | No |
| b | A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV* | 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 owner? *If "Yes," complete Schedule L, Part IV* | 28c | | No |
| 29 | Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M* | 29 | | No |
| 30 | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M* | 30 | | No |
| 31 | Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I* | 31 | | No |
| 32 | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II* | 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? *If "Yes," complete Schedule R, Part I* | 33 | | No |
| 34 | Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1* | 34 | | No |
| 35a | Is any related organization a controlled entity of the filing organization within the meaning of section 512(b)(13)? | 35a | | No |
| b | Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2* | 35b | | No |
| 36 | **Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2* | 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? *If "Yes," complete Schedule R, Part VI* | 37 | | No |
| 38 | Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? **Note.** All Form 990 filers are required to complete Schedule O | 38 | Yes | |

## Part V Statements Regarding Other IRS Filings and Tax Compliance

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

| | | | | | Yes | No |
|---|---|---|---|---|---|---|
| 1a | Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . . . . . . . . | 1a | 64 | | | |
| b | Enter the number of Forms W-2G included in line 1a *Enter -0-* if not applicable | 1b | 0 | | | |
| c | Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . . . . . . . . . . . . . . . | | | 1c | | |
| 2a | Enter the number of employees reported on Form W-3, *Transmittal of Wage and Tax Statements* filed for the calendar year ending with or within the year covered by this return . . . . . . . . . . . . . . . . . . . . . . . . | 2a | 200 | | | |
| b | If at least one is reported on line 2a, did the organization file all required federal employment tax returns? | | | 2b | Yes | |
| | **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) | | | | | |
| 3a | Did the organization have unrelated business gross income of $1,000 or more during the year? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 3a | Yes | |
| b | If "Yes," has it filed a Form 990-T for this year? *If "No," provide an explanation in Schedule O* . . . . . . | | | 3b | Yes | |
| 4a | 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 or securities account)? . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 4a | | No |
| 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 | | | | | |
| 5a | Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . | | | 5a | | No |
| b | Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? | | | 5b | | No |
| c | If "Yes" to line 5a or 5b, did the organization file Form 8886-T? . . . . . . . . | | | 5c | | |
| 6a | 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? . . . . . . . . . . . | | | 6a | | No |
| b | If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 6b | | |
| 7 | **Organizations that may receive deductible contributions under section 170(c).** | | | | | |
| a | 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? . . . . . . . . . . . . . . . . . . . . . . . . . | | | 7a | | No |
| b | If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . . . | | | 7b | | |
| c | Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 7c | | No |
| d | If "Yes," indicate the number of Forms 8282 filed during the year . . . . | 7d | | | | |
| e | Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | | | 7e | | No |
| f | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . | | | 7f | | No |
| g | If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . . . . . . . . . . . . . . . . . . . . | | | 7g | | |
| h | If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . . . . . . . . . . . . . . | | | 7h | | |
| 8 | **Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? . . . . . . . . . . . . . . . . . . . . | | | 8 | | |
| 9 | **Sponsoring organizations maintaining donor advised funds.** | | | | | |
| a | Did the organization make any taxable distributions under section 4966? . . . . . . . . . . | | | 9a | | |
| b | Did the organization make a distribution to a donor, donor advisor, or related person? . . . . . . . | | | 9b | | |
| 10 | **Section 501(c)(7) organizations.** Enter | | | | | |
| a | Initiation fees and capital contributions included on Part VIII, line 12 . . . . | 10a | | | | |
| b | Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities | 10b | | | | |
| 11 | **Section 501(c)(12) organizations.** Enter | | | | | |
| a | Gross income from members or shareholders . . . . . . . . . . | 11a | | | | |
| b | Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them ) . . . . . . . . . | 11b | | | | |
| 12a | **Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041? | | | 12a | | |
| b | If "Yes," enter the amount of tax-exempt interest received or accrued during the year | 12b | | | | |
| 13 | **Section 501(c)(29) qualified nonprofit health insurance issuers.** | | | | | |
| a | Is the organization licensed to issue qualified health plans in more than one state?<br>**Note.** All 501(c)(29) organizations must list in Schedule O each state in which they are licensed to issue qualified health plans, the amount of reserves required by each state, and the amount of reserves the organization allocated to each state | | | 13a | | |
| b | Enter the aggregate amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans | 13b | | | | |
| c | Enter the aggregate amount of reserves on hand | 13c | | | | |
| 14a | Did the organization receive any payments for indoor tanning services during the tax year? . . . . . | | | 14a | | No |
| b | If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . . | | | 14b | | |

**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 17 | | | |
| b | Enter the number of voting members included in line 1a, above, who are independent | 1b 16 | | | |
| 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 | | No |
| 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 | | No |
| 5 | Did the organization become aware during the year of a significant diversion of the organization's assets? | | 5 | | No |
| 6 | Did the organization have members or stockholders? | | 6 | | No |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? | | 7a | | No |
| b | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | | 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 | Did the organization have local chapters, branches, or affiliates? | 10a | Yes | |
| b | If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? | 10b | Yes | |
| 11a | Has the organization provided a complete 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 the Form 990 | | | |
| 12a | Did the organization have a written conflict of interest policy? *If "No," go to line 13* | 12a | Yes | |
| b | Were officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts? | 12b | Yes | |
| c | Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done | 12c | Yes | |
| 13 | Did the organization have a written whistleblower policy? | 13 | Yes | |
| 14 | Did 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," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take 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 ▶CA , NY , OH

**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 made these available Check all that apply

☑ Own website ☐ Another's website ☑ Upon request

**19** Describe in Schedule O whether (and if so, how), the organization made 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 ▶

MS LORETTA FERRARI
79 FIFTH AVENUE
NEW YORK, NY 100033076
(212) 620-4230

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

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

**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

**1a** Complete this table for all persons required to be listed Report compensation for the calendar year ending with or within the organization's tax year

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation, and **current** key employees Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees, if any See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations

List persons in the following order individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons

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

| (A) Name and Title | (B) Average hours per week (describe hours for related organizations in Schedule O) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) M CHRISTINE DEVITA<br>CHAIRMAN | 10 | X | | X | | | | | | |
| (2) BARRON M TENNY<br>VICE CHAIRMAN | 10 | X | | X | | | | | | |
| (3) MELISSA A BERMAN<br>TRUSTEE | 10 | X | | | | | | | | |
| (4) PATRICK COLLINS<br>TRUSTEE | 10 | X | | | | | | | | |
| (5) CLOTILDE PEREZ-BODE DEDECKER<br>TRUSTEE | 10 | X | | | | | | | | |
| (6) P RUSSELL HARDIN<br>TRUSTEE | 10 | X | | | | | | | | |
| (7) MICHAEL F HAYES<br>TRUSTEE | 10 | X | | | | | | | | |
| (8) NANCY S KAMI<br>TRUSTEE | 10 | X | | | | | | | | |
| (9) VALDEMAR DE OLIVEIRA NETO<br>TRUSTEE | 10 | X | | | | | | | | |
| (10) GEORGE PENICK<br>TRUSTEE | 10 | X | | | | | | | | |
| (11) MARCIA A SMITH<br>TRUSTEE | 10 | X | | | | | | | | |
| (12) JOHN COLBORN<br>TRUSTEE | 10 | X | | | | | | | | |
| (13) MAUREEN H SMYTH<br>TRUSTEE | 10 | X | | | | | | | | |
| (14) YVETTE J ALBERDINGK THIJM<br>TRUSTEE | 10 | X | | | | | | | | |
| (15) THOMAS E WILCOX<br>TRUSTEE | 10 | X | | | | | | | | |
| (16) PATRICK MCCARTHY<br>TRUSTEE | 10 | X | | | | | | 0 | 0 | 0 |
| (17) RALPH R SMITH<br>TRUSTEE - ROTATED OFF 11/11 | 10 | X | | | | | | 0 | 0 | 0 |

**Part VII** **Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** (continued)

| (A) Name and Title | (B) Average hours per week (describe hours for related organizations in Schedule O) | (C) Position: Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | (D) Reportable compensation from the organization (W-2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|---|---|---|---|---|---|---|---|---|---|---|
| (18) BRADFORD K SMITH<br>PRESIDENT | 35 0 | X | | X | | | | 532,367 | 0 | 49,033 |
| (19) MAUREEN MACKEY<br>TREASURER THROUGH 07/31/11 | 35 0 | | | X | | | | 543,605 | 0 | 23,980 |
| (20) LORETTA FERRARI<br>TREASURER/SECRETARY | 35 0 | | | X | | | | 193,344 | 0 | 48,969 |
| (21) LAWRENCE T MCGILL<br>VP - RESEARCH | 35 0 | | | | | X | | 173,746 | 0 | 46,839 |
| (22) EDWARD J VENTURI<br>VP - INFO TECH | 35 0 | | | | | X | | 152,736 | 0 | 43,659 |
| (23) JUWON CHOI<br>VP - EDUCATION SERVICES | 35 0 | | | | | X | | 137,441 | 0 | 40,479 |
| (24) JEFFREY A FALKENSTEIN<br>VP - DATA ACQUISITION | 35 0 | | | | | X | | 139,318 | 0 | 40,989 |
| (25) ANJULA CARRIER<br>VP - MARKETING & COMMUNICATION | 35 0 | | | | | X | | 135,347 | 0 | 12,841 |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

| | | (D) | (E) | (F) |
|---|---|---|---|---|
| **1b** | **Sub-Total** . . . . . . . . . . . . . . . . ▶ | | | |
| **c** | **Total from continuation sheets to Part VII, Section A** . . . . ▶ | | | |
| **d** | **Total (add lines 1b and 1c)** . . . . . . . . . . . . . ▶ | 2,007,904 | 0 | 306,789 |

**2** Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶18

| | | | Yes | No |
|---|---|---|---|---|
| **3** | Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual* . . . . . . . . . . . . . . . . | **3** | | No |
| **4** | 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? *If "Yes," complete Schedule J for such individual* . . . . . . . . . . . . . . . . . . . . . . . . . . . . . | **4** | Yes | |
| **5** | Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person* . . . . . . | **5** | | 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 Report compensation for the calendar year ending with or within the organization's tax year

| (A) Name and business address | (B) Description of services | (C) Compensation |
|---|---|---|
| ISSUELAB<br>2217 N MONTICELLO AVENUE<br>CHICAGO, IL 60647 | CONSULTING | 220,000 |
| CONTEGRA<br>200 MAMARONECK AVENUE<br>WHITE PLAINS, NY 10601 | IT CONSULTING | 205,255 |
| COMMONFUND<br>15 OLD DANBURY ROAD PO BOX 812<br>WILTON, CT 06897 | INVESTMENT SERVICES | 203,653 |
| JC GEEVER INC<br>32 BROADWAY SUITE 301<br>NEW YORK, NY 10004 | SEMINAR INSTRUCTION | 125,500 |
| PATTERSON BELKNAP WEBB TYLER LLP<br>1133 AVENUE OF THE AMERICA<br>NEW YORK, NY 100366710 | LEGAL SERVICES | 123,306 |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶7

