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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 10-01-2011 and ending 09-30-2012

B Check if applicable

☐ Address change

☐ Name change

☐ Initial return

☐ Terminated

☐ Amended return

☐ Application pending

C Name of organization
Smithsonian Institution

Doing Business As

Number and street (or P O box if mail is not delivered to street address)
1000 Jefferson Drive S W

Room/suite

City or town, state or country, and ZIP + 4
Washington, DC 20560

F Name and address of principal officer
Dr G Wayne Clough
1000 Jefferson Dr SW
Washington,DC 20560

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.si.edu

L Year of formation 1846

M State of legal domicile

Part I Summary			
Activities & Governance	1	Briefly describe the organization's mission or most significant activities "Increase and diffusion of knowledge" is the mission set forth by James Smithson	
	2	Check this box <input type="checkbox"/> 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 17
Revenue	5	Total number of individuals employed in calendar year 2011 (Part V, line 2a)	5 6,762
	6	Total number of volunteers (estimate if necessary)	6 6,012
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a 17,254,904
	7b	Net unrelated business taxable income from Form 990-T, line 34	7b -2,079,195
	8	Contributions and grants (Part VIII, line 1h)	Prior Year 1,040,181,349 Current Year 1,126,869,412
	9	Program service revenue (Part VIII, line 2g)	90,321,275 90,218,174
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	51,436,683 38,205,474
Expenses	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	59,039,102 59,946,482
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,240,978,409 1,315,239,542
	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	16,118,927 16,944,946
	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)	591,531,002 598,152,350
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	3,854,914 6,397,750
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶39,636,775	
Net Assets or Fund Balances	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	489,899,380 525,197,743
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	1,101,404,223 1,146,692,789
	19	Revenue less expenses Subtract line 18 from line 12	139,574,186 168,546,753
			Beginning of Current Year End of Year
	20	Total assets (Part X, line 16)	3,516,523,060 3,795,609,529
	21	Total liabilities (Part X, line 26)	741,196,747 756,490,921
	22	Net assets or fund balances Subtract line 21 from line 20	2,775,326,313 3,039,118,608

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

Signature of officer

2013-08-06
Date

Dr G Wayne Clough Secretary

Type or print name and title

Paid Preparer's Use Only

Preparer's signature

Firm's name (or yours if self-employed), address, and ZIP + 4

Date

Check if self-employed ☐

Preparer's taxpayer identification number (see instructions)

EIN ▶

Phone no ▶

May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat No 11282Y

Form 990 (2011)

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

"Increase and diffusion of knowledge" is the mission set forth by James Smithson The Smithsonian endeavors to shape the future by preserving our heritage, discovering new knowledge, and sharing our resources with the world

2

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

☐ 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 \$ 592,567,597 including grants of \$ 14,867,712) (Revenue \$ 32,137,691)
	4A Research and CollectionsThe Smithsonian collection of nearly 137 million objects (art, artifacts and scientific specimens) are the heart of the Institution Research, public programs and the exhibitions are based on the collections Care of collections involves the work of registrars, conservators, museum specialists, designers, curators and editors About 126 million objects and specimens are part of the natural history collections and primarily used for research purposes by both Smithsonian scientists and researchers from around the world In some cases, the museum has the definitive, irreplaceable collection of a certain species which is essential for comparative studies This year, the Smithsonian Conservation Biology Institute (SCBI) partnered with the Hawaii Institute of Marine Biology to collect sperm and embryonic cells from two species of coral and have built the first-ever frozen repository for the Great Barrier Reef that could someday restore a coral species or diversify a population SCBI's facility in Front Royal, Va , also announced the birth of several endangered species a clouded leopard cub, four maned wolf pups, two cheetah cubs and an eld's deer The Smithsonian Environmental Research Center (SERC) is studying a newly recognized parasite, Loxothylacus panopaei, that changes the gender of mud crabs in the Chesapeake Bay These parasites are posing a threat to the species' future and the area's economy Researchers are also vigilantly watching for the appearance of a "cousin" parasite, Loxothylacus texanus, that is threatening the blue crab
4b	(Code) (Expenses \$ 253,542,504 including grants of \$ 2,077,234) (Revenue \$ 49,606,534)
	4B Education, Public Programs and ExhibitionsThe Smithsonian opened more than 100 new exhibitions this year and sent traveling shows around the country Among the significant exhibitions were the Hirshhorn Museum's "Song 1," a site-specific installation of video and sound that enveloped the entire circular facade of the museum and literally stopped traffic "Slavery at Jefferson's Monticello Paradox of Liberty," opened at the National Museum of American History The exhibit explored slavery and enslaved people in America through the lens of Jefferson's Monticello plantation The National Museum of Natural History hosted the exhibition "Titanoboa Monster Snake" that featured a replica of a snake based on its remains discovered in a Colombian coal mine The snake is believed to have been 48 feet long and weighed 2,500 pounds The exhibit is now touring through Smithsonian Institution Traveling Exhibition Services (SITES) In February 2012, the Smithsonian held a groundbreaking ceremony for the National Museum of African American History and Culture The historic event was attended by President Obama and First Lady Michelle Obama, as well as former First Lady Laura Bush and Rep John Lewis The event was emceed by actress Phylicia Rashad and covered by all national media outlets The National Air and Space Museum welcomed the space shuttle Discovery into its collection in April 2012 Before landing in its new home at the Udvar-Hazy Center in near Dulles airport in Virginia, the shuttle flew over Washington as millions of spectators, in Washington and on TV and mobile devices, watched the once-in-a-lifetime event The Nielsen audience estimate of Discovery was more than 350 million with 4.8 billion unique viewers around the world online
4c	(Code) (Expenses \$ 49,563,493 including grants of \$) (Revenue \$ 58,679,888)
	4C MembershipThe National Associate program is our largest and most basic membership program The program provides members with "Smithsonian" magazine which is published 11 times a year "Smithsonian" magazine provides in-depth coverage of history, science, nature, the arts, and world cultures The magazine covers news in these areas, for example new research on Thomas Jefferson, as well as basic reporting on topics like the art of Cai Gou-Qiang Events sponsored by National Associates vary from year to year but have recently included our STEM conference in Washington DC and Museum Day, which provides free admission to over 200 museums nationwide on Museum Day Friends of Smithsonian is a higher level membership program for people interested in a deeper philanthropic connection to Smithsonian Friends receive "Smithsonian" Magazine, plus they are invited to various events and are given the opportunity to learn about and support through donations the Institution's exhibits and research The Smithsonian Associates provides educational and cultural programs that highlight and complement the work of the Smithsonian Institution through a variety of formats including performances, lectures, courses, workshops and special events The Smithsonian Associates has become the nation's largest museum-based continuing education program, offering nearly 1,000 educational and cultural events each year In FY 2012, TSA hosted actress Betty White, who discussed her career, passion for animals and lifelong advocacy for animal welfare, author Walter Isaacson, who spoke about his biography of Steve Jobs with Smithsonian Secretary Wayne Clough, and Martha Stewart, who talked about the evolution of American domestic culture TSA also hosted a panel discussion with White House Social Secretaries, presented author Judy Blume with the John P. McGovern Award for behavioral sciences and choreographer Mark Morris with the Benjamin Franklin Creativity Award
4d	Other program services (Describe in Schedule O)
	(Expenses \$ including grants of \$) (Revenue \$)
4e	Total program service expenses \$ 895,673,594

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	Yes	
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		No
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	Yes	
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		No
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? 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	Yes	
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	Yes	
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	Yes	
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	Yes	
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	Yes	
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)

21	Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	21	Yes	
22	Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22	Yes	
23	Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer questions 24b-24d and complete Schedule K. If "No," go to line 25</i>	24a	Yes	
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		No
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		No
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		No
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? <i>If "Yes," complete Schedule L, Part I</i>	25a		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b		No
26	Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II</i>	26		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III</i>	27		No
28	Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c		No
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	Yes	
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33		No
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i>	34	Yes	
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)? <i>If "Yes," complete Schedule R, Part V, line 2</i>	35b		No
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? 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 <input type="checkbox"/>						
		Yes	No			
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.	1a	3,520			
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	Yes			
2a	Enter the number of employees reported on Form W-3, <i>Transmittal of Wage and Tax Statements</i> filed for the calendar year ending with or within the year covered by this return	2a	6,762			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions).	2b	Yes			
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	Yes			
b	If "Yes," enter the name of the foreign country <input type="text" value="PM"/> 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	Yes			
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	Yes			
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? 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		
1b	Enter the number of voting members included in line 1a, above, who are independent		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2	Yes
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?	3	No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4	No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5	Yes
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	Yes
7b	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		
8a	The governing body?	8a	Yes
8b	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	No
10b	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	
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
11b	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
12b	Were officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	Yes
12c	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?		
15a	The organization's CEO, Executive Director, or top management official	15a	Yes
15b	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	Yes
16b	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	Yes

Section C. Disclosure

17	List the States with which a copy of this Form 990 is required to be filed
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. <input checked="" type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request
19	Describe in Schedule O whether (and if so, how), the organization 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. Shelley E Mitek 2011 Crystal Dr Arlington, VA 22202 (202) 633-7232

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

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 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

[illegible]

Part VII

1b	Sub-Total			
c	Total from continuation sheets to Part VII, Section A			
d	Total (add lines 1b and 1c)	8,214,579	0	1,273,583

2	Total number of individuals (including but not limited to those listed \$100,000 of reportable compensation from the organization)	1,140
----------	--	-------

3	Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>	3	Yes	
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? <i>If "Yes," complete Schedule J for such individual</i>	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? <i>If "Yes," complete Schedule J for such person</i>	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
Forrester Construction Company 12231 Parklawn Drive Rockville, MD 208521792	Construction (See Schedule O)	19,997,590
Grunley Construction Company 888 17th Street NW Washington, DC 20006	Construction (See Schedule O)	19,757,393
Associated Builders 4903 Baltimore Ave Hyattsville, MD 20781	Construction (See Schedule O)	16,788,103
Freelon Group 5310 S Alston Ave 300 Durham, NC 277134381	Construction (See Schedule O)	13,189,015
Northrop Grumman Systems Corporation Northrop Grumman Space Technology Redondo Beach, CA 90278	Systems Eng Support (See Schedule O)	8,250,481
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 453		

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	59,472	1,126,869,412		
	b	Membership dues	1b	11,208,330			
	c	Fundraising events	1c	1,480,345			
	d	Related organizations	1d				
	e	Government grants (contributions)	1e	916,403,979			
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	197,717,286			
	g	Noncash contributions included in lines 1a-1f \$ 5,040,278					
	h	Total. Add lines 1a-1f					
Program Service Revenue			Business Code				
	2a	Subscriptions-magazine	511120	36,968,789	36,968,789		
	b	Visitors/Members/Empl	900099	31,013,134	14,054,945		16,958,189
	c	Theater Income	711110	10,640,866	9,204,403	1,436,463	
	d	Tours/Classes	900099	9,388,948	9,375,663	13,285	
	e	Traveling Exhibitions	900099	1,081,880	1,081,880		
	f	All other program service revenue		1,124,557		1,124,557	
	g	Total. Add lines 2a-2f			90,218,174		
Other Revenue	3	Investment income (including dividends, interest and other similar amounts)		7,386,593			7,386,593
	4	Income from investment of tax-exempt bond proceeds . .					
	5	Royalties		10,008,518			10,008,518
	6a	(i) Real					
		(ii) Personal					
	b	Less rental expenses					
	c	Rental income or (loss)					
	d	Net rental income or (loss)					
	7a	(i) Securities					
		(ii) Other					
	b	Less cost or other basis and sales expenses					
	c	Gain or (loss)					
	d	Net gain or (loss)		30,818,881			30,818,881
	8a	Gross income from fundraising events (not including \$ 1,480,345 of contributions reported on line 1c) See Part IV, line 18		-267,975			-267,975
	a	295,992					
	b	Less direct expenses					
	c	Net income or (loss) from fundraising events . .					
	9a	Gross income from gaming activities See Part IV, line 19					
a							
b	Less direct expenses						
c	Net income or (loss) from gaming activities . .						
10a	Gross sales of inventory, less returns and allowances		37,883,788	35,525,340	2,358,448		
a	61,629,785						
b	Less cost of goods sold						
c	Net income or (loss) from sales of inventory . .						
Miscellaneous Revenue			Business Code				
11a	Magazine & Online Adve		541800	12,322,151		12,322,151	
b							
c							
d	All other revenue						
e	Total. Add lines 11a-11d			12,322,151			
12	Total revenue. See Instructions			1,315,239,542	106,211,020	17,254,904	64,904,206

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	78,669	78,669		
2	Grants and other assistance to individuals in the United States See Part IV, line 22	11,185,439	11,185,439		
3	Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16	5,680,838	5,680,838		
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees	6,722,706	1,290,270	5,037,958	394,478
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	3,933,677	3,302,787	630,890	
7	Other salaries and wages	452,778,182	339,521,025	97,935,315	15,321,842
8	Pension plan contributions (include section 401(k) and section 403(b) employer contributions)	56,456,663	42,960,864	11,558,782	1,937,017
9	Other employee benefits	48,246,352	34,787,679	11,877,829	1,580,844
10	Payroll taxes	30,014,770	21,654,365	7,337,355	1,023,050
11	Fees for services (non-employees)				
a	Management				
b	Legal	775,811	243,391	532,420	
c	Accounting	1,010,277		1,010,277	
d	Lobbying	7,422	7,422		
e	Professional fundraising See Part IV, line 17	6,397,750			6,397,750
f	Investment management fees	1,765,831		1,765,831	
g	Other	88,414,888	77,871,436	7,524,797	3,018,655
12	Advertising and promotion	4,740,929	4,374,341	145,807	220,781
13	Office expenses	47,858,702	40,483,971	6,494,719	880,012
14	Information technology	36,869,278	6,647,675	29,073,151	1,148,452
15	Royalties	401,878	401,878		
16	Occupancy	113,656,274	103,216,244	9,200,166	1,239,864
17	Travel	14,142,921	12,535,917	867,135	739,869
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	4,294,447	2,182,581	2,009,837	102,029
20	Interest	1,204,249	1,204,249		
21	Payments to affiliates				
22	Depreciation, depletion, and amortization	113,041,166	97,383,165	15,440,569	217,432
23	Insurance	892,061	466,540	425,388	133
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	Program Production	92,185,315	85,439,122	1,484,442	5,261,751
b	Collections, Equipment,	3,936,294	2,753,726	1,029,752	152,816
c					
d					
e					
f	All other expenses				
25	Total functional expenses. Add lines 1 through 24f	1,146,692,789	895,673,594	211,382,420	39,636,775
26	Joint costs. Check here <input checked="" type="checkbox"/> if following SOP 98-2 (ASC 958-720) Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation	10,915,226	6,340,963	0	4,574,263

Part X

Balance Sheet

					(A)		(B)
					Beginning of year		End of year
Assets	1	Cash—non-interest-bearing			505,378,870	1	530,237,258
	2	Savings and temporary cash investments			11,641,397	2	19,231,139
	3	Pledges and grants receivable, net			181,543,964	3	216,836,635
	4	Accounts receivable, net			37,752,690	4	52,296,083
	5	Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L				5	
	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				6	
	7	Notes and loans receivable, net				7	
	8	Inventories for sale or use			9,376,215	8	9,255,964
	9	Prepaid expenses and deferred charges			10,285,455	9	11,286,159
	10a	Land, buildings, and equipment, cost or other basis. Complete Part VI of Schedule D	10a	3,317,419,820			
	b	Less: accumulated depreciation	10b	1,528,376,481	1,690,293,511	10c	1,789,043,339
	11	Investments—publicly traded securities			285,117,024	11	339,139,972
	12	Investments—other securities. See Part IV, line 11			764,529,432	12	808,510,166
	13	Investments—program-related. See Part IV, line 11				13	
	14	Intangible assets				14	
	15	Other assets. See Part IV, line 11			20,604,502	15	19,772,814
	16	Total assets. Add lines 1 through 15 (must equal line 34)			3,516,523,060	16	3,795,609,529
Liabilities	17	Accounts payable and accrued expenses			269,201,459	17	275,824,850
	18	Grants payable				18	
	19	Deferred revenue			362,661,956	19	372,842,002
	20	Tax-exempt bond liabilities			109,333,332	20	107,824,069
	21	Escrow or custodial account liability. Complete Part IV of Schedule D				21	
	22	Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L				22	
	23	Secured mortgages and notes payable to unrelated third parties				23	
	24	Unsecured notes and loans payable to unrelated third parties				24	
	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				25	
	26	Total liabilities. Add lines 17 through 25			741,196,747	26	756,490,921
Net Assets or Fund Balances	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.						
	27	Unrestricted net assets			1,898,863,964	27	2,096,101,402
	28	Temporarily restricted net assets			557,265,417	28	585,179,809
	29	Permanently restricted net assets			319,196,932	29	357,837,397
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> 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			2,775,326,313	33	3,039,118,608
	34	Total liabilities and net assets/fund balances			3,516,523,060	34	3,795,609,529