**Part VIII Statement of Revenue**

| | | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) 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 | | | | | |
| | f | All other contributions, gifts, grants, and similar amounts not included above 1f | 7,884,538 | | | | |
| | g | Noncash contributions included in lines 1a-1f $ | | | | | |
| | h | **Total.** Add lines 1a-1f . . . . . . . . | | 7,884,538 | | | |
| Program Service Revenue | | | Business Code | | | | |
| | 2a | PUBLICATION REVENUE | 611710 | 11,253,355 | 11,253,355 | | |
| | b | EDUCATIONAL PROGRAM REVENUE | 611710 | 768,429 | 768,429 | | |
| | c | ASSOCIATES PROGRAM MEMBERSHIP FEES | 611710 | 121,115 | 121,115 | | |
| | d | DATABASE SEARCH REVENUE | 611710 | 79,274 | 79,274 | | |
| | e | COOPERATING COLLECTION MEMBERSHIP FEES | 611710 | 461,929 | 461,929 | | |
| | f | All other program service revenue | | 565,227 | 565,227 | | |
| | g | **Total.** Add lines 2a–2f . . . . . . . . . | | 13,249,329 | | | |
| Other Revenue | 3 | Investment income (including dividends, interest and other similar amounts) . . . . . | | 419,328 | | | 419,328 |
| | 4 | Income from investment of tax-exempt bond proceeds . . | | 0 | | | |
| | 5 | Royalties . . . . . . . . . . . . . | | 0 | | | |
| | | | (i) Real \| (ii) Personal | | | | |
| | 6a | Gross rents | | | | | |
| | b | Less rental expenses | | | | | |
| | c | Rental income or (loss) | | | | | |
| | d | Net rental income or (loss) . . . . . . . . | | | | | |
| | | | (i) Securities \| (ii) Other | | | | |
| | 7a | Gross amount from sales of assets other than inventory | 59,713 \| | | | | |
| | b | Less cost or other basis and sales expenses | 46,460 \| | | | | |
| | c | Gain or (loss) | 13,253 \| | | | | |
| | d | Net gain or (loss) . . . . . . . . . . . | | 13,253 | | | 13,253 |
| | 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 . . | | 0 | | | |
| | 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 . . . | | 0 | | | |
| | 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 . . | | 0 | | | |
| | | Miscellaneous Revenue | Business Code | | | | |
| | 11a | PHILANTHROPY NEWS DIGEST & JOB CORNER | 541800 | 86,095 | | 86,095 | |
| | b | FEE FOR FACILITIES SET UP FROM | 561000 | 920 | | 920 | |
| | c | | | | | | |
| | d | All other revenue . . . . | | | | | |
| | e | **Total.** Add lines 11a–11d . . . . . . | | 87,015 | | | |
| | 12 | **Total revenue.** See Instructions . . . | | 21,653,463 | 13,249,329 | 87,015 | 432,581 |

**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)
Check if Schedule O contains a response to any question in this Part IX . . . . . . . . . . .

| | Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII. | (A) Total expenses | (B) Program service expenses | (C) Management and general expenses | (D) Fundraising expenses |
|---|---|---|---|---|---|
| 1 | Grants and other assistance to governments and organizations in the United States See Part IV, line 21 | 0 | | | |
| 2 | Grants and other assistance to individuals in the United States See Part IV, line 22 | 0 | | | |
| 3 | Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16 | 0 | | | |
| 4 | Benefits paid to or for members | 0 | | | |
| 5 | Compensation of current officers, directors, trustees, and key employees . . . . | 817,569 | 490,346 | 249,854 | 77,369 |
| 6 | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . | 0 | | | |
| 7 | Other salaries and wages | 10,275,854 | 7,954,912 | 1,891,336 | 429,606 |
| 8 | Pension plan contributions (include section 401(k) and section 403(b) employer contributions) . . . . | 873,661 | 683,035 | 148,952 | 41,674 |
| 9 | Other employee benefits . . . . . . . . | 1,195,196 | 934,413 | 203,770 | 57,013 |
| 10 | Payroll taxes . . . . . . . . . . . . | 823,535 | 643,846 | 140,406 | 39,283 |
| 11 | Fees for services (non-employees) | | | | |
| a | Management . . . . . . | 0 | | | |
| b | Legal . . . . . . . . . | 120,669 | 88,643 | 32,026 | |
| c | Accounting . . . . . . . . . . . . | 107,594 | | 107,594 | |
| d | Lobbying . . . . . . . . . . . . | 0 | | | |
| e | Professional fundraising *See Part IV, line 17* . . | 0 | | | |
| f | Investment management fees . . . . . . | 228,653 | | 228,653 | |
| g | Other . . . . . . . . . . . | 1,373,329 | 1,259,525 | 113,804 | |
| 12 | Advertising and promotion . . . . | 62,270 | 50,570 | 11,700 | |
| 13 | Office expenses . . . . . . . . | 810,723 | 757,468 | 45,402 | 7,853 |
| 14 | Information technology . . . . . . | 551,792 | 411,869 | 129,941 | 9,982 |
| 15 | Royalties . . | 3,760 | 3,760 | | |
| 16 | Occupancy . . . . . . . . . . . . | 2,347,472 | 1,835,918 | 414,398 | 97,156 |
| 17 | Travel . . . . . . . . . . . . . | 381,693 | 298,604 | 77,461 | 5,628 |
| 18 | Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . . . | 0 | | | |
| 19 | Conferences, conventions, and meetings . . . . | 106,954 | 74,392 | 29,948 | 2,614 |
| 20 | Interest . . . . . . . . . . . . | 0 | | | |
| 21 | Payments to affiliates . . . . . . . | 0 | | | |
| 22 | Depreciation, depletion, and amortization . . . . . | 523,736 | 397,443 | 101,797 | 24,496 |
| 23 | Insurance . . . . . . . . . . . . . . . | 123,514 | | 123,514 | |
| 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 | SEMINAR INSTRUCTION | 304,109 | 304,109 | | |
| b | PRINTING AND DUPLICATING | 354,222 | 343,238 | 10,984 | |
| c | LIBRARY ACQUISITION | 93,488 | 92,963 | 525 | |
| d | PUBLICATION DISTRIBUTION | 33,236 | 33,236 | | |
| e | | | | | |
| f | All other expenses | 374,717 | 276,683 | 70,155 | 27,879 |
| 25 | **Total functional expenses.** Add lines 1 through 24f | 21,887,746 | 16,934,973 | 4,132,220 | 820,553 |
| 26 | **Joint costs.** Check here ▶ 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) Beginning of year | | (B) End of year |
|---|---|---|---|---|---|---|---|
| Assets | 1 | Cash—non-interest-bearing | | | 136,991 | 1 | 144,814 |
| | 2 | Savings and temporary cash investments | | | 9,045,724 | 2 | 9,857,457 |
| | 3 | Pledges and grants receivable, net | | | 3,181,636 | 3 | 2,400,956 |
| | 4 | Accounts receivable, net | | | 180,697 | 4 | 309,342 |
| | 5 | Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L | | | 0 | 5 | 0 |
| | 6 | Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) Complete Part II of Schedule L | | | 0 | 6 | 0 |
| | 7 | Notes and loans receivable, net | | | 0 | 7 | 0 |
| | 8 | Inventories for sale or use | | | 92,996 | 8 | 82,392 |
| | 9 | Prepaid expenses and deferred charges | | | 638,432 | 9 | 664,849 |
| | 10a | Land, buildings, and equipment cost or other basis *Complete Part VI of Schedule D* | 10a | 11,879,015 | | | |
| | b | Less accumulated depreciation | 10b | 10,008,072 | 2,123,571 | 10c | 1,870,943 |
| | 11 | Investments—publicly traded securities | | | 8,959,620 | 11 | 9,233,341 |
| | 12 | Investments—other securities See Part IV, line 11 | | | 2,512,365 | 12 | 2,194,061 |
| | 13 | Investments—program-related See Part IV, line 11 | | | 0 | 13 | 0 |
| | 14 | Intangible assets | | | 0 | 14 | 0 |
| | 15 | Other assets See Part IV, line 11 | | | 0 | 15 | 0 |
| | 16 | **Total assets.** Add lines 1 through 15 (must equal line 34) | | | 26,872,032 | 16 | 26,758,155 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | 990,809 | 17 | 1,079,443 |
| | 18 | Grants payable | | | 0 | 18 | 0 |
| | 19 | Deferred revenue | | | 4,457,211 | 19 | 4,885,643 |
| | 20 | Tax-exempt bond liabilities | | | 0 | 20 | 0 |
| | 21 | Escrow or custodial account liability *Complete Part IV of Schedule D* | | | 0 | 21 | 0 |
| | 22 | Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons *Complete Part II of Schedule L* | | | 0 | 22 | 0 |
| | 23 | Secured mortgages and notes payable to unrelated third parties | | | 0 | 23 | 0 |
| | 24 | Unsecured notes and loans payable to unrelated third parties | | | 0 | 24 | 0 |
| | 25 | Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D | | | 1,993,311 | 25 | 1,981,654 |
| | 26 | **Total liabilities.** Add lines 17 through 25 | | | 7,441,331 | 26 | 7,946,740 |
| Net Assets or Fund Balances | | **Organizations that follow SFAS 117, check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.** | | | | | |
| | 27 | Unrestricted net assets | | | 12,083,724 | 27 | 11,771,016 |
| | 28 | Temporarily restricted net assets | | | 5,632,977 | 28 | 5,326,399 |
| | 29 | Permanently restricted net assets | | | 1,714,000 | 29 | 1,714,000 |
| | | **Organizations that do not follow SFAS 117, check here ▶ ☐ and complete lines 30 through 34.** | | | | | |
| | 30 | Capital stock or trust principal, or current funds | | | | 30 | |
| | 31 | Paid-in or capital surplus, or land, building or equipment fund | | | | 31 | |
| | 32 | Retained earnings, endowment, accumulated income, or other funds | | | | 32 | |
| | 33 | Total net assets or fund balances | | | 19,430,701 | 33 | 18,811,415 |
| | 34 | Total liabilities and net assets/fund balances | | | 26,872,032 | 34 | 26,758,155 |

## Part XI Reconcilliation 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 | 21,653,463 |
| 2 | Total expenses (must equal Part IX, column (A), line 25) . . . . . | 2 | 21,887,746 |
| 3 | Revenue less expenses Subtract line 2 from line 1 . . . . | 3 | -234,283 |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) . . | 4 | 19,430,701 |
| 5 | Other changes in net assets or fund balances (explain in Schedule O) . . . . | 5 | -385,003 |
| 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 | 18,811,415 |

## 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 ☐ Cash ☑ Accrual ☐ 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? . . | 2a | | No |
| b | Were the organization's financial statements audited by an independent accountant? . . . . . . . . . . | 2b | 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 . . . . . . . . . . . . . . . . . . . . . . . . . . | 2c | 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>☑ Separate basis ☐ Consolidated basis ☐ 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? . . . . . . . . . . . . . . . . | 3a | | No |
| 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 . . | 3b | | |

| efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493132020312 |
|---|---|---|

**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

**2011**

**Open to Public Inspection**

Name of the organization
THE FOUNDATION CENTER

**Employer identification number**
13-1837418

## 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 **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?

| | | Yes | No |
|---|---|---|---|
| **(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? | **11g(i)** | | |
| **(ii)** a family member of a person described in (i) above? | **11g(ii)** | | |
| **(iii)** a 35% controlled entity of a person described in (i) or (ii) above? | **11g(iii)** | | |

**h** Provide the following information about the supported organization(s)

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

**Part II** **Support Schedule for Organizations Described in IRC 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) 2007 | (b) 2008 | (c) 2009 | (d) 2010 | (e) 2011 | (f) Total |
|---|---|---|---|---|---|---|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ") | 7,841,591 | 7,574,251 | 5,301,901 | 7,239,719 | 7,884,538 | 35,842,000 |
| 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 | 7,841,591 | 7,574,251 | 5,301,901 | 7,239,719 | 7,884,538 | 35,842,000 |
| 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) | | | | | | 8,977,228 |
| 6 **Public Support.** Subtract line 5 from line 4 | | | | | | 26,864,772 |

## Section B. Total Support

| Calendar year (or fiscal year beginning in) | (a) 2007 | (b) 2008 | (c) 2009 | (d) 2010 | (e) 2011 | (f) Total |
|---|---|---|---|---|---|---|
| 7 Amounts from line 4 | 7,841,591 | 7,574,251 | 5,301,901 | 7,239,719 | 7,884,538 | 35,842,000 |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | 707,057 | 544,924 | 427,048 | 386,663 | 419,328 | 2,485,020 |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | |
| 10 Other income (Explain in Part IV ) Do not include gain or loss from the sale of capital assets | | | | | | |
| 11 **Total support** (Add lines 7 through 10) | | | | | | 38,327,020 |