Part XI Reconciliation of Net Assets

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

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,315,239,542
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,146,692,789
3	Revenue less expenses Subtract line 2 from line 1	3	168,546,753
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	2,775,326,313
5	Other changes in net assets or fund balances (explain in Schedule O)	5	95,245,542
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	3,039,118,608

Part XII Financial Statements and Reporting

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

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

Additional Data

Software ID:
Software Version:
EIN: 53-0206027
Name: Smithsonian Institution

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(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			
Honorable John Roberts Jr Regent	50	X						0	0	0
Honorable Joseph Biden Regent	50	X						0	0	0
Honorable Xavier Becerra Regent	2 00	X						0	0	0
Honorable Thad Cochran Regent	2 00	X						0	0	0
Honorable Sam Johnson Regent	2 00	X						0	0	0
Honorable Steven LaTourette Regent	2 00	X						0	0	0
Honorable Patrick Leahy Regent	2 00	X						0	0	0
Honorable Jack Reed Regent	2 00	X						0	0	0
Mr Steve Case Regent	2 00	X						0	0	0
Dr France Cordova Regent	16 00	X						0	0	0
Dr Shirley Ann Jackson Regent	4 00	X						0	0	0
Mr Robert Kogod Regent	2 00	X						0	0	0
Mr John McCarter Regent	4 00	X						0	0	0
Mr David Rubenstein Regent	2 00	X						0	0	0
Mr Roger Sant Regent	2 00	X						0	0	0
Mr Alan G Spoon Regent	2 00	X						0	0	0
Ms Patricia Stonesifer Regent	4 00	X						0	0	0
G Wayne Clough Secretary	50 00			X				511,239	0	37,592
John Lapiana Chief of Staff-Regents	50 00			X				177,245	0	29,821
Judith Leonard General Counsel	50 00			X				180,676	0	30,642
Anne Ryan Inspector General	50 00			X				164,460	0	35,658
Albert Horvath Under Secretary - Fin & Adm/CFO	50 00			X				159,261	0	11,717
Michael Pickett Acting Inspector General(11/6/11 - 1/14/12)	50 00			X				119,261	0	7,546
Scott Dahl Inspector General (11/5/11 - present)	50 00			X				0	0	24,934
Virginia Clark Director-Advancement & Giving	50 00				X			327,104	0	51,109

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(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			
Richard Kurin Under Sec-History, Art & Culture	50 00				X			292,041	0	50,345
Evelyn Lieberman Director-Comm & External Affairs	50 00				X			252,852	0	36,310
Era Marshall Dir-Equal Emplymt & Minority Affairs	50 00				X			162,126	0	14,585
Thomas Ott President - Smithsonian Enterprises	50 00				X			425,405	0	51,192
Sudeep Anand Treasurer	50 00				X			223,860	0	41,755
Gregory Bokman CFO - Smithsonian Enterprises	50 00				X			249,742	0	48,180
Amy Chen Chief Investment Officer	50 00				X			348,729	0	136,062
Bruce Dauer Acting Dep U/S for Fin & Admin	50 00				X			246,260	0	38,960
James Douglas Dir - Office of Human Resources	50 00				X			215,535	0	34,283
Mary Payne Director - Office of Govt Relations	50 00				X			224,743	0	38,291
Andrew Zino Comptroller	50 00				X			167,571	0	23,877
Eva Pell Under Secretary - Science	50 00				X			324,216	0	39,023
Claudine Brown Asst Sec - Education and Access	50 00				X			244,288	0	41,625
James Bruce Kendall Dir - Facilities, Engineering & Ops	50 00				X			185,603	0	25,186
George VanDyke Dir - Information Technology	50 00				X			184,902	0	44,006
Peter Gibbons Dir Retail - Smithsonian Enterprises	50 00					X		375,096	0	50,622
William Moggridge Dir - Cooper Hewitt(deceased 9/8/12)	50 00					X		307,505	0	51,109
Richard Koshalek Director - Hirshhorn Museum	50 00					X		316,320	0	51,109
Christian Samper Dir - Natl Museum Natural History	50 00					X		306,010	0	51,109
Carey Winfrey SE - Editor in Chief	50 00					X		314,077	0	47,019
Marsha Shaines Former Acting General Counsel	50 00						X	162,995	0	6,925
Ira Rubinoff Former Acting Under Sec - Science	50 00						X	156,953	0	20,901
Charles R Alcock Former Acting Under Sec - Science	50 00						X	147,733	0	20,336
Alison McNally Former Under Secretary-Finance	50 00						X	190,742	0	5,769
Scott Miller Former Acting Under Sec-Science	50 00						X	155,412	0	25,887

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

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)						(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			
Clair Gill Former Acting Dir-Facilities	0 00						X	100,162	0	9,865
Ann Speyer Former Chief Information Officer	0 00						X	153,362	0	21,332
Alice Maroni Former Chief Financial Officer	0 00						X	141,093	0	18,901

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 Smithsonian Institution	Employer identification number 53-0206027
---	--

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 Se**section 509(a)(4).**
- 11

☐

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

a

☐

Type I

b

☐

Type II

c

☐

Type III - Functionally integrated

d

☐

Type III - Other

e

☐

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

f

☐

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

g

☐

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

(i)

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

(ii)

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

(iii)

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

h

☐

Provide the following information about the supported organization(s)

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

(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.")	292,705,489	987,555,559	1,032,198,872	1,040,181,349	1,126,869,412	4,479,510,681
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	292,705,489	987,555,559	1,032,198,872	1,040,181,349	1,126,869,412	4,479,510,681
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)						
6 Public Support. Subtract line 5 from line 4						4,479,510,681

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	292,705,489	987,555,559	1,032,198,872	1,040,181,349	1,126,869,412	4,479,510,681
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	15,896,019	13,846,365	11,222,007	17,612,715	17,876,268	76,453,374
9 Net income from unrelated business activities, whether or not the business is regularly carried on	291,563	910,609	-39,911	-622,908	-2,079,195	-1,539,842
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)						4,554,424,213
12 Gross receipts from related activities, etc (See instructions)					12	714,707,095
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	98 360 %
15	Public Support Percentage for 2010 Schedule A, Part II, line 14	15	97 700 %
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 IIIPart 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

SCHEDULE C
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Political Campaign and Lobbying Activities

For Organizations Exempt From Income Tax Under section 501(c) and section 527

▶ Complete if the organization is described below.

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

OMB No 1545-0047

2011

Open to Public Inspection

If the organization answered “Yes,” to Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations Complete Parts I-A and B Do not complete Part I-C
- Section 501(c) (other than section 501(c)(3)) organizations Complete Parts I-A and C below Do not complete Part I-B
- Section 527 organizations Complete Part I-A only

If the organization answered “Yes,” to Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)) Complete Part II-A Do not complete Part II-B
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)) Complete Part II-B Do not complete Part II-A

If the organization answered “Yes,” to Form 990, Part IV, Line 5 (Proxy Tax) or Form 990-EZ, line 35c (Proxy Tax), then

- Section 501(c)(4), (5), or (6) organizations Complete Part III

Name of the organization Smithsonian Institution	Employer identification number 53-0206027
---	--

Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1	Provide a description of the organization's direct and indirect political campaign activities on behalf of or in opposition to candidates for public office in Part IV	
2	Political expenditures	▶ \$ 0
3	Volunteer hours	

Part I-B Complete if the organization is exempt under section 501(c)(3).

1	Enter the amount of any excise tax incurred by the organization under section 4955	▶ \$ 0
2	Enter the amount of any excise tax incurred by organization managers under section 4955	▶ \$ 0
3	If the organization incurred a section 4955 tax, did it file Form 4720 for this year?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4a	Was a correction made?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b	If "Yes," describe in Part IV	

Part I-C Complete if the organization is exempt under section 501(c) except section 501(c)(3).

1	Enter the amount directly expended by the filing organization for section 527 exempt function activities	▶ \$
2	Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt funtion activities	▶ \$
3	Total exempt function expenditures Add lines 1 and 2 Enter here and on Form 1120-POL, line 17b	▶ \$
4	Did the filing organization file Form 1120-POL for this year?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments For each organization listed, enter the amount paid from the filing organization's funds Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC) If additional space is needed, provide information in Part IV	

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds If none, enter -0-	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization If none, enter -0-

Part II-A

Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A
- Check
- ☐
- if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures)
- B
- Check
- ☐
- if the filing organization checked box A and "limited control" provisions apply

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing Organization's Totals	(b) Affiliated Group Totals												
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)															
b Total lobbying expenditures to influence a legislative body (direct lobbying)															
c Total lobbying expenditures (add lines 1a and 1b)															
d Other exempt purpose expenditures															
e Total exempt purpose expenditures (add lines 1c and 1d)															
f Lobbying nontaxable amount Enter the amount from the following table in both columns															
<table><tr><td>If the amount on line 1e, column (a) or (b) is:</td><td>The lobbying nontaxable amount is:</td></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000</td></tr></table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000	Over \$17,000,000	\$1,000,000		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000														
Over \$17,000,000	\$1,000,000														
g Grassroots nontaxable amount (enter 25% of line 1f)															
h Subtract line 1g from line 1a If zero or less, enter -0-															
i Subtract line 1f from line 1c If zero or less, enter -0-															
j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?		<input type="checkbox"/> Yes <input type="checkbox"/> No													

4-Year Averaging Period Under Section 501(h)
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the instructions for lines 2a through 2f on page 4.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) Total
2a Lobbying non-taxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots non-taxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B

Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

		(a)		(b)	
		Yes	No	Amount	
1	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of				
	a Volunteers?		No		
	b Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?	Yes			
	c Media advertisements?		No		
	d Mailings to members, legislators, or the public?		No		
	e Publications, or published or broadcast statements?		No		
	f Grants to other organizations for lobbying purposes?		No		
	g Direct contact with legislators, their staffs, government officials, or a legislative body?	Yes			7,422
	h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No		
	i Other activities? If "Yes," describe in Part IV		No		
j Total lines 1c through 1i			7,422		
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		No		
b	If "Yes," enter the amount of any tax incurred under section 4912				
c	If "Yes," enter the amount of any tax incurred by organization managers under section 4912				
d	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?				

Part III-A

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

		Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1	
2	Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
3	Did the organization agree to carryover lobbying and political expenditures from the prior year?	3	

Part III-B

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) if BOTH Part III-A, lines 1 and 2 are answered "No" OR if Part III-A, line 3 is answered "Yes".

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) non-deductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).	2a	
a	Current year		
b	Carryover from last year		
c	Total		
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV

Supplemental Information

Complete this part to provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, and Part II-B, line 1i. Also, complete this part for any additional information.

Identifier	Return Reference	Explanation
Explanation of Lobbying Activities	Part II-B, Line 1	The Smithsonian Institution solicited support for capital improvements and educational programs for the Cooper-Hewitt National Design Museum in New York City from New York City and the State of New York. Smithsonian staff met with public officials on a limited number of occasions, and the value of staff time and direct expenses spent in connection with these meetings was \$7,422.

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
Smithsonian Institution

Employer identification number

53-0206027

Part I

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

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

Part II

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

1

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

☐ Preservation of land for public use (e g , recreation or pleasure)

☐ Preservation of an historically importantly land area

☐ Protection of natural habitat

☐ Preservation of a certified historic structure

☐ Preservation of open space

2

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

	Held at the End of the Year
a	Total number of conservation easements
b	Total acreage restricted by conservation easements
c	Number of conservation easements on a certified historic structure included in (a)
d	Number of conservation easements included in (c) acquired after 8/17/06

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

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

	Amount
1c	
1d	
1e	
1f	

2a

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

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIV

Part V

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

	(a)Current Year	(b)Prior Year	(c)Two Years Back	(d)Three Years Back	(e)Four Years Back
1a Beginning of year balance	971,279,043	990,868,000	883,509,000	906,268,000	
b Contributions	34,505,912	23,507,002	56,665,000	26,942,000	
c Investment earnings or losses	121,707,182	6,268,193	101,203,000	-405,000	
d Grants or scholarships					
e Other expenditures for facilities and programs	51,207,144	47,426,653	49,782,000	48,536,000	
f Administrative expenses	1,928,136	1,937,499	727,000	760,000	
g End of year balance	1,074,356,857	971,279,043	990,868,000	883,509,000	

2

Provide the estimated percentage of the year end balance held as

a

Board designated or quasi-endowment ▶ 50 620 %

b

Permanent endowment ▶ 28 390 %

c

Term endowment ▶ 20 990 %

3a

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

(i) unrelated organizations

(ii) related organizations

	Yes	No
3a(i)		No
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		12,582,149		12,582,149
b Buildings		2,407,269,437	1,285,856,116	1,121,413,321
c Leasehold improvements		116,262,106	43,090,133	73,171,973
d Equipment		272,860,544	199,430,232	73,430,312
e Other		508,445,584		508,445,584
Total. Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).)				1,789,043,339

Part XIReconciliation of Change in Net Assets from Form 990 to Financial Statements			
1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	1,315,239,542
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	1,146,692,789
3	Excess or (deficit) for the year Subtract line 2 from line 1	3	168,546,753
4	Net unrealized gains (losses) on investments	4	92,073,555
5	Donated services and use of facilities	5	
6	Investment expenses	6	
7	Prior period adjustments	7	
8	Other (Describe in Part XIV)	8	3,171,987
9	Total adjustments (net) Add lines 4 - 8	9	95,245,542
10	Excess or (deficit) for the year per financial statements Combine lines 3 and 9	10	263,792,295

Part XIIReconciliation of Revenue per Audited Financial Statements With Revenue per Return			
1	Total revenue, gains, and other support per audited financial statements	1	1,443,457,008
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12		
a	Net unrealized gains on investments	2a	92,073,555
b	Donated services and use of facilities	2b	10,427,791
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIV)	2d	3,171,987
e	Add lines 2a through 2d	2e	105,673,333
3	Subtract line 2e from line 1	3	1,337,783,675
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	1,765,831
b	Other (Describe in Part XIV)	4b	-24,309,964
c	Add lines 4a and 4b	4c	-22,544,133
5	Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12)	5	1,315,239,542

Part XIIIReconciliation of Expenses per Audited Financial Statements With Expenses per Return			
1	Total expenses and losses per audited financial statements	1	1,179,664,713
2	Amounts included on line 1 but not on Form 990, Part IX, line 25		
a	Donated services and use of facilities	2a	10,427,791
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIV)	2d	24,309,964
e	Add lines 2a through 2d	2e	34,737,755
3	Subtract line 2e from line 1	3	1,144,926,958
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	1,765,831
b	Other (Describe in Part XIV)	4b	
c	Add lines 4a and 4b	4c	1,765,831
5	Total expenses Add lines 3 and 4c. (This should equal Form 990, Part I, line 18)	5	1,146,692,789