12 Gross receipts from related activities, etc (See instructions ) | 12 | 64,917,996

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 2011 (line 6 column (f) divided by line 11 column (f)) | 14 | 70 094 % |
| 15 Public Support Percentage for 2010 Schedule A, Part II, line 14 | 15 | 67 680 % |

16a **33 1/3% support test—2011.** 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—2010.** 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—2011.** 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—2010.** 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 III** **Support Schedule for Organizations Described in IRC 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)** 2007 | **(b)** 2008 | **(c)** 2009 | **(d)** 2010 | **(e)** 2011 | **(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)** 2007 | **(b)** 2008 | **(c)** 2009 | **(d)** 2010 | **(e)** 2011 | **(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 501(c)(3) organization, check this box and **stop here** ▶☐

## Section C. Computation of Public Support Percentage

| | | |
|---|---|---|
| **15** Public Support Percentage for 2011 (line 8 column (f) divided by line 13 column (f)) | 15 | |
| **16** Public support percentage from 2010 Schedule A, Part III, line 15 | 16 | |

## Section D. Computation of Investment Income Percentage

| | | |
|---|---|---|
| **17** Investment income percentage for **2011** (line 10c column (f) divided by line 13 column (f)) | 17 | |
| **18** Investment income percentage from **2010** Schedule A, Part III, line 17 | 18 | |

**19a** **33 1/3% support tests—2011.** 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 **stop here.** The organization qualifies as a publicly supported organization ▶☐

**b** **33 1/3% support tests—2010.** 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 **stop here.** 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 explanation required by Part II, line 10; Part II, line 17a or 17b; or Part III, line 12. Also complete this part for any additional information. (See instructions).

| Facts And Circumstances Test |
| --- |
| |

**Explanation**

## Additional Data

**Software ID:**
**Software Version:**
**EIN:** 13-1837418
**Name:** THE FOUNDATION CENTER

**Form 990, Special Condition Description:**

| Special Condition Description |
|---|

**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, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047
**2011**
**Open to Public Inspection**

**Name of the organization**
THE FOUNDATION CENTER

**Employer identification number**
13-1837418

## 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? ☐ Yes ☐ No

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 ☐ Yes ☐ No

## 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 |
|---|---|---|---|
| a | Total number of conservation easements | 2a | |
| b | Total acreage restricted by conservation easements | 2b | |
| c | Number of conservation easements on a certified historic structure included in (a) | 2c | |
| d | Number of conservation easements included in (c) acquired after 8/17/06 | 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 ▶ $ ________

**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
d ☐ Loan or exchange programs
b ☐ Scholarly research
e ☐ Other
c ☐ Preservation for future generations

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 |
|---|---|---|
| c Beginning balance | 1c | |
| d Additions during the year | 1d | |
| e Distributions during the year | 1e | |
| f Ending balance | 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 | 11,432,208 | 10,841,954 | 9,716,954 | 10,261,954 | |
| b Contributions | 125,000 | 125,000 | 125,000 | 2,980,000 | |
| c Investment earnings or losses | -190,000 | 1,500,000 | 3,092,623 | -3,138,959 | |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | | 1,034,746 | | | |
| f Administrative expenses | | | 2,092,623 | 386,041 | |
| g End of year balance | 11,367,208 | 11,432,208 | 10,841,954 | 9,716,954 | |

2 Provide the estimated percentage of the year end balance held as

a Board designated or quasi-endowment ▶ 76 000 %

b Permanent endowment ▶ 24 000 %

c Term endowment ▶

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by

| | | Yes | No |
|---|---|---|---|
| (i) unrelated organizations | 3a(i) | | No |
| (ii) related organizations | 3a(ii) | | No |
| b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R? | 3b | | |

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

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

| Description of property | (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 | | 4,684,394 | 3,736,235 | 948,159 |
| d Equipment | | 3,057,314 | 2,563,133 | 494,181 |
| e Other | | 4,137,307 | 3,708,704 | 428,603 |
| **Total.** Add lines 1a-1e *(Column (d) should equal Form 990, Part X, column (B), line 10(c).)* ▶ | | | | 1,870,943 |

**Part VII Investments—Other Securities.** See Form 990, Part X, line 12.

| (a) Description of security or category (including name of security) | (b) Book value | (c) Method of valuation Cost or end-of-year market value |
|---|---|---|
| (1) Financial derivatives | | |
| (2) Closely-held equity interests | | |
| (3) Other<br>(A) ALTERNATIVE INVESTMENTS | 2,194,061 | F |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 12 )* ▶ | 2,194,061 | |

**Part VIII Investments—Program Related.** See Form 990, Part X, line 13.

| (a) Description of investment type | (b) Book value | (c) Method of valuation Cost or end-of-year market value |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 13 )* ▶ | | |

**Part IX Other Assets.** See Form 990, Part X, line 15.

| (a) Description | (b) Book value |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| **Total.** *(Column (b) should equal Form 990, Part X, col.(B) line 15.)* . . . . . . . . . . . . ▶ | |

**Part X Other Liabilities.** See Form 990, Part X, line 25.

| 1 (a) Description of Liability | (b) Amount |
|---|---|
| Federal Income Taxes | 0 |
| BENEFIT OBLIGATION | 1,981,654 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| **Total.** *(Column (b) should equal Form 990, Part X, col (B) line 25 )* ▶ | 1,981,654 |

**2.** Fin 48 (ASC 740) Footnote In Part XIV, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC740)

**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) | 1 | 21,653,463 |
| 2 | Total expenses (Form 990, Part IX, column (A), line 25) | 2 | 21,887,746 |
| 3 | Excess or (deficit) for the year Subtract line 2 from line 1 | 3 | -234,283 |
| 4 | Net unrealized gains (losses) on investments | 4 | -364,714 |
| 5 | Donated services and use of facilities | 5 | |
| 6 | Investment expenses | 6 | |
| 7 | Prior period adjustments | 7 | |
| 8 | Other (Describe in Part XIV) | 8 | -20,289 |
| 9 | Total adjustments (net) Add lines 4 - 8 | 9 | -385,003 |
| 10 | Excess or (deficit) for the year per financial statements Combine lines 3 and 9 | 10 | -619,286 |

**Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return**

| | | | | | |
|---|---|---|---|---|---|
| 1 | Total revenue, gains, and other support per audited financial statements | | | 1 | 21,288,749 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12 | | | | |
| a | Net unrealized gains on investments | 2a | -364,714 | | |
| b | Donated services and use of facilities | 2b | | | |
| c | Recoveries of prior year grants | 2c | | | |
| d | Other (Describe in Part XIV) | 2d | | | |
| e | Add lines **2a** through **2d** | | | 2e | -364,714 |
| 3 | Subtract line **2e** from line **1** | | | 3 | 21,653,463 |
| 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** | | | 4c | |
| 5 | Total Revenue Add lines **3** and **4c.** (This should equal Form 990, Part I, line 12 ) | | | 5 | 21,653,463 |

**Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return**

| | | | | | |
|---|---|---|---|---|---|
| 1 | Total expenses and losses per audited financial statements | | | 1 | 21,887,746 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25 | | | | |
| a | Donated services and use of facilities | 2a | | | |
| b | Prior year adjustments | 2b | | | |
| c | Other losses | 2c | | | |
| d | Other (Describe in Part XIV) | 2d | | | |
| e | Add lines **2a** through **2d** | | | 2e | |
| 3 | Subtract line **2e** from line **1** | | | 3 | 21,887,746 |
| 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** | | | 4c | |
| 5 | Total expenses Add lines **3** and **4c.** (This should equal Form 990, Part I, line 18 ) | | | 5 | 21,887,746 |

**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 |
|---|---|---|
| INTENDED USE OF ENDOWMENT FUNDS | SCHEDULE D, PART V, LINE 4 | THE CENTER'S ENDOWMENT FUNDS AND BOARD-DESIGNATED AMOUNTS FOR LONG-TERM INVESTMENT CONSIST OF PERMANENTLY RESTRICTED NET ASSETS (ENDOWMENT FUNDS) AND A BOARD-DESIGNATED AMOUNT FOR LONG-TERM INVESTMENT THE PERMANENTLY RESTRICTED NET ASSETS (ENDOWMENT FUNDS) ARE SUBJECT TO DONOR-IMPOSED STIPULATIONS THAT THE PRINCIPAL BE MAINTAINED PERMANENTLY BY THE CENTER THE CENTER HAS THREE SEPARATE ENDOWMENTS AND IT IS PERMITTED TO USE THE INCOME EARNED ON THE RELATED INVESTMENTS FOR GENERAL PURPOSES, LIBRARY ACQUISITIONS AND PUBLIC EDUCATION THE BOARD-DESIGNATED AMOUNT FOR LONG-TERM INVESTMENT IS A FUND SET ASIDE BY THE BOARD OF TRUSTEES FOR LONG-TERM INVESTMENT THAT ENSURE THE CENTER'S FINANCIAL STRENGTH AND AGILITY, AND PROVIDE A RESERVE FUND IN THE EVENT OF A FINANCIAL EMERGENCY |
| UNCERTAIN TAX POSITIONS | SCHEDULE D, PART X, LINE 2 | THE CENTER RECOGNIZES THE EFFECT OF INCOME TAX POSITIONS ONLY IF THOSE POSITIONS ARE MORE LIKELY THAN NOT OF BEING SUSTAINED INCOME GENERATED FROM ACTIVITIES UNRELATED TO THE CENTER'S EXEMPT PURPOSE IS SUBJECT TO TAX UNDER INTERNAL REVENUE CODE SECTION 511 THE CENTER HAD NO UNRELATED BUSINESS INCOME TAX EXPENSE FOR THE YEARS ENDED DECEMBER 31, 2011 AND 2010 |
| OTHER CHANGE IN NET ASSETS FROM FORM 990 TO AUDITED FINANCIAL STATEMENTS | SCHEDULE D, PART XI, LINE 8 | AS OF DECEMBER 31, 2011, AN ACTUARIAL LOSS OF $20,289 WAS NOT YET RECOGNIZED AS A COMPONENT OF NET PERIODIC POSTRETIREMENT BENEFIT COST THIS LOSS IS RECORDED ON THE DECEMBER 31, 2011 STATEMENT OF CHANGES IN UNRESTRICTED NET ASSETS, DECREASING UNRESTRICTED NET ASSETS |

SCHEDULE F
(Form 990)

Department of the Treasury
Internal Revenue Service

# Statement of Activities Outside the United States

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2011

**Open to Public Inspection**

Name of the organization
THE FOUNDATION CENTER

**Employer identification number**
13-1837418

## Part I General Information on Activities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 14b.

1 **For grantmakers.** 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 **For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of grant funds outside the United States

3 Activites per Region (Use Part V if additional space is needed )

| | (a) Region | (b) Number of offices in the region | (c) Number of employees or agents in region or independent contractors | (d) Activities conducted in region (by type) (e g , fundraising, program services, investments, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region/investments in region |
|---|---|---|---|---|---|---|
| | North America | 0 | 0 | Program Services | SPECIAL TRAINING | 1,850 |
| | Sub-Saharan Africa | 0 | 0 | Program Services | SPECIAL TRAINING | 8,405 |
| 3a | Sub-total | 0 | 0 | | | 10,255 |
| b | Total from continuation sheets to Part I | | | | | |
| c | **Totals** (add lines 3a and 3b) | 0 | 0 | | | 10,255 |

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than $5,000. Check this box if no one recipient received more than $5,000 . . . . . . . . ▶ ☐
Use Part V if additional space is needed.

| 1 (a) Name of organization | (b) IRS code section and EIN (if applicable) | (c) Region | (d) Purpose of grant | (e) Amount of cash grant | (f) Manner of cash disbursement | (g) Amount of of non-cash assistance | (h) Description of non-cash assistance | (i) Method of valuation (book, FMV, appraisal, other) |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| | | | | | | | | |
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2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . . ▶