Part XIVSupplemental 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
	Part III, Line 1a	In conformity with the practice generally followed by museums, no value is assigned to the collections in the statement of financial position Purchases of collection items are recognized as reductions in unrestricted net assets in the period of acquisition Proceeds from deaccessions or insurance recoveries for lost or destroyed collection items are recognized as increases in the appropriate net asset class and are generally designated for future collection acquisitions
	Part III, Line 4	The acquisition, preservation, management, and study of collections are fundamental to the Smithsonian's mission to increase and diffuse knowledge and have been the foundation upon which its reputation rests Smithsonian collections are a national and global resource accessed each year by millions of visitors and researchers who use traditional methods and cutting-edge technologies to explore subjects from aeronautics to zoology Through its collections, the Smithsonian presents the astonishing record of American and international artistic, historical, cultural, and scientific achievement, with a scope and depth no other institution in the world can match Assembled over more than 160 years, the collections are central to the core activities and to the vitality and significance of the Smithsonian Smithsonian collections contribute to population recovery of endangered species,advances in reproductive biology, genome resource banking, medical research, forensic analysis, bio-security, and conservation policy worldwide
Description of Intended Use of Endowment Funds	Part V, Line 4	The Endowment includes approximately 500 individual endowment funds The Endowment provides stable financial support for scholarship, research activities, other programs, acquisitions for collections and other Institutional activities It plays a critical role in enabling the Institution to achieve its mission - "the increase and diffusion of knowledge" The Endowment includes both Donor-restricted endowment funds and funds designated by the Board of Regents to function as endowments and are consistent with the Institution's mission Classification and reporting of net assets associated with the Endowment reflect Donor-imposed restrictions
Description of Uncertain Tax Positions Under FIN 48	Part X	Line 2 The Smithsonian recognizes the effect of income tax positions only if those positions are more likely than not of being sustained The Smithsonian does not believe its financial statements include any uncertain tax positions
Part XI, Line 8 - Other Adjustments		Change in FONZ net assets -1,786,828 Deferred gain on building 3,908,586 Change in minority interest-SI Network 1,050,229 Total to Schedule D, Part XI, Line 8 3,171,987
Part XII, Line 2d - Other Adjustments		Deferred gain on building 3,908,586 Change in FONZ net assets -1,786,828 Change in minority interest - SI Networks 1,050,229
Part XII, Line 4b - Other Adjustments		Direct expenses - fundraising and cost of goods sold - 24,309,964
Part XIII, Line 2d - Other Adjustments		Direct expenses - fundraising and cost of goods sold 24,309,964

OMB No 1545-0047

Open to Public Inspection

53-0206027

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

Schedule F (Form 990) 2011

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 non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
			East Asia and the Pacific -	Academic appointment stipend	24,252	EFT			
			East Asia and the Pacific -	Academic appointment stipend	9,200	EFT			
			North America	Academic appointment stipend	34,379	EFT			
			South Asia						
			South America						

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)
Academic Appointment Stipends	Central America and the Caribbean	255	1,923,417	Direct Deposits & Checks			
Academic Appointment Stipends	East Asia and the Pacific	49	877,595	Direct Deposits & Checks			
Academic Appointment Stipends	Europe	101	1,859,992	Direct Deposits & Checks			
Academic Appointment Stipends	Middle East and North Africa	5	179,565	Direct Deposits & Checks			
Academic Appointment Stipends	North America	11	152,251	Direct Deposits & Checks			
Academic Appointment Stipends	Russia and the Newly Independent States	7	205,408	Direct Deposits & Checks			
Academic Appointment Stipends	South America	26	280,739	Direct Deposits & Checks			
Academic Appointment Stipends	South Asia	11	75,400	Direct Deposits & Checks			
Academic Appointment Stipends	Sub-Saharan Africa	5	58,640	Direct Deposits & Checks			

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	Return Reference	Explanation
Procedure for Monitoring Grants Outside the U S		<p>Schedule F, Part I, Line 2 The Office of Fellow ships has central management and administrative responsibility for the Smithsonian programs of research fellow ships and other academic appointments for undergraduate, graduate students, postdoctoral and senior scholars The Smithsonian Institution Fellow ship Program is a competitive fellow ship program for graduate and postdoctoral fellow s, who apply to conduct research at the Institution w ith research staff serving as advisors The review process is made up of disciplinary committees comprised of the Institution's staff who evaluate the candidates and then select the fellow s There are other competitive and non-competitive fellow ship, visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selection processes before an award is made An official letter /agreement is provided to each award recipient identifying the award title, dates of tenure, stipend allow ances, and required responsibilities for holding this position All recipients either will identify a financial institution for receipt of their monetary award or they will receive US Treasury checks Depending on the tenure of the appointment, payments can range from one lump sum, biweekly payments or monthly payments Most fellow ship appointments are awarded for one to two years On occasion, we have visiting scholars or fellow s who are conducting research in another country Payments are usually submitted as stated above, how ever, on occasion, there may be one or two who request that their payments be sent to the country of their research At the end of tenure, a final report of their research accomplishments is provided for our records Smithsonian research staff who serve as advisors to these fellow s, students and scholars are usually in the field during their tenure The eight Smithsonian research centers located in the United States and one located in Panama monitor the progress of their fellow s especially those fellow s in other countries, and the administrative management of funds is managed through the Institution's central administration for accountability Investments in regions include investments in foreign partnerships and foreign corporations The foreign region is determined by the country whose laws govern the investment entity The value reported represents the fair market value of the investment at the end of the fiscal year</p>

Identifier	Return Reference	Explanation
		Per Form 990 instructions, stipends are reported on Schedule F if the person receiving the stipend is living or residing outside the United States at the time the stipend is paid or distributed. However, many of these stipend recipients later travelled to the Smithsonian in the U.S. to perform their research.

Schedule F (Form 990) 2010

Additional Data

Software ID:
Software Version:
EIN: 53-0206027
Name: Smithsonian Institution

Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, 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
Central America and the Caribbean	0	0	Academic appointment stipends to recipients located in the region		1,923,417
Central America and the Caribbean	7	502	Program services	Research facilities	19,482,747
East Asia & Pacific	0	0	Academic appt stipends (\$911,407) to recipients & research(\$51,306)		962,353
Europe	0	0	Academic appointment stipends to recipients located in the region		1,859,992
Middle East & North Africa	0	0	Academic appointment stipends to recipients located in the region		179,565
North America	0	0	Academic appointment stipends to recipients located in the region		186,630
Russia & Newly Independent States	0	0	Academic appointment stipends to recipients located in the region		205,408
South America	0	0	Academic appointment stipends to recipients located in the region		280,739
South Asia	0	0	Academic appointment stipends to recipients located in the region		75,400
Sub-Saharan Africa	0	0	Academic appointment stipends to recipients located in the region		58,640
Europe	0	0	Research		367,544
Sub-Saharan Africa	0	0	Research		208,296
South America	0	0	Research		110,098
South America	0	0	Investments		220,700
Central America and the Caribbean	0	0	Investments		476,384,813
East Asia & Pacific	0	0	Investments		156,780
Europe	0	0	Investments		65,148,785
North America	0	0	Investments		2,527,652

SCHEDULE G
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding
Fundraising or Gaming Activities

Complete if the organization answered "Yes" to Form 990, Part IV, lines 17, 18, or 19,
or if the organization entered more than \$15,000 on Form 990-EZ, line 6a.
▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No 1545-0047

2011

Open to Public
Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Fundraising Activities. Complete if the organization answered "Yes" to Form 990, Part IV, line 17.

1

Indicate whether the organization raised funds through any of the following activities. Check all that apply.

a

☒

Mail solicitations

b

☒

Internet and e-mail solicitations

c

☒

Phone solicitations

d

☒

In-person solicitations

e

☒

Solicitation of non-government grants

f

☒

Solicitation of government grants

g

☒

Special fundraising events

2a

Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services?

☒ Yes ☐ No

b

If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least \$5,000 by the organization. Form 990-EZ filers are not required to complete this table.

(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions?		(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col (i)	(vi) Amount paid to (or retained by) organization
		Yes	No			
Odell Simms & Associates 1593 Spring Hill Road 450 Tysons Corner, VA 22182	Direct Mail-Acquisition Program/Membership Services		No	0	2,674,878	-2,674,878
Epsilon Data 1300 N 17th St 1001 Arlington, VA 22209	Direct mail advisory & assistance		No	0	1,180,111	-1,180,111
SteegeThomson Communications Inc 4606 Spruce Street Philadelphia, PA 19139	Campaign Communications		No	0	974,678	-974,678
Avalon Consulting Group 2030 M St NW 700 Washington, DC 20036	Telemarketing, direct mail, online & consulting		No	0	531,986	-531,986
Marts & Lundy 1200 Wall St W Lyndhurst, NJ 070713680	Campaign Consultant		No	0	397,706	-397,706
Donor Servics Group LLC 11500 Olympic Blvd 540 Los Angeles, CA 900641525	Telemarketing Calling Services		No	0	211,191	-211,191
SCA Direct Inc 11200 Waples Mill Rd 150 Fairfax, VA 220307418	Consulting Services		No	0	110,000	-110,000
The Watershed Group LLC 100 Bush St 850 San Francisco, CA 941043900	Online Advisory Services		No	0	103,710	-103,710
SD&A Teleservices Inc 101 Continental Blvd 400 El Segundo, CA 902454515	Telemarketing Services		No	0	63,605	-63,605
Castalia Inc 801 Washington Ave 115 Minneapolis, MN 554014102	Brand/Marketing Strategy Dev & Implement		No	0	38,608	-38,608
Total ▶					6,286,473	-6,286,473

3

List all states in which the organization is registered or licensed to solicit funds or has been notified it is exempt from registration or licensing.