3 Enter total number of other organizations or entities . . . . . . . . . . . . . . . . . . . . . . . . ▶

**Part III** **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 16. Use Part V if additional space is needed.

| (a) Type of grant or assistance | (b) Region | (c) Number of recipients | (d) Amount of cash grant | (e) Manner of cash disbursement | (f) Amount of non-cash assistance | (g) Description of non-cash assistance | (h) Method of valuation (book, FMV, appraisal, other) |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

## Part IV Foreign Forms

| | | | |
|---|---|---|---|
| 1 | Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926 (see instructions for Form 926)* | ☑ Yes | ☐ No |
| 2 | Did the organization have an interest in a foreign trust during the tax year? *If " Yes," the organization may be required to file Form 3520 and/or Form 3520-A. (see instructions for Forms 3520 and 3520-A)* | ☐ Yes | ☑ No |
| 3 | Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with respect to Certain Foreign Corporations. (see instructions for Form 5471)* | ☑ Yes | ☐ No |
| 4 | Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see instructions for Form 8621)* | ☑ Yes | ☐ No |
| 5 | Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with respect to Certain Foreign Partnerships. (see instructions for Form 8865)* | ☐ Yes | ☑ No |
| 6 | Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to file Form 5713, International Boycott Report (see instructions for Form 5713).* | ☐ Yes | ☑ No |

**Part V** **Supplemental Information**

Complete this part to provide the information (see instructions) required in Part I, line 2, and any additional information.

| Identifier | ReturnReference | Explanation |
|---|---|---|
| PART I, LINE 3, COLUMN (F) | | THE CENTER USES THE ACCRUAL METHOD OF ACCOUNTING TO REPORT TOTAL EXPENDITURES BY REGION IN ITS FINANCIAL STATEMENTS |
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|---|---|---|

**Schedule J**
(Form 990)

Department of the Treasury
Internal Revenue Service

# Compensation Information

**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.**

OMB No 1545-0047

**2011**

**Open to Public Inspection**

**Name of the organization**
THE FOUNDATION CENTER

**Employer identification number**
13-1837418

## Part I Questions Regarding Compensation

| | | | Yes | No |
|---|---|---|---|---|
| **1a** | Check the appropiate 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<br>☐ First-class or charter travel ☐ Housing allowance or residence for personal use<br>☐ Travel for companions ☐ Payments for business use of personal residence<br>☐ Tax idemnification and gross-up payments ☐ Health or social club dues or initiation fees<br>☐ Discretionary spending account ☐ Personal services (e g , maid, chauffeur, chef) | | | |
| **b** | If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement orprovision of all the expenses described above? If "No," complete Part III to explain | **1b** | | |
| **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** | | |
| **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<br>☑ Compensation committee ☐ Written employment contract<br>☑ Independent compensation consultant ☑ Compensation survey or study<br>☐ Form 990 of other organizations ☑ Approval by the board or compensation committee | | | |
| **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? | **4a** | Yes | |
| **b** | Participate in, or receive payment from, a supplemental nonqualified retirement plan? | **4b** | Yes | |
| **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** | Yes | |
| **8** | Were any amounts reported in Form 990, Part VII, paid or accured 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 Schedule J-1 if additional space 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) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, columns (D) and (E) for that individual

| (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) MAUREEN MACKEY | (i) | 222,055 | 0 | 321,550 | 19,569 | 6,106 | 569,280 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (2) LORETTA FERRARI | (i) | 188,206 | 5,000 | 138 | 25,986 | 25,205 | 244,535 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (3) LAWRENCE T MCGILL | (i) | 173,488 | 0 | 258 | 23,856 | 25,723 | 223,325 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (4) EDWARD J VENTURI | (i) | 152,478 | 0 | 258 | 20,676 | 25,533 | 198,945 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (5) JUWON CHOI | (i) | 132,303 | 5,000 | 138 | 17,496 | 24,508 | 179,445 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (6) JEFFREY A FALKENSTEIN | (i) | 134,258 | 5,000 | 60 | 18,006 | 25,953 | 183,277 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| (7) BRADFORD K SMITH | (i) | 473,555 | 37,410 | 21,402 | 33,546 | 17,160 | 583,073 | 0 |
| | (ii) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

## Part III Supplemental 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 |
|---|---|---|
| SEVERANCE PAYMENT | SCHEDULE J, PART I, LINE 4A | MAUREEN MACKEY, THE CENTER'S FORMER TREASURER, WHOSE EMPLOYMENT TERMINATED AS OF JULY 31, 2011, RECEIVED SEVERANCE IN 2011 THE AMOUNT OF SEVERANCE RECEIVED IS INCLUDED ON SCHEDULE J PART II IN COLUMN (B) (III), OTHER REPORTABLE COMPENSATION |
| SUPPLEMENTAL NONQUALIFIED RETIREMENT PLAN | SCHEDULE J, PART I, LINE 4B | THE FOLLOWING INDIVIDUAL CONTRIBUTED AN AMOUNT TO A SUPPLEMENTAL NONQUALIFIED RETIREMENT PLAN, AND THIS AMOUNT WAS INCLUDED AS TAXABLE COMPENSATION IN COLUMN (B)(III), OTHER REPORTABLE COMPENSATION, OF THE TABLE ABOVE - BRADFORD K SMITH, PRESIDENT, PARTICIPATED IN A SECTION 457(F) PLAN AND CONTRIBUTED $16,500 |
| NON-FIXED PAYMENTS | SCHEDULE J, PART I, LINE 7 | THE CENTER HAS AN INCENTIVE COMPENSATION PROGRAM FOR ITS STAFF SELECTED EMPLOYEES WITH EXCEPTIONAL PERFORMANCE DURING THE YEAR ARE ELIGIBLE TO RECEIVE AN AWARD OF 5% OF SALARY UP TO $5,000, SUBJECT TO THE AVAILABILITY OF RESOURCES |
| SCHEDULE J PART II COLUMN B(II) | | EACH YEAR, EMPLOYEES EARNING MORE THAN CERTAIN STATUTORY LIMITATIONS ARE ELIGIBLE TO RECEIVE ADDITIONAL COMPENSATION PURSUANT TO A FIXED FORMULA AS SPECIFIED IN THE CENTER'S SUPPLEMENTAL EXECUTIVE RETIREMENT PLAN FOR THE 2011 CALENDAR YEAR, THE PRESIDENT WAS PAID PURSUANT TO THE PLAN $37,410 WHICH IS REPORTED ON SCHEDULE J, PART II, COL B (II) |

**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

**2011**

**Open to Public Inspection**

Name of the organization
THE FOUNDATION CENTER

**Employer identification number**
13-1837418

| Identifier | Return Reference | Explanation |
|---|---|---|
| ORGANIZATION'S MISSION | FORM 990, PART III, LINE 1 | THE FOUNDATION CENTER'S MISSION IS TO STRENGTHEN THE SOCIAL SECTOR BY ADVANCING KNOWLEDGE ABOUT PHILANTHROPY IN THE U S AND AROUND THE WORLD THE CENTER ACCOMPLISHES ITS MISSION BY - OPERATING LIBRARY/LEARNING CENTERS IN FIVE LOCATIONS - NEW YORK CITY, WASHINGTON, DC, ATLANTA, CLEVELAND, AND SAN FRANCISCO - THAT OFFER FREE ACCESS TO INFORMATION RESOURCES AND EDUCATIONAL PROGRAMS - MAINTAINING UNIQUE DATABASES OF INFORMATION ON MORE THAN 100,000 FOUNDATIONS, CORPORATE DONORS, AND GRANTMAKING PUBLIC CHARITIES IN THE U S AND 2 4 MILLION OF THEIR RECENT GRANTS ITS FOUNDATION DIRECTORY ONLINE SUBSCRIPTION SERVICE IS THE MOST POPULAR MEANS FOR SEARCHING THESE DATABASES - PROVIDING A CONTENT-RICH WEB SITE WITH A VARIETY OF FREE SEARCH TOOLS, TUTORIALS, DOWNLOADABLE REPORTS, AND OTHER INFORMATION UPDATED DAILY, INCLUDING PHILANTHROPY NEWS DIGEST, ITS DAILY NEWS SERVICE, AND PUBHUB, ITS SEARCHABLE ONLINE COLLECTION OF THOUSANDS OF REPORTS PUBLISHED BY FOUNDATIONS AND NONPROFIT ORGANIZATIONS - CONDUCTING RESEARCH AND PUBLISHING REPORTS ON THE GROWTH OF THE FOUNDATION FIELD AND ON TRENDS IN FOUNDATION SUPPORT OF THE NONPROFIT SECTOR, INCLUDING THE ANNUAL FOUNDATIONS TODAY SERIES - PUBLISHING BOOKS RANGING FROM BASIC PRIMERS ON FUNDRAISING AND NONPROFIT MANAGEMENT TO COMPREHENSIVE REFERENCE WORKS - COORDINATING A NETWORK OF FUNDING INFORMATION CENTERS NATIONWIDE AND AROUND THE WORLD - MORE THAN 460 COOPERATING COLLECTIONS THAT OFFER FREE LOCAL ACCESS TO CORE CENTER RESOURCES AND TRAINING ESTABLISHED IN 1956, THE FOUNDATION CENTER IS THE LEADING SOURCE OF INFORMATION ABOUT PHILANTHROPY WORLDWIDE THROUGH DATA, ANALYSIS, AND TRAINING, IT CONNECTS PEOPLE WHO WANT TO CHANGE THE WORLD TO THE RESOURCES THEY NEED TO SUCCEED THE CENTER MAINTAINS THE MOST COMPREHENSIVE DATABASE ON U S AND, INCREASINGLY, GLOBAL GRANTMAKERS AND THEIR GRANTS - A ROBUST, ACCESSIBLE KNOWLEDGE BANK FOR THE SECTOR IT ALSO OPERATES RESEARCH, EDUCATION, AND TRAINING PROGRAMS DESIGNED TO ADVANCE KNOWLEDGE OF PHILANTHROPY AT EVERY LEVEL THOUSANDS OF PEOPLE VISIT THE CENTER'S WEB SITE EACH DAY AND ARE SERVED IN ITS FIVE REGIONAL LIBRARY/LEARNING CENTERS AND ITS NETWORK OF MORE THAN 460 FUNDING INFORMATION CENTERS LOCATED IN PUBLIC LIBRARIES, COMMUNITY FOUNDATIONS, AND EDUCATIONAL INSTITUTIONS NATIONWIDE AND AROUND THE WORLD |