Part II Fundraising Events.

Complete if the organization answered "Yes" to Form 990, Part IV, line 18, or reported more than \$15,000 on Form 990-EZ, line 6a. List events with gross receipts greater than \$5,000.

Revenue			(a) Event #1	(b) Event #2	(c) Other Events	(d) Total Events	
			<u>NDA Dinner & Program</u>	<u>AAA Benefit</u>	<u>4</u>	(Add col (a) through col (c))	
			(event type)	(event type)	(total number)		
1	Gross receipts	. . .	1,257,120	390,035	124,451	1,771,606	
2	Less Charitable contributions	. . .	1,029,495	323,875	124,218	1,477,588	
3	Gross income (line 1 minus line 2)	. . .	227,625	66,160	233	294,018	
Direct Expenses	4	Cash prizes	. . .				
	5	Non-cash prizes	. .				
	6	Rent/facility costs	. .				
	7	Food and beverages	. .	73,657	68,534	3,225	145,416
	8	Entertainment	. . .	1,271			1,271
	9	Other direct expenses	.	97,581	37,034	55,454	190,069
	10	Direct expense summary Add lines 4 through 9 in column (d). ▶					(343,786)
	11	Net income summary Combine lines 3 and 10 in column (d). ▶					-49,768

Part III Gaming.

Complete if the organization answered "Yes" to Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

Revenue		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (Add col (a) through col (c))
	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Non-cash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	<div><input type="checkbox"/> Yes _____ <input type="checkbox"/> No</div>	<div><input type="checkbox"/> Yes _____ <input type="checkbox"/> No</div>	<div><input type="checkbox"/> Yes _____ <input type="checkbox"/> No</div>	
	7 Direct expense summary Add lines 2 through 5 in column (d) ▶				()
	8 Net gaming income summary Combine lines 1 and 7 in column (d) ▶				

9 Enter the state(s) in which the organization operates gaming activities _____

a Is the organization licensed to operate gaming activities in each of these states? ☐ Yes ☐ No

b If "No," Explain _____

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," Explain _____

11

Does the organization operate gaming activities with nonmembers?

☐

Yes

☐

No

12

Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming?

☐

Yes

☐

No

13

Indicate the percentage of gaming activity operated in

a

The organization's facility

b

An outside facility

13a

13b

14

Provide the name and address of the person who prepares the organization's gaming/special events books and records

Name

Address

15a

Does the organization have a contract with a third party from whom the organization receives gaming revenue?

☐

Yes

☐

No

b

If "Yes," enter the amount of gaming revenue received by the organization \$ and the amount of gaming revenue retained by the third party \$

c

If "Yes," enter name and address

Name

Address

16

Gaming manager information

Name

Gaming manager compensation \$

Description of services provided

☐

Director/officer

☐

Employee

☐

Independent contractor

17

Mandatory distributions

a

Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license?

☐

Yes

☐

No

b

Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year \$

Part IV

Complete this part to provide additional information for responses to question on Schedule G (see instructions.)

Identifier	ReturnReference	Explanation
Explanation of Fundraising Payments	Schedule G, Part I, Line 2b, Column (v)	As the Smithsonian has multiple fundraisers, some of whom work on the same campaign, it is not possible to accurately report the exact amount of revenue associated with each fundraiser. Please note that none of the fundraisers had control of any contributions, all were paid under the terms of negotiated contracts.
	Schedule G, Part I, line 3	The Smithsonian is a trust instrumentality of the United States and as such is exempt from state regulations pursuant to the Supremacy Clause of the U S Constitution. All states that have inquired about Smithsonian fundraising solicitation registration have acknowledged this exemption.

Schedule I
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Smithsonian Institution

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

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

OMB No 1545-0047

2011

Open to Public
Inspection

Employer identification number
53-0206027

Part I

General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☒ Yes ☐ No
- 2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

Part II

Grants and Other Assistance to Governments and Organizations in the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 21 for any recipient that received more than \$5,000. Check this box if no one recipient received more than \$5,000. Use Part IV and Schedule I-1 (Form 990) if additional space is needed ☐

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
(1) Purdue UniversityHovde Hall 610 Purdue Mall West Lafayette,IN 47907	35-6002041	501(c)(3)	15,600				Academic Appointment Stipend
(2) Regents of the University of Michigan3003 South State Street Ann Arbor,MI 48109	38-6006309	501(c)(3)	15,600				Academic Appointment Stipend
(3) Pennsylvania State University201 Old Main University Park,PA 16802	24-6000376	501(c)(3)	11,700				Academic Appointment Stipend
(4) University of Minnesota200 Oak Street SE Minneapolis,MN 55455	41-6007513	501(c)(3)	26,700				Academic Appointment Stipend

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table 4

3 Enter total number of other organizations listed in the line 1 table

Part III

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

(a)Type of grant or assistance	(b)Number of recipients	(c)Amount of cash grant	(d)Amount of non-cash assistance	(e)Method of valuation (book, FMV, appraisal, other)	(f)Description of non-cash assistance
(1) Academic Appointment Stipends	985	11,185,439			

Part IV

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

Identifier	Return Reference	Explanation
Procedure for Monitoring Grants in the U S	Part I, Line 2	Schedule I, Part I, Line 2 The Office of Fellowships has central management and administrative responsibility for the Smithsonian programs of research fellowships and other academic appointments for undergraduate, graduate students, postdoctoral and senior scholars The Smithsonian Institution Fellowship Program is a competitive fellowship program for graduate and postdoctoral fellows, who apply to conduct research at the Institution with research staff serving as advisors The review process is made up of disciplinary committees comprised of the Institution's research staff who evaluate the candidates and then select the fellows There are other competitive and non-competitive fellowship, visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selections processes before an award is made An official letter/agreement is provided to each award recipient identifying the award title, dates of tenure, stipend allowances, and required responsibilities for holding this position All recipients either will identify a financial institution for receipt of their monetary award or they will receive US Treasury checks Depending on the tenure of the appointment, payments may be made in a lump sum or in periodic payments Most fellowship appointments are awarded for one to two years At the end of tenure, a final report of their research accomplishments is provided for our records Smithsonian research staff who serve as advisors to these fellows, students and scholars are usually in the field during their tenure The individual Smithsonian research centers monitor the progress of their fellows, and the funds are managed through the Institution's central administration to ensure accountability Similiar processes are followed for awards made to organizations whose academic staff perfoms the related research

Schedule J
(Form 990)

Compensation Information

OMB No 1545-0047

2011

Open to Public Inspection

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

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

▶ Attach to Form 990. ▶ See separate instructions.

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I

Questions Regarding Compensation

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

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.

[illegible]

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
	Part I, Line 1a	First class travel. Certain persons listed in Part VII, Section A were authorized for first class travel when the circumstances of their travel met the requirements of the Smithsonian's travel policy for such travel and first class travel was approved in each instance by that individual's designated "approving official" for travel. The Smithsonian's travel policy is guided by the Federal Travel Regulations as supplemented by the Smithsonian's Travel handbook. Travel for companions. Travel was authorized for the spouse of a person listed in Part VII, Section A when the circumstances of that travel met the requirements of the Smithsonian's policy for such travel. The Smithsonian's policy for payment of spousal or dependent family member travel permits such payment only in limited, exceptional cases, when there is a demonstrated bona fide business purpose for the travel and the travel furthers the mission of the Smithsonian, beyond mere attendance at an event or the performance of incidental services. Such travel is authorized only if approved by the Office of General Counsel and the Office of Under Secretary for Finance and Administration/Chief Financial Officer in advance of travel.
	Part I, Line 6	Certain employees of Smithsonian Enterprises (SE) are eligible to participate in the Smithsonian Enterprises Management Incentive Plan. This eligibility is determined on an annual basis. Even if eligible to participate, a performance review rating of "Fully Successful" must be received. The Plan includes both financial and individual (operational) goals, and these goals must be met in order to receive an incentive payment. There are different performance levels, with each successive level giving a higher incentive payment. In addition, the eligible person must be employed by the organization on the last day of the fiscal year in order to receive payment. Certain employees of the Office of Investments (OI) are eligible to participate in the Investments Incentive plan. This eligibility is determined on an annual basis. The plan includes both quantitative and qualitative goals. The quantitative payment is based on portfolio performance compared to benchmark, and has both single year and multi-year components. The qualitative portion is based on the individual's performance review, and a rating of at least "Successful" is required to receive the qualitative portion of the incentive. The quantitative portion is paid based on the number of basis points earned, with each basis point earning a specific percentage of salary. The overall incentive is capped at 150% of salary.
Supplemental Information	Part III	Part II. Certain of the Institution's current key employees began their service after December 31, 2011 and, accordingly, received no compensation for the reporting period.

Software ID:
Software Version:
EIN: 53-0206027
Name: Smithsonian Institution

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) 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 compensation				
G Wayne Clough	(i) (ii)	502,587 0	0 0	8,652 0	36,310 0	3,047 0	550,596 0	0 0
John Lapiana	(i) (ii)	173,897 0	3,000 0	348 0	24,451 0	6,930 0	208,626 0	0 0
Judith Leonard	(i) (ii)	176,639 0	3,000 0	1,037 0	25,186 0	7,867 0	213,729 0	0 0
Anne Ryan	(i) (ii)	162,526 0	1,727 0	207 0	21,605 0	20,571 0	206,636 0	0 0
Albert Horvath	(i) (ii)	84,057 0	75,000 0	204 0	8,510 0	3,638 0	171,409 0	0 0
Virginia Clark	(i) (ii)	321,886 0	3,000 0	2,218 0	36,310 0	17,575 0	380,989 0	0 0
Richard Kurin	(i) (ii)	287,148 0	3,000 0	1,893 0	41,260 0	10,320 0	343,621 0	0 0
Evelyn Lieberman	(i) (ii)	246,834 0	3,000 0	3,018 0	36,310 0	1,135 0	290,297 0	0 0
Era Marshall	(i) (ii)	159,126 0	3,000 0	0 0	0 0	16,025 0	178,151 0	0 0
Thomas Ott	(i) (ii)	374,494 0	50,000 0	911 0	36,310 0	16,202 0	477,917 0	0 0
Sudeep Anand	(i) (ii)	217,193 0	4,000 0	2,667 0	32,690 0	12,284 0	268,834 0	0 0
Gregory Bokman	(i) (ii)	189,451 0	60,021 0	270 0	28,601 0	20,668 0	299,011 0	0 0
Amy Chen	(i) (ii)	248,964 0	99,213 0	552 0	135,522 0	3,781 0	488,032 0	0 0
Bruce Dauer	(i) (ii)	244,692 0	0 0	1,568 0	36,310 0	5,416 0	287,986 0	0 0
James Douglas	(i) (ii)	214,197 0	0 0	1,338 0	31,633 0	5,155 0	252,323 0	0 0
Mary Payne	(i) (ii)	224,252 0	0 0	491 0	32,920 0	7,897 0	265,560 0	0 0
Andrew Zino	(i) (ii)	157,571 0	10,000 0	0 0	8,237 0	17,556 0	193,364 0	0 0
Eva Pell	(i) (ii)	317,077 0	5,000 0	2,139 0	36,310 0	4,954 0	365,480 0	0 0

Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) 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 compensation				
Claudine Brown	(i) (ii)	242,734 0	0 0	1,554 0	36,169 0	6,584 0	287,041 0	0 0
James Bruce Kendall	(i) (ii)	179,566 0	5,000 0	1,037 0	25,186 0	971 0	211,760 0	0 0
George VanDyke	(i) (ii)	165,027 0	18,000 0	1,875 0	28,761 0	16,197 0	229,860 0	0 0
Peter Gibbons	(i) (ii)	278,095 0	95,790 0	1,211 0	36,310 0	16,731 0	428,137 0	0 0
William Moggridge	(i) (ii)	303,543 0	0 0	3,962 0	36,310 0	16,086 0	359,901 0	0 0
Richard Koshalek	(i) (ii)	309,720 0	0 0	6,600 0	36,310 0	16,102 0	368,732 0	0 0
Christian Samper	(i) (ii)	302,544 0	3,000 0	466 0	36,310 0	16,084 0	358,404 0	0 0
Carey Winfrey	(i) (ii)	230,533 0	78,649 0	4,895 0	34,608 0	14,445 0	363,130 0	0 0
Marsha Shaines	(i) (ii)	160,995 0	2,000 0	0 0	0 0	8,365 0	171,360 0	0 0
Ira Rubinoﬀ	(i) (ii)	154,357 0	0 0	2,596 0	20,901 0	908 0	178,762 0	0 0
Charles R Alcock	(i) (ii)	143,981 0	3,000 0	752 0	19,186 0	2,034 0	168,953 0	0 0
Alison McNally	(i) (ii)	187,742 0	3,000 0	0 0	0 0	6,789 0	197,531 0	0 0
Scott Miller	(i) (ii)	152,412 0	3,000 0	0 0	7,992 0	17,896 0	181,300 0	0 0
Clair Gill	(i) (ii)	99,195 0	0 0	967 0	9,390 0	1,402 0	110,954 0	0 0
Ann Speyer	(i) (ii)	153,098 0	0 0	264 0	14,202 0	7,709 0	175,273 0	0 0
Alice Maroni	(i) (ii)	140,605 0	0 0	488 0	12,965 0	6,466 0	160,524 0	0 0

Schedule K
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Information on Tax Exempt Bonds

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 24a. Provide descriptions, explanations, and any additional information in Schedule O (Form 990).
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2011

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I

Bond Issues

(a) Issuer Name	(b) Issuer EIN	(c) CUSIP #	(d) Date Issued	(e) Issue Price	(f) Description of Purpose	(g) Defeased		(h) On Behalf of Issuer		(i) Pool financing	
						Yes	No	Yes	No	Yes	No
A Fairfax County Economic Development Authority	54-0787833	30382EC75	12-03-2003	77,545,000	To construct a museum		X	X			X
B District of Columbia	52-1834528	254839756	04-26-2010	30,500,000	Refunding of 1997 Bonds		X	X			X

Part II

Proceeds

		A		B		C		D	
1	Amount of bonds retired			1,570,000					
2	Amount of bonds defeased								
3	Total proceeds of issue	77,545,000		33,825,749					
4	Gross proceeds in reserve funds								
5	Capitalized interest from proceeds								
6	Proceeds in refunding escrow			33,212,755					
7	Issuance costs from proceeds	530,475		592,621					
8	Credit enhancement from proceeds								
9	Working capital expenditures from proceeds								
10	Capital expenditures from proceeds	77,014,525							
11	Other spent proceeds								
12	Other unspent proceeds			20,373					
13	Year of substantial completion	2003		2010					
		Yes	No	Yes	No	Yes	No	Yes	No
14	Were the bonds issued as part of a current refunding issue?		X	X					
15	Were the bonds issued as part of an advance refunding issue?		X		X				
16	Has the final allocation of proceeds been made?	X			X				
17	Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X					

Part III

Private Business Use

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
1	Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?		X		X				
2	Are there any lease arrangements that may result in private business use of bond-financed property?		X		X				

Part III

Private Business Use (Continued)

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
3a	Are there any management or service contracts that may result in private business use?		X		X				
b	If 'Yes' to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?								
c	Are there any research agreements that may result in private business use of bond-financed property?		X		X				
d	If 'Yes' to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?								
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government	0 %		0 %					
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government	0 %		0 %					
6	Total of lines 4 and 5	0 %		0 %					
7	Has the organization adopted management practices and procedures to ensure the post-issuance compliance of its tax-exempt bond liabilities?	X		X					