| Identifier | Return Reference | Explanation |
|---|---|---|
| PROGRAM SERVICES - DATA COLLECTION AND PUBLICATIONS | FORM 990, PART III, LINE 4A | EXPENSES $8,505,469 AND REVENUE $11,253,358 THE CENTER MAINTAINS UNIQUE DATABASES OF INFOR MATION ON MORE THAN 100,000 FOUNDATIONS, CORPORATE DONORS, AND GRANTMAKING PUBLIC CHARITIE S IN THE U S AND 2 4 MILLION OF THEIR RECENT GRANTS ITS FOUNDATION DIRECTORY ONLINE SUBS CRIPTION SERVICE IS THE MOST POPULAR MEANS FOR SEARCHING THESE DATABASES THIS SUBSCRIPTIO N SERVICE IS MADE AVAILABLE FOR FREE USE IN OVER 460 LOCATIONS NATIONWIDE AND AROUND THE W ORLD THE CENTER ALSO PUBLISHES BOOKS RANGING FROM BASIC PRIMERS ON FUNDRAISING AND NONPRO FIT MANAGEMENT TO COMPREHENSIVE REFERENCE WORKS IN ADDITION, THE CENTER PROVIDES A CONTEN T-RICH WEB SITE WITH A VARIETY OF FREE SEARCH TOOLS, TUTORIALS, DOWNLOADABLE REPORTS, AND OTHER INFORMATION UPDATED DAILY, INCLUDING PHILANTHROPY NEWS DIGEST (PND) (HTTP//FOUNDATI ONCENTER ORG/PND/), ITS DAILY NEWS SERVICE, AND PUBHUB, ITS SEARCHABLE ONLINE COLLECTION O F NEARLY 7,000 REPORTS PUBLISHED BY FOUNDATIONS AND NONPROFIT ORGANIZATIONS SUBSCRIPTIONS TO ITS VARIETY OF FREE CUSTOMIZABLE E-NEWSLETTERS DISSEMINATING NEWS, FOUNDATION REQUESTS FOR GRANT PROPOSALS (RFPS), AND NONPROFIT SECTOR JOB OPENINGS (WHICH SUBSCRIBERS CAN TAIL OR TO THEIR SPECIFIC INTERESTS) GREW TO MORE THAN 88,500 BY YEAR-END 2011 DURING 2011, PN D POSTED APPROXIMATELY 6,300 NEWS STORIES, INTERVIEW AND COMMENTARY PIECES FEATURING THOUG HT LEADERS AT FOUNDATIONS AND NONPROFITS, VIDEO INTERVIEWS, BOOK AND WEB SITE REVIEWS, RFP S, JOB OPENINGS, AND OTHER INFORMATIVE CONTENT ITEMS PND ALSO MADE 300 POSTS TO ITS BLOG, PHILANTOPIC, WHICH COLLECTIVELY DREW CLOSE TO 117,000 PAGE VIEWS OTHER MAJOR DATA COLLEC TION AND PUBLICATIONS PROGRAM ACCOMPLISHMENTS IN 2011 INCLUDE THE FOLLOWING GREATER PARTI CIPATION AND INFORMATION QUALITY IN ELECTRONIC GRANT REPORTING TO ENSURE THAT IT HAS THE M OST CURRENT AND ACCURATE DATA POSSIBLE, AND IN THE INTEREST OF CONTINUALLY IMPROVING THE " REAL-TIME" NATURE OF THE INFORMATION IT PROVIDES TO ITS STAKEHOLDERS AND TO THE PUBLIC AT LARGE, A KEY PRIORITY FOR THE CENTER HAS BEEN TO ENCOURAGE MORE GRANTMAKERS TO SUBMIT THEI R GRANTS LISTS TO IT ELECTRONICALLY (HTTP//WWW FOUNDATIONCENTER ORG/GRANTMAKERS/E-GRANTS HTML) THE INFORMATION RECEIVED FROM GRANTMAKERS ABOUT THEIR GIVING IS ADDED WEEKLY TO ITS DATABASES AND TO THE VARIOUS MAPS IT HAS CREATED TO ILLUSTRATE PHILANTHROPIC ACTIVITY IN SPECIFIC LOCATIONS AS OF YEAR-END 2011, THE CENTER HAD REGISTERED MORE THAN 700 E-GRANT R EPORTERS IN OCTOBER 2011, THE CENTER LAUNCHED A NEW AND IMPROVED VERSION OF ITS FOUNDATIO N CENTER UPDATER PLATFORM (HTTP//UPDATER FOUNDATIONCENTER ORG/) THAT ALLOWS GRANTMAKERS T O MAKE DIRECT UPDATES TO THEIR FOUNDATION DIRECTORY ONLINE PROFILE, THEREBY GIVING THEM TH E ABILITY TO PROVIDE THE CENTER WITH UPDATED INFORMATION IN A MORE EFFICIENT AND TIMELY MA NNER IMPROVEMENTS TO THE CURRENT TAXONOMY IN OUR GRANTS CLASSIFICATION SYSTEM THE CENTER' S GRANTS CLASSIFICATION SYSTEM IS USED TO ENSURE THAT THE DATA COLLECTED FROM GRANTMAKERS CAN BE CLASSIFIED AND AGGREGATED SO THAT NONPROFITS CAN BETTER TARGET THEIR PROPOSALS, AND FOUNDATIONS CAN BETTER ASSESS GIVING TRENDS IN 2011, AS PART OF ITS ONGOING REVIEW PROCE SS, THE CENTER ADDED 21 NEW CODES TO THE "FIELD OF ACTIVITY/RECIPIENT TYPE" TAXONOMY, REDE FINED EXISTING CODES, AND CLEANED UP THE DISPLAY OF TERMS IN ITS ONLINE PRODUCTS IN ADDIT ION TO THESE TAXONOMY UPDATES, THE CENTER ADDED THOUSANDS OF NEW GEOGRAPHIC LOCATIONS OUTS IDE OF THE U S TO ITS DATABASE TO CLASSIFY A GRANT'S AREA OF IMPACT NEW INTERNATIONAL PA RTNERSHIPS THE CENTER IS GROWING ITS NETWORK OF INTERNATIONAL PARTNERS, WHO ARE CRITICAL T O ITS EFFORTS TO BUILD THE GLOBAL DATA PLATFORM FOR PHILANTHROPY THE CENTER'S IDENTIFICAT ION, RESEARCH, AND VERIFICATION PROCESS FOR FOREIGN FOUNDATIONS INVOLVES COLLECTING INFORM ATION FROM NON-U S-BASED WEB SITES, ALMOST 100 INTERNATIONAL MEMBERSHIP WEB SITES, AND INT ERNATIONAL GRANTMAKER MEMBERSHIP ORGANIZATION PARTNERS, AND ENSURING THAT EACH ORGANIZATIO N ADDED TO ITS DATABASE PROVIDES SOME FORM OF GRANT OR SCHOLARSHIP THE CENTER HAS BEEN WO RKING WITH A VARIETY OF INTERNATIONAL ORGANIZATIONS TO CAPTURE MORE INFORMATION ABOUT INST ITUTIONAL PHILANTHROPY ABROAD, INCLUDING THE CHINA FOUNDATION CENTER (CFC), THE MEXICAN CE NTER FOR PHILANTHROPY (CEMEFI), THE PANAMA-BASED FUNDACIN AVINA, THE BRAZILIAN GROUP OF IN STITUTIONS, FOUNDATIONS, AND ENTERPRISES (GIFE), THE INTERNATIONAL HUMAN RIGHTS FUNDERS GR OUP (IHRFG), WORLDWIDE INITIATIVES FOR GRANTMAKER SUPPORT (WINGS), THE EUROPEAN FOUNDATION CENTRE (EFC), THE NETHERLANDS-BASED INTERNATIONAL WOMEN'S FUND MAMA CASH, AND THE CHARITY COMMISSION OF ENGLAND AND WALES ADDITION OF MORE FOREIGN FOUNDATIONS TO OUR GLOBAL DATAB ASE THROUGHOUT 2011, THE CENTER ADDED APPROXIMATELY 4,000 INTERNATIONAL DONOR ENTITIES TO ITS DATABASE, BRINGING ITS CUMULATIVE TOTAL TO WELL OVER 5,000 AMONG THESE WERE 50 FOREIG N FOUNDATIONS ASSOCIATED WITH CELEBRITIES THAT WERE IDENTIFIED IN THE PROCESS OF CREATING ITS CELEBRITY FOUNDATION DIRECTORY FOUNDATION GRA |

| Identifier | Return Reference | Explanation |
|---|---|---|
| PROGRAM SERVICES - DATA COLLECTION AND PUBLICATIONS | FORM 990, PART III, LINE 4A | NTS TO INDIVIDUALS ONLINE RELAUNCH SOME FOUNDATIONS GIVE AWARDS, INCLUDING SCHOLARSHIPS,TO INDIVIDUALS, SUCH AS STUDENTS, TEACHERS, SCIENTISTS, AND ARTISTS THE CENTER'S RECENTLY R ELAUNCHED AND REDESIGNED FOUNDATION GRANTS TO INDIVIDUALS ONLINE (HTTP//GTIONLINE FOUNDAT IONCENTER ORG/) OFFERS A VARIETY OF NEW FEATURES TO HELP INDIVIDUAL GRANTSEEKERS MORE EASI LY FIND FUNDING OPPORTUNITIES APPROPRIATE TO THEIR NEEDS THE SUBSCRIPTION SERVICE CAN BE USED FOR FREE AT THE CENTER'S FIVE REGIONAL LOCATIONS IN ATLANTA, CLEVELAND, NEW YORK CITY , SAN FRANCISCO, AND WASHINGTON, D C , AND AT ITS MORE THAN 460 FUNDING INFORMATION CENTER S NATIONWIDE AND AROUND THE WORLD SUPPLEMENTARY GIVING DATA BEYOND FOUNDATION GRANTS DURI NG 2011, THE CENTER WORKED TO AGGREGATE AND DISSEMINATE INFORMATION ON AREAS OF EMERGING I MPORTANCE IN THE FIELD, INCLUDING PRO BONO ACTIVITIES, MISSION-RELATED INVESTMENT (MRI) DA TA, RELATIONSHIPS BETWEEN GRANTMAKING ORGANIZATIONS, AND SIGNATORIES TO PHILANTHROPY'S PRO MISE, AN INITIATIVE OF THE NATIONAL COMMITTEE FOR RESPONSIVE PHILANTHROPY (NCRP) ENCOURAGI NG GRANTMAKERS TO COMMIT TO SERVING THE COMMON GOOD THE CENTER IS ALSO MAKING INFORMATION AVAILABLE ABOUT CORPORATE SOCIAL RESPONSIBILITY (CSR) ACTIVITIES, INCLUDING GREENHOUSE GA S EMISSIONS DATA ON 300 S&P 500 COMPANIES PROVIDED THROUGH AN AGREEMENT WITH THE CARBON DI SCLOSURE PROJECT ENHANCEMENTS AND CUSTOMIZATIONS TO PHILANTHROPY IN/SIGHT PHILANTHROPY IN /SIGHT (HTTP//PHILANTHROPYINSIGHT ORG/), THE CENTER'S INTERACTIVE MAPPING TOOL FOR GRANTM AKERS, IS DESIGNED TO HELP INFORM THEIR FUNDING DECISIONS USERS CAN CREATE CUSTOMIZED MAP S WITH DEMOGRAPHIC OVERLAYS TO SHOW FUNDING PATTERNS WORLDWIDE AS THE CENTER GATHERS INFO RMATION ABOUT MORE GRANTMAKERS, IT ADDS THEIR DATA TO ITS PHILANTHROPY IN/SIGHT PLATFORM IN 2011, THE CENTER MADE SIGNIFICANT CHANGES TO IN/SIGHT TO DEVELOP AN IMPROVED 2 0 INTERF ACE WITH UPGRADED FUNCTIONALITY, WHICH IT ROLLED OUT IN NOVEMBER THE CENTER ALSO DEVELOPE D SEVERAL CUSTOMIZED VERSIONS OF IN/SIGHT IN 2011 |

| Identifier | Return Reference | Explanation |
|---|---|---|
| PROGRAM SERVICES - LIBRARY/LEARNING CENTERS AND OTHER PUBLIC SERVICES | FORM 990, PART III, LINE 4B | EXPENSES $5,127,950 AND REVENUE $1,430,744 THE CENTER OPERATES PROFESSIONALLY STAFFED LIBRARY/LEARNING CENTERS IN FIVE LOCATIONS - NEW YORK CITY, WASHINGTON, DC, ATLANTA, CLEVELAND, AND SAN FRANCISCO - THAT OFFER FREE ACCESS TO THE CENTER'S ONLINE SUBSCRIPTION DATABASES AND BOOKS, OTHER RESOURCES ON FUNDERS AND ALL ASPECTS OF PHILANTHROPY AND NONPROFIT MANAGEMENT AND FREE EDUCATIONAL PROGRAMS IN 2011 THE CENTER'S LIBRARIES WERE UTILIZED BY OVER 47,000 VISITORS THE CENTER HAS AN ONLINE LIBRARIAN WHO RESPONDS TO REFERENCE QUESTIONS FROM PEOPLE WHO PREFER TO USE ITS RESOURCES ONLINE THE CENTER'S ONLINE LIBRARIAN RESPONDED TO OVER 12,000 QUESTIONS IN 2011 THE CENTER'S ROTATION OF 22 FREE, IN-PERSON CLASSES GIVES PARTICIPANTS A COMPREHENSIVE UNDERSTANDING OF THE GRANTSEEKING PROCESS ON ITS WEBSITE 16 WEBINARS OF ITS FREE CLASSES, AS WELL AS FREE TUTORIALS AND INTERACTIVE COURSES AND AUDIO/VIDEO RECORDINGS OF ITS SPECIAL EVENTS, EXTEND TRAINING OPPORTUNITIES TO THOSE WHO ARE UNABLE TO ATTEND CLASSROOM PRESENTATIONS OR WHO PREFER TO LEARN AT THEIR OWN PACE IN THEIR HOME OR OFFICE THESE ONLINE COURSES SAVE TRAVEL TIME AND COSTS, AND BROADEN THE CENTER'S REACH INTO UNDERSERVED AND RURAL COMMUNITIES IN 2011, APPROXIMATELY 21,000 PEOPLE PARTICIPATED IN THE CENTER'S FREE TRAINING, BOTH IN-PERSON AND ONLINE THE CENTER ALSO COORDINATES A NETWORK OF FUNDING INFORMATION CENTERS NATIONWIDE AND AROUND THE WORLD - MORE THAN 460 COOPERATING COLLECTIONS THAT OFFER FREE LOCAL ACCESS TO CORE CENTER RESOURCES, INCLUDING THE FOUNDATION DIRECTORY ONLINE PROFESSIONAL AND TRAINING OTHER MAJOR LIBRARY/LEARNING CENTER ACCOMPLISHMENTS IN 2011 INCLUDE THE FOLLOWING ENHANCEMENTS TO GRANTSPACE THE CENTER'S POWERFUL NEW GRANTSPACE TOOL (HTTP //WWW GRANTSPACE ORG) WHICH LAUNCHED IN 2010, ALLOWS NONPROFITS IN ANY LOCATION TO REDUCE THEIR TRAINING AND TRAVEL EXPENSES WHILE KEEPING THEIR GRANTSEEKING SKILLS SHARP AND THEIR KNOWLEDGE CURRENT, THEREBY MAKING AVAILABLE MORE ORGANIZATIONAL RESOURCES FOR PROVIDING DIRECT SERVICES GRANTSPACE IS A STATE-OF-THE-ART LEARNING PLATFORM THAT ENABLES GRANTSEEKERS TO MORE EASILY FIND ALL THE TRAINING TOOLS AND RESOURCES THEY NEED-BOTH IN A NEARBY CLASSROOM AND ONLINE-WITHIN A WEB 2 0 ENVIRONMENT RESOURCES FEATURED ON GRANTSPACE CURRENTLY INCLUDE RECENT NEWS, PUBLISHED REPORTS, PODCASTS, VIDEOS, STATISTICS, SAMPLE DOCUMENTS, JOB LISTINGS, REQUESTS FOR PROPOSALS, AND ANSWERS TO FREQUENTLY ASKED QUESTIONS IN 2011, THE CENTER PARTNERED WITH ISSUELAB (AN ONLINE PUBLISHING FORUM FOR NONPROFIT RESEARCH ESTABLISHED TO MORE EFFECTIVELY ARCHIVE, DISTRIBUTE, AND PROMOTE THE EXTENSIVE AND DIVERSE BODY OF WORK BEING PRODUCED BY THE SOCIAL SECTOR) TO DEVELOP A WIDGET CURRENTLY IN USE THAT ALLOWS ISSUELAB LISTINGS TO BE INTEGRATED INTO GRANTSPACE PAGES RESEARCH TITLES FROM THE ISSUELAB DATABASE ARE NOW BEING PULLED DYNAMICALLY INTO THE GRANTSPACE PORTAL AND APPEAR ALONGSIDE PUBLICATION TITLES FROM PUBHUB (HTTP //FOUNDATIONCENTER ORG/PUBHUB/), THE CENTER'S REPOSITORY OF APPROXIMATELY 7,000 RESEARCH AND PUBLICATIONS SUPPORTED BY FOUNDATIONS THIS CONTENT IS UPDATED NIGHTLY THE CENTER ALSO INCORPORATED INTO GRANTSPACE PARTNER CONTENT FROM BOARDSOURCE, AN ORGANIZATION THAT STRIVES TO SUPPORT AND PROMOTE EXCELLENCE IN BOARD SERVICE BY PROVIDING THOUGHT LEADERSHIP AND RESOURCES RELATED TO NONPROFIT BOARDS ADDITIONALLY, IN 2011 THE CENTER LAUNCHED A "DEVELOPING PROPOSALS" DISCUSSION FORUM ON GRANTSPACE, WHERE REGISTERED GRANTSPACE USERS CAN ASK QUESTIONS AND SHARE THEIR KNOWLEDGE NEW TRAINING COURSES THE CENTER LAUNCHED TWO NEW FREE COURSES IN 2011 NONPROFIT SUSTAINABILITY BUILDING BLOCKS TO ORGANIZATIONAL SUCCESS, WHICH HELPS NONPROFIT LEADERS TO IMPROVE THE WAY THEIR ORGANIZATION USES RESOURCES AND TO ASSESS, MONITOR, AND IMPROVE THE INCOME PORTFOLIO OF THEIR ORGANIZATION, AND YOU GOT THE GRANT! NOW WHAT?, WHICH INTRODUCES PARTICIPANTS TO BEST PRACTICES IN REPORTING AND COMMUNICATING TO DEEPEN RELATIONSHIPS WITH FOUNDATION DONORS THESE COURSES WERE OFFERED IN ALL FIVE FIELD OFFICES AND VIA WEBINAR ON A REGULAR BASIS STARTING IN THE SECOND HALF OF THE YEAR SCHOLARSHIPS AND SUBSIDIZED TRAINING IN 2011, THE CENTER AWARDED A TOTAL OF 163 SCHOLARSHIPS THAT ENABLED SMALL AND UNDER-RESOURCED NONPROFITS TO PARTICIPATE IN ITS FEE-BASED TRAINING SESSIONS ON GRANTSEEKING AND NONPROFIT MANAGEMENT (THESE FULL-DAY COURSES SUPPLEMENT ITS FREE CLASSES AND FREE ONLINE TUTORIALS ) IT ALSO BROUGHT FREE CAPACITY-BUILDING TRAINING TO UNDER-RESOURCED NONPROFITS |

| Identifier | Return Reference | Explanation |
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| PROGRAM SERVICES - RESEARCH AND OTHER PROGRAMS | FORM 990, PART III, LINE 4C | EXPENSES $3,301,554 AND REVENUE $565,227 THE CENTER CONDUCTS RESEARCH AND PUBLISHES REPORT S ON THE GROWTH OF THE FOUNDATION FIELD AND ON TRENDS IN FOUNDATION SUPPORT OF THE NONPROF IT SECTOR, INCLUDING THE ANNUAL FOUNDATIONS TODAY SERIES TO MAXIMIZE THE IMPACT OF ITS RE SEARCH, IT HOSTS BRIEFINGS AND PANELS TO DISCUSS KEY FINDINGS, AND "SPREADS THE WORD" THRO UGH SOCIAL MEDIA TO MAKE KNOWLEDGE ACCESSIBLE TO ALL, IT MAKES ITS FULL REPORTS OR HIGHLI GHTS FROM THEM AVAILABLE FOR FREE DOWNLOAD AT ITS WEB SITE SPECIAL EFFORTS IN RESEARCH AN D OTHER PROGRAMS IN 2011 INCLUDE THE FOLLOWING STEWARDSHIP OF GRANTCRAFT GRANTCRAFT (HTTP //WWW GRANTCRAFT ORG), A FORMER PROJECT OF THE FORD FOUNDATION NOW UNDER THE STEWARDSHIP OF THE CENTER AND THE EUROPEAN FOUNDATION CENTRE (EFC) IN BRUSSELS, EQUIPS GRANTMAKERS WIT H A VAST STORE OF PRACTICAL WISDOM THROUGH GUIDES, CASE STUDIES, VIDEOS, A "NOTES FROM THE FIELD" BLOG, AND REPORTS, ARTICLES, AND OTHER COMMUNICATIONS FROM THE FRONT LINES OF GRAN TMAKING BROUGHT TOGETHER VIA A "ONE-STOP-SHOP" WEB SITE THE CENTER LAUNCHED ARABIC TRANSL ATIONS OF POPULAR GUIDES, WHICH HAVE BEEN ADDED TO GRANTCRAFT'S GROWING COLLECTION OF TRAN SLATIONS, INCLUDING GERMAN, FRENCH, RUSSIAN, SPANISH, AND JAPANESE A NEW REPORT WAS INTRO DUCED IN MAY TITLED, LEARNING WHEN THERE'S NO TIME TO LEARN, IN RESPONSE TO THE DILEMMA FA CED BY MANY FOUNDATION STAFF THAT THEIR WORK DOES NOT ALLOW AMPLE TIME FOR PERSONAL REFLEC TION AND FURTHER LEARNING CREATION OF KNOWLEDGE PORTALS THE CENTER'S ISSUE-BASED WEB SITE PORTALS ARE A MEANS OF BRINGING ALL OF ITS KNOWLEDGE TO BEAR ON CRITICAL ISSUES FOR THE B ENEFIT OF SPECIFIC GRANTMAKER AUDIENCES THE CONFLUENCE OF ITS DATA, RESEARCH, NEWS, AND T ECHNOLOGICAL KNOW-HOW IS HELPING TO FACILITATE STRATEGIC DECISION-MAKING AND COLLABORATION WITHIN THE SECTOR A PRIME EXAMPLE OF THESE EFFORTS IS THE CENTERS RECENT CREATION OF A C USTOM WEB PORTAL TO SERVE AS A HUB OF INFORMATION AND RESOURCES FOR FUNDERS WORKING AROUND THE WORLD TO IMPROVE WATER ACCESS, SANITATION, AND HYGIENE-COMMONLY REFERRED TO AS "WASH" (HTTP //WWW WASHFUNDERS ORG) RESOURCES AVAILABLE ON THE NEW SITE INCLUDE A ROBUST MAPPIN G TOOL, PROFILES AND CASE STUDIES, OUTCOME ASSESSMENT TOOLS, AND A SEARCHABLE ARCHIVE OF R ESEARCH REPORTS FOUNDATIONS AND NONPROFITS ARE ALREADY USING THE PORTAL TO IDENTIFY PROSP ECTIVE PARTNERS AND FUNDING OPPORTUNITIES THE CENTER ALSO COMPLETED PHASE I OF THE EXPANS ION OF ITS FOCUS ON HAITI PORTAL (HTTP //FOUNDATIONCENTER ORG/FOCUS/HAITI/) DISSEMINATION OF DATA ON PHILANTHROPY'S RESPONSE TO THE JAPAN DISASTERS IMMEDIATELY FOLLOWING THE EARTH QUAKE/TSUNAMI/MELTDOWN DISASTERS IN JAPAN EARLY IN 2011, THE CENTER BEGAN COLLECTING AND D ISSEMINATING INFORMATION ON THE CORPORATE AND PHILANTHROPIC RESPONSE ITS TRACKING OF THE PHILANTHROPIC RESPONSE NETTED 446 DONATIONS FROM FUNDERS (INCLUDING 224 CORPORATE FUNDERS) TOTALING $278,983,873 AS A RESULT OF THIS EFFORT, THE CENTER WAS ABLE TO CREATE THE "RSS FEED OF JAPAN GRANTS" (HTTP //MAPS FOUNDATIONCENTER ORG/JAPAN/RSS/) WITHIN DAYS OF THE DI SASTER, WHICH SERVED AS A CENTRAL INFORMATION SOURCE FOR THE PHILANTHROPIC RESPONSE THE O PEN AND FREE RSS FEED OF THE RESPONSE GRANTS BENEFITED THE PUBLIC BY RAPIDLY DISSEMINATING THIS IMPORTANT INFORMATION, WHICH WAS CONSUMED BY ORGANIZATIONS SUCH AS CRISIS COMMONS AN D THE UNITED NATIONS CENTRAL EMERGENCY RESPONSE FUND (CERF) BY HAVING THIS INFORMATION FR EELY AVAILABLE, PEOPLE WERE ABLE TO ANALYZE THE DATA AND DETERMINE WHAT CRITICAL NEEDS WER E AND WERE NOT BEING MET, AND TO IDENTIFY THE KEY PLAYERS ON THE GROUND MOVING EDUCATION REFORM FORWARD REPORT IN JUNE 2011, THE CENTER ISSUED A NEW RESEARCH REPORT, MOVING EDUCAT ION REFORM FORWARD GRANTMAKERS REFLECT ON A CONVENING WITH STATE AND LOCAL GOVERNMENT EDU CATION LEADERS (HTTP //FOUNDATIONCENTER ORG/GAINKNOWLEDGE/RESEARCH/PDF/MOVING_EDUREFORM_F ORWARD_2011 PDF), WHICH PROVIDES CRITICAL INSIGHTS INTO HOW GRANTMAKERS MAY BE ABLE TO WOR K MORE EFFECTIVELY WITH STATE AND LOCAL EDUCATION LEADERS BASED ON INTERVIEWS WITH PARTIC IPANTS AT A NATIONAL GATHERING CONVENED BY THE COUNCIL OF CHIEF STATE SCHOOL OFFICERS IN J ANUARY 2011, IT OFFERS A NUANCED ASSESSMENT OF THIS TYPE OF CONVENING, INCLUDING THE CHALL ENGES THAT FACE GRANTMAKERS AND EDUCATION LEADERS IN THEIR WORK TO COORDINATE FUTURE EFFOR TS EFFECTIVELY WEBINAR SERIES FOR EDUCATION FUNDERS DURING 2011, THE CENTER HELD NINE WEB INARS AND TELECONFERENCES RELATED TO CURRENT AND EMERGING ISSUES IN THE EDUCATION FIELD E ACH PROGRAM FEATURED A Q&A SEGMENT IN WHICH PARTICIPANTS QUESTIONED PRESENTERS AND SHARED THEIR OWN EXPERIENCES ALL EVENTS WERE RECORDED AND POSTED ONLINE (HTTP //FOUNDATIONCENTER ORG/EDUCATIONEXCELLENCE/EVENTS HTML) FOR THOSE UNABLE TO PARTICIPATE IN THE LIVE PROGRAMS , FURTHER EXPANDING THE AUDIENCE FOR THESE CONVERSATIONS RESEARCH STUDIES ON NEW FOUNDATI ON INVESTMENT STRATEGIES IN SEPTEMBER 2011, THE CENTER RELEASED FOUNDATION LEADERS ADDRESS THE STATE BUDGET CRISES (HTTP //FOUNDATIONCENTER |

| Identifier | Return Reference | Explanation |
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| PROGRAM SERVICES - RESEARCH AND OTHER PROGRAMS | FORM 990, PART III, LINE 4C | ORG/GAINKNOWLEDGE/RESEARCH/PDF/STATE_BUDGET_CRISE S_2011 PDF), A REPORT FINDING THAT NEARL Y NINETY PERCENT OF AMERICA'S LARGEST FOUNDATIONS REPORT THAT AT LEAST SOME OF THE NONPROF IT ORGANIZATIONS THEY SUPPORT HAVE BEEN SEVERELY AFFECTED BY STATE BUDGET CUTS ONE-QUARTE R REPORT HAVING GRANTEES THAT HAVE BEEN FORCED TO SUSPEND OPERATIONS IN OCTOBER 2011, THE FOUNDATION CENTER RELEASED KEY FACTS ON MISSION INVESTING (HTTP //FOUNDATIONCENTER ORG/GA INKNOWLEDGE/RESEARCH/PDF/KEYFACTS_MISSIONIN VESTING2011 PDF), A REPORT FINDING THAT MORE F OUNDATIONS ARE USING THEIR INVESTMENT ASSETS TO ACHIEVE THEIR MISSIONS, AND THAT ONE IN SE VEN SURVEYED FOUNDATIONS ARE EMPLOYING MARKET-RATE MISSION-RELATED INVESTMENTS AND/OR BELO W-MARKET-RATE PROGRAM-RELATED INVESTMENTS TO ACHIEVE A SOCIAL BENEFIT MORE THAN HALF OF T HOSE MAKING MISSION-RELATED INVESTMENTS BEGAN DOING SO WITHIN THE PAST FIVE YEARS FIRST-E VER REPORT ON EUROPEAN FOUNDATION FUNDING FOR WOMEN AND GIRLS UNTAPPED POTENTIAL EUROPEAN FOUNDATION FUNDING FOR WOMEN AND GIRLS (HTTP //FOUNDATIONCENTER ORG/GAINKNOWLEDGE/RESEARC H/PDF/UNTAPPED_POTENTIAL PDF)-A LANDMARK STUDY RELEASED JOINTLY IN MAY 2011 BY THE CENTER AND THE NETHERLANDS-BASED MAMA CASH - IS THE FIRST TO EXAMINE THE SCOPE AND DISTRIBUTION OF EUROPEAN-BASED FUNDING FOR WOMEN AND GIRLS AND TO NOTE THE GAP THAT EXISTS BETWEEN EURO PEAN FOUNDATIONS' STATED INTERESTS AND THEIR ACTUAL ENGAGEMENT IT FINDS THAT 37 PERCENT O F SURVEYED EUROPEAN FOUNDATIONS ACTIVELY SUPPORTED PROGRAMS THAT BENEFIT WOMEN AND GIRLS I N 2009, BUT THAT 90 PERCENT OF THE SAME FOUNDATIONS EXPRESS AN INTEREST IN ISSUES RELATED TO THIS POPULATION GROUP |

| Identifier | Return Reference | Explanation |
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| PROGRAM SERVICES - RESEARCH AND OTHER PROGRAMS (CONTINUED) | FORM 990, PART III, LINE 4C | CONTINUATION OF ITS DIVERSITY WORK THE CENTER IS CONTRIBUTING RESEARCH TO THE D5 INITIATIV E (HTTP //WWW D5COALITION ORG), AN OUTGROWTH OF THE DIVERSITY IN PHILANTHROPY PROJECT (200 7-2009) FOCUSING ON THE NEXT FIVE YEARS (2010-2015) OF WORK RELEVANT TO THE PROJECT'S GOAL S THE FIRST MAJOR D5 PUBLICATION IS ITS REPORT, STATE OF THE WORK 2011 MAPPING THE LANDS CAPE AND D5'S PATH FORWARD ON DIVERSITY, EQUITY, AND INCLUSION IN PHILANTHROPY (HTTP //WWW D5COALITION ORG/STATE_OF_THE_WORK HTML), AS THE FIRST IN AN ANNUAL SERIES THIS REPORT RE PRESENTS THE D5 COALITION'S EFFORTS TO MAP THE WORK OF U S PHILANTHROPY AS A WHOLE ON A N UMBER OF FRONTS RELATED TO DIVERSITY, EQUITY, AND INCLUSION THUS FAR, AND WILL HELP GUIDE D5'S WORK AND ASSESSMENTS OF PROGRESS OVER THE NEXT FIVE YEARS IT INCLUDES INFORMATION AB OUT BOARD AND STAFF COMPOSITION, DIVERSITY AND INCLUSION POLICIES AND PRACTICES, EDUCATION AL PROGRAMS AND TOOLS, GRANT SIZES AND RECIPIENTS, RESEARCH EFFORTS, AND SUCCESS STORIES THE CENTER CONTRIBUTED A SUBSTANTIAL AMOUNT OF RESEARCH, WRITING, AND EDITING TO THIS REPO RT ANOTHER MAJOR PRODUCT OF THE INITIATIVE IS AN INTERACTIVE ONLINE DIRECTORY OF POPULATI ON-FOCUSED FUNDS (HTTP //WWW D5COALITION ORG/TOOLS/POPULATION-FOCUSED-FUNDS/DIRECTORY/), W HICH CONTAINS ENTRIES FOR OVER 400 POPULATION-FOCUSED FUNDS THROUGHOUT THE UNITED STATES, SERVING AFRICAN AMERICAN, ARAB AMERICAN/MIDDLE EASTERN, ASIAN/PACIFIC ISLANDER, HISPANIC/L ATINO, NATIVE AMERICAN, WOMEN, AND LGBTQ COMMUNITIES DATA IS SOURCED THROUGH THE CENTER A ND SUPPLEMENTED WITH DATA FROM D5 RESEARCH PREPARED BY THE FOUNDATION CENTER WITH NATIVE AMERICANS IN PHILANTHROPY, FOUNDATION FUNDING FOR NATIVE AMERICAN ISSUES AND PEOPLES (HTTP //FOUNDATIONCENTER ORG/GAINKNOWLEDGE/RESEARCH/PDF/FF_NATIVEAMERICAN PDF), RELEASED IN MA Y 2011, FOUND THAT OVER THE PAST DECADE, U S FOUNDATION SUPPORT BENEFITING NATIVE AMERICA NS DECLINED FROM 0 5 PERCENT TO 0 3 PERCENT OF TOTAL FOUNDATION GIVING ACCORDING TO THE S TUDY, TOTAL GRANT DOLLARS TARGETING NATIVE AMERICANS DROPPED 30 8 PERCENT IN THE LATEST YE AR, COMPARED TO A 14 1 PERCENT OVERALL DOWNTURN IN FOUNDATION GIVING THE FOUNDATION CENTE R'S NOVEMBER 2011 REPORT, DIMINISHING DOLLARS THE IMPACT OF THE 2008 FINANCIAL CRISIS ON THE FIELD OF SOCIAL JUSTICE PHILANTHROPY (HTTP //FOUNDATIONCENTER ORG/GAINKNOWLEDGE/RESEAR CH/PDF/DIMINISHING_DOLLAR S2011 PDF), FINDS THAT SOCIAL JUSTICE GRANTMAKERS HAVE BEEN DISP ROPORTIONATELY IMPACTED BY THE GLOBAL FINANCIAL CRISIS AND THEIR RECOVERY REMAINS IN JEOPA RDY THE STUDY EXAMINES HISTORICAL TRENDS IN FOUNDATION ASSETS, SPENDING, AND GIVING LEVEL S, DESCRIBES STRATEGIES USED BY FOUNDATIONS TO COPE WITH DEPLETED ASSETS IMMEDIATELY FOLLO WING THE CRISIS, AND PRESENTS PROJECTIONS THROUGH 2015 FOR ASSET AND GRANTMAKING LEVELS S OON AFTER ITS RELEASE, THE REPORT HELPED TO JUMP-START CONVERSATIONS IN THE FIELD AROUND S TRATEGIES FOR BRINGING GREATER ATTENTION AND PHILANTHROPIC SUPPORT TO SOCIAL JUSTICE ISSUE S PREPARED WITH HISPANICS IN PHILANTHROPY, FOUNDATION FUNDING FOR HISPANICS/LATINOS IN TH E UNITED STATES AND FOR LATIN AMERICA (HTTP //FOUNDATIONCENTER ORG/GAINKNOWLEDGE/RESEARCH/ PDF/FC_HIP2011 PDF) FINDS THAT OVER THE PAST DECADE, FOUNDATION GIVING EXPLICITLY DESIGNAT ED TO BENEFIT HISPANICS AND LATINOS HAS REMAINED VIRTUALLY UNCHANGED, EVEN AS THE HISPANIC POPULATION IN THE U S HAS GROWN SIGNIFICANTLY OVER THE SAME PERIOD THE FIRST STUDY OF I TS KIND, THE REPORT EXAMINES FOUNDATION GIVING IN THE UNITED STATES BY FUNDER TYPE, ISSUE AREA, GEOGRAPHIC AREA, AND TYPE OF SUPPORT, AND IN LATIN AMERICA BY ISSUE AREA PARTNERSHI P WITH ISSUELAB THE CENTER AND ISSUELAB HAVE COLLABORATED ON A NUMBER OF PROJECTS OF MUTUA L INTEREST AMONG THESE ARE - CONSOLIDATING BOTH ORGANIZATIONS' RESPECTIVE COLLECTIONS OF FOUNDATION-SUPPORTED RESEARCH RELEVANT TO THE NONPROFIT SECTOR AS OF AUGUST 2011, THE FO UNDATION CENTER AND ISSUELAB'S COMBINED COLLECTION REPRESENTED APPROXIMATELY 10,500 DISCRE TE LISTINGS REPRESENTING THE WORK OF APPROXIMATELY 1,400 ORGANIZATIONS - ALLOWING WEB VIS ITORS TO DYNAMICALLY GENERATE READING LISTS REFLECTING THE COMBINED HOLDINGS OF BOTH ORGAN IZATIONS ISSUELAB DEVELOPED A WIDGET CURRENTLY IN USE THAT ALLOWS ISSUELAB LISTINGS TO BE INTEGRATED INTO GRANTSPACE, THE CENTER'S STATE-OF-THE-ART LEARNING PLATFORM THAT ENABLES GRANTSEEKERS TO MORE EASILY FIND ALL THE TRAINING TOOLS AND RESOURCES THEY NEED BOTH IN TH E CLASSROOM AND ONLINE - DEVELOPING NEW RESOURCES FOR USE IN BOTH FOUNDATION CENTER PROPE RTIES AND POTENTIAL THIRD-PARTY CONTENT PARTNERS ISSUELAB HELPED DEVELOP AN EDITORIAL APP ROACH AND CONTENT FOR THE FIRST BRIEFING IN THE "PHILANTHROPY AND " SERIES (HTTP //PNDBL OG TYPEPAD COM/PNDBLOG/2011/04/PHILANTHROPY-ANDJOB-CREATION H TML), RELEASED IN APRIL 2011 , WHICH INCLUDES INTERVIEWS WITH SIX NONPROFIT AND FOUNDATION LEADERS WORKING ON THE URGEN T ISSUE OF JOB CREATION GROWTH OF GLASSPOCKETS CURRENTLY, THE CENTER'S MAIN TOOL FOR ENCO URAGING GREATER TRANSPARENCY IN THE WORLD OF PHILA |

| Identifier | Return Reference | Explanation |
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| PROGRAM SERVICES - RESEARCH AND OTHER PROGRAMS (CONTINUED) | FORM 990, PART III, LINE 4C | NTHROPY IS ITS FREE WEB PLATFORM, GLASSPOCKETS (HTTP //WWW GLASSPOCKETS ORG) THE SITE'S R ICH CONTENT IS ORGANIZED ACCORDING TO THREE BASIC CATEGORIES FACTS ABOUT PHILANTHROPY, PH ILANTHROPY AT WORK, AND LOOKING INSIDE FOUNDATIONS AS SUCH, IT PROVIDES BASIC INFORMATION ABOUT THE ENTIRE FIELD, GIVES CLEAR EXAMPLES OF THE RELEVANCY OF FOUNDATIONS' WORK TO THE CHALLENGES OF OUR TIME, AND INCLUDES A RANGE OF TOOLS THAT IDENTIFY BEST PRACTICES AMONG FOUNDATIONS IN PROMOTING TRANSPARENCY IN THE DIGITAL AGE DURING 2011, THE CENTER ADDED NE W TRANSPARENCY PROFILES TO GLASSPOCKETS, INTRODUCED A HEAT MAP TOOL (HTTP //WWW GLASSPOCKE TS ORG/INSIDE/WHGP/PROFILES/WHGP_MAP_BY_FREQ HTML), AND CONTINUED BUILDING A CONVERSATION ABOUT TRANSPARENCY ON THE NEW TRANSPARENCY TALK BLOG (HTTP //BLOG GLASSPOCKETS ORG/) A GR OWING NUMBER OF FOUNDATIONS ARE USING GLASSPOCKETS AS A MEANS TO THINK THROUGH THEIR APPRO ACH TO TRANSPARENCY AND ACCOUNTABILITY AND TO BENCHMARK THEIR OWN WEB DESIGN AND SOCIAL ME DIA PRACTICES ANALYSIS OF GRANTMAKER SALARIES AND BENEFITS THE COUNCIL ON FOUNDATION'S AN NUAL SALARY REPORT PROVIDES THE MOST COMPREHENSIVE INFORMATION AVAILABLE ON THE COMPOSITIO N AND COMPENSATION OF U S PRIVATE AND PUBLIC FOUNDATIONS AND CORPORATE GIVING PROGRAMS I TS APRIL 2011 REPORT, 2010 GRANTMAKER SALARY AND BENEFITS REPORT KEY FINDINGS (HTTP //FOU NDATIONCENTER ORG/GAINKNOWLEDGE/RESEARCH/PDF/COF_SALARY_2011 PD F) WAS PREPARED IN COOPERA TION WITH THE CENTER, WHICH CONDUCTED THE ANALYSIS |

| Identifier | Return Reference | Explanation |
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| LOCAL CHAPTERS, BRANCHES, OR AFFILIATES | FORM 990, PART VI, LINE 10A | THE CENTER MAINTAINS AND OPERATES A NETWORK OF 5 PROFESSIONALLY-STAFFED LIBRARY/LEARNING CENTERS IN NEW YORK CITY, SAN FRANCISCO, WASHINGTON D C , CLEVELAND AND ATLANTA THESE ARE UNINCORPORATED DIVISIONS THAT USE THE SAME TAX IDENTIFICATION NUMBER AS THE CENTER THE LIBRARY/LEARNING CENTERS ARE GOVERNED BY THE SAME WRITTEN POLICIES AND PROCEDURES AS THE CENTER TO ENSURE THEIR OPERATIONS ARE CONSISTENT WITH THOSE OF THE CENTER'S |

| Identifier | Return Reference | Explanation |
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| FORM 990 REVIEW | FORM 990, PART VI, LINE 11B | THE CENTER'S FORM 990 IS PREPARED BY THE ACCOUNTING MANAGER UNDER THE DIRECT SUPERVISION OF THE CONTROLLER AND THE VICE PRESIDENT FOR FINANCE AND ADMINISTRATION THOROUGHLY REVIEWS THE RETURN THE DRAFT FORM 990 IS THEN REVIEWED BY MEMBERS OF THE TAX DEPARTMENT OF THE CENTER'S INDEPENDENT ACCOUNTING FIRM, KPMG LLP, AND THEN BY THE ORGANIZATION'S PRESIDENT SUBSEQUENTLY, THE AUDIT COMMITTEE OF THE CENTER'S BOARD OF TRUSTEES AND THE FULL BOARD REVIEWS THE RETURN AFTER RESPONDING TO ALL INQUIRIES AND MAKING ANY NECESSARY CHANGES, THE FINAL FORM 990 IS PROVIDED TO ALL MEMBERS OF THE BOARD PRIOR TO ITS FILING WITH THE IRS |

| Identifier | Return Reference | Explanation |
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| CONFLICT OF INTEREST POLICY | FORM 990, PART VI, LINE 12C | A CONFLICT OF INTEREST DISCLOSURE STATEMENT IS OBTAINED ANNUALLY FROM ALL TRUSTEES, SENIOR STAFF, AND OTHER KEY EMPLOYEES WHO ARE CURRENTLY SERVING THE CENTER A REPORT SUMMARIZING THE DISCLOSURE STATEMENTS IS PROVIDED TO THE BOARD OF TRUSTEES ANNUALLY IT IS THE CENTER'S POLICY THAT IN THE EVENT OF A CONFLICT THE FOLLOWING IS DONE IF THERE IS A CONFLICT RELEVANT TO A MATTER REQUIRING ACTION BY THE BOARD OF TRUSTEES, THE INTERESTED PERSON SHALL CALL IT TO THE ATTENTION OF THE BOARD OF TRUSTEES, AND THE TRUSTEE CONCERNED SHALL NOT VOTE ON THE MATTER MOREOVER, THE PERSON HAVING A CONFLICT SHALL RETIRE FROM THE ROOM IN WHICH THE BOARD IS MEETING AND SHALL NOT PARTICIPATE IN THE FINAL DELIBERATION OR DECISION REGARDING THE MATTER UNDER CONSIDERATION WHEN THERE IS DOUBT AS TO WHETHER A CONFLICT OF INTEREST EXISTS, THE MATTER SHALL BE RESOLVED BY VOTE OF THE BOARD OF TRUSTEES OR ITS COMMITTEE, EXCLUDING FROM THE ROOM AND THE VOTE THE PERSON WHOSE SITUATION WILL BE DISCUSSED WHEN A CONFLICT OF INTEREST ARISES FOR ANY STAFF MEMBER EXCEPT THE PRESIDENT, THAT STAFF MEMBER SHALL REPORT IT TO THE PRESIDENT IN WRITING A CONFLICT OF INTEREST RELATING TO THE PRESIDENT SHALL BE REPORTED IN WRITING TO THE CHAIRMAN OF THE BOARD |

| Identifier | Return Reference | Explanation |
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| COMPENSATION | FORM 990, PART VI, LINES 15A AND 15B | THE CENTER'S BOARD OF TRUSTEES, CONSISTING OF INDEPENDENT PERSONS, ESTABLISHES COMPENSATION FOR THE PRESIDENT AND REVIEWS THE COMPENSATION FOR THE VICE PRESIDENTS ON AN ANNUAL BASIS PRIOR TO MAKING COMPENSATION DECISIONS, THE BOARD, THROUGH THE USE OF AN INDEPENDENT CONSULTANT, OBTAINS INFORMATION ON THE COMPENSATION OF FUNCTIONALLY COMPARABLE POSITIONS FOR SIMILARLY QUALIFIED PERSONS AT SIMILARLY SITUATED ORGANIZATIONS AND/OR BENCHMARK SALARIES FOR SELECT POSITIONS OBTAINED FROM SALARY SURVEYS DOCUMENTATION OF THE DELIBERATIONS AND DECISIONS MADE ARE MAINTAINED IN THE MINUTES IN THE CORPORATE SECRETARY'S OFFICE A FULL INDEPENDENT COMPENSATION REVIEW FOR ALL EXECUTIVES AND OTHER SELECTED STAFF WAS PERFORMED IN 2010 |

| Identifier | Return Reference | Explanation |
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| AVAILABLE TO THE PUBLIC | FORM 990, PART VI, LINE 19 | THE CENTER'S AUDITED FINANCIAL STATEMENTS AND ANNUAL REPORT FOR THE PAST FIVE YEARS ARE POSTED ON ITS WEBSITE AND ARE DOWNLOADABLE. IN ADDITION, GOVERNANCE AND STAFFING POLICIES ARE POSTED, INCLUDING THE CODE OF CONDUCT (WHICH INCLUDES THE CONFLICT OF INTEREST POLICY), DIVERSITY STATEMENT AND THE EXECUTIVE COMPENSATION POLICY |

| Identifier | Return Reference | Explanation |
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| OTHER CHANGES IN NET ASSETS | FORM 990, PART XI, LINE 5 | AS OF DECEMBER 31, 2011, THE $(385,003) IN OTHER CHANGES IN NET ASSETS CONSISTS OF $(364,714) NET UNREALIZED INVESTMENT LOSSES FOR THE CURRENT YEAR AND AN ACTUARIAL LOSS OF $(20,289), WHICH REPRESENTS PENSION AND POSTRETIREMENT CHANGES OTHER THAN NET PERIODIC BENEFIT COST |

| Identifier | Return Reference | Explanation |
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| CHANGE IN PRIOR YEAR ENDING BALANCE | FORM 990, PART X, COLUMN (A) | CERTAIN AMOUNTS IN THE 2010 ENDING BALANCE OF ACCOUNTS RECEIVABLE AND DEFERRED REVENUE WERE RECLASSIFIED TO CONFORM TO THE 2011 PRESENTATION AND IN ACCORDANCE WITH THE AUDITED FINANCIAL STATEMENTS |