Part IV

Arbitrage

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
1	Has a Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate, been filed with respect to the bond issue?		X		X				
2	Is the bond issue a variable rate issue?	X			X				
3a	Has the organization or the governmental issuer entered into a hedge with respect to the bond issue?		X		X				
b	Name of provider								
c	Term of hedge								
d	Was the hedge superintegrated?								
e	Was a hedge terminated?								
4a	Were gross proceeds invested in a GIC?		X		X				
b	Name of provider								
c	Term of GIC								
d	Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
5	Were any gross proceeds invested beyond an available temporary period?		X		X				
6	Did the bond issue qualify for an exception to rebate?		X		X				

Part V

Procedures To Undertake Corrective Action

Check the box if the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations ☐ Yes ☒ No

Part VI

Supplemental Information

Complete this part to provide additional information for responses to questions on Schedule K (see instructions)

Identifier	Return Reference	Explanation
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SCHEDULE M
(Form 990)

Department of the Treasury
Internal Revenue Service

NonCash Contributions

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

OMB No 1545-0047

2011

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Types of Property

	(a) Check if applicable	(b) Number of Contributions or items contributed	(c) Contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining contribution amounts
1 Art—Works of art	X	1,701		
2 Art—Historical treasures				
3 Art—Fractional interests	X	3		
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	162	4,439,514	Selling Price
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles	X	9,336		
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts	X	2,780		
23 Scientific specimens	X	123,303		
24 Archeological artifacts				
25 Other ► (Archival Records- Cubic/Linear Feet)	X	1,169		
26 Other ► (Archival Records- Items)	X	550		
27 Other ► (Associated Objects)	X	46		
28 Other ► ()				
29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement	29			72
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period?	30a			No
b If "Yes," describe the arrangement in Part II				
31 Does the organization have a gift acceptance policy that requires the review of any non-standard contributions?	31	Yes		
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell non-cash contributions?	32a	Yes		
b If "Yes," describe in Part II				
33 If the organization did not report revenues in column (c) for a type of property for which column (a) is checked, describe in Part II				

Part III

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

Identifier	Return Reference	Explanation
Third Party Use	Part I, Line 32b	Although the Smithsonian acquires collections with good faith intention of retaining them for an indefinite period of time, prudent collections management includes judicious consideration of appropriate deaccessioning and disposal to refine and improve the quality and relevance of the collections with respect to the Smithsonian's mission and purpose. When objects are deaccessioned for disposal by sale, the Smithsonian contracts with commercial galleries or auction houses to sell the objects in order to assure the best return from the sale.
Non Reporting of Revenue	Part I, Line 33	In accordance with professional practice, as allowed by SFAS 116, the Smithsonian does not assign value to collection items acquired by donation.

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 Smithsonian Institution	Employer identification number 53-0206027
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Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 2	Steve Case and Patricia Stonesifer who are members of the Board serve as directors in the same business entity

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 5	<p>From March 2009 to April 13, 2013 the parking lot located at the Smithsonian National Air and Space Museum's Steven F. Udvar-Hazy Center ("Udvar-Hazy") was managed and operated by Parking Management, Inc. ("PMI") pursuant to a contract under which PMI was required to transfer all collected parking revenue (i.e., parking fees paid by visitors) to the Smithsonian. On or about October 28, 2011 an employee of the Smithsonian's National Air and Space Museum ("NASM") learned that employees of PMI may be stealing from the Smithsonian when the NASM employee received correspondence from a PMI employee. NASM immediately reported the information to the Smithsonian's Office of Inspector General, who initiated an investigation and jointly investigated the matter with the Federal Bureau of Investigation. The investigation ultimately resulted in the arrests of four PMI employees, two of whom pled guilty to theft of public money in violation of 18 U.S.C. Section 641, and one of whom pled guilty to conspiracy to commit theft of public money in violation of 18 U.S.C. Section 371. Based on the information in the plea agreements and statements of facts in the criminal cases, from 2009 through approximately July 2012, PMI employees stole funds belonging to the Smithsonian by significantly under-reporting the total number of revenue vehicles that entered the parking lot through the entrance lanes they worked and stealing cash from such under-reporting, by, among other things, disabling the electronic counting mechanism in the parking booth and failing to give out parking tickets to paying visitors. The Smithsonian's total estimated losses at this time are \$1,794,090.00. In addition to the investigation referenced above, the Smithsonian undertook the corrective actions of assuming direct responsibility for the parking operations as of April 14, 2013, hard wiring the electronic counting mechanisms, updating technology associated with cash handling and integrating internal controls, and installing security cameras with microphones in all five parking booths, in the office area of the gatehouse, and in the cash/safe room. The Smithsonian also retained a parking consultant to assist in the development of the actions noted above.</p>

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section A, line 7a	Pursuant to federal statute, the Board of Regents consists of the Vice President of the United States, the Chief Justice of the United States, three members of the U S Senate, three members of the U S House of Representatives, and nine additional citizen Regents The three Senators are appointed by the President Pro Tempore of the U S Senate, and the three members of the House of Representatives are appointed by the Speaker of the House of Representatives Their appointment terms coincide with the terms for which they are elected, and they may be reappointed if re-elected The citizen Regents are nominated by the Board of Regents, and appointed by a Joint Resolution of Congress which is signed by the President of the United States

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section B, line 11	The Form 990 return is prepared by staff within the Office of Finance & Accounting (F&A). The Director of (F&A) performs a detailed review of the entire return. The Director of (F&A) consults with our outside auditors on any issues or questions that may arise in the preparation of the Form 990, as deemed necessary. A sub-committee of the Board of Regents' Audit & Review Committee reviews the return and any items noted are addressed. The Office of General Counsel (OGC) reviews the return and provides additional guidance, as necessary. The Under Secretary for Finance & Administration/Chief Financial Officer (CFO) then performs a detailed review of the return. After the review by the OGC and CFO, the 990 is made available to the full Board for its review and comment. A copy of the return, containing feedback from all prior reviewers, is then reviewed with the Secretary for his comments. The full Audit & Review Committee then conducts a final review of the return at a regularly scheduled Committee meeting, following which the return is submitted to the Internal Revenue Service.

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section B, line 12c	<p>All officers, key employees, and certain other employees are required to complete and file annually a Confidential Financial Disclosure Report. These Reports--which require disclosure of certain assets, earned income, liabilities, outside positions, outside contracts and agreements, gifts, hospitality, reimbursements, and other interests related to the employee's Smithsonian position--are reviewed by the Institution's Office of General Counsel for compliance with applicable conflict of interest policies and laws. In addition to this required reporting, all key employees are required to comply with the Institution's Standards of Conduct, which, among other things, requires that employees not engage in private or personal activities that might conflict or appear to conflict with Smithsonian interests, requires that employees obtain Office of General Counsel approval before engaging in a related outside activity for compensation, and requires employees to consult with the Office of General Counsel whenever a doubt exists as to whether an activity or planned activity violates the Standards. All members of the Smithsonian's governing body are required to complete and file annually the Board of Regents Annual Disclosure Statement. These statements - which require reporting by members of outside positions and substantial shareholding in for-profit business entities, outside positions in non-profit entities, and interests and affiliations of the member or the member's immediate family that have or sought to have a relationship to the Smithsonian--are reviewed by the Institution's General Counsel for compliance with applicable conflict of interest policies and laws. In addition to this required reporting, all members of the Smithsonian's governing body are required to comply with the Board of Regents Ethics Guidelines, which, among other things, define conflicts of interest and establish procedures for disclosing and reporting of conflicts and recusal from decision-making.</p>

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section B, line 15	<p>When setting executive compensation levels, the Smithsonian ensures that the compensation paid is both reasonable and comparable to that offered by comparable organizations to executives with similar duties and responsibilities. For those Trust funded positions subject to a market-based compensation approach, the Board's Committee on Compensation and Human Resources prepares for its annual compensation review by evaluating two criteria related to the executives: (i) compensation of similarly situated individuals in other organizations, and (ii) the programmatic and financial accomplishments of the individual and the individual's organizational unit. The Committee's review of comparable compensation of similarly situated individuals in other organizations is aided by a comparative survey performed by a highly regarded, independent outside compensation consultant. The Board of Regents hired Pricewaterhouse Coopers as its consultant for this tax year. To determine compensation comparables, the Compensation and Human Resources Committee, upon considering the recommendations of the compensation consultant and in keeping with accepted practices, determines the types of organizations that are similarly situated, and requires the compensation consultant to compare the duties and responsibilities of the specific Smithsonian positions with those in similarly situated organizations to ensure that the positions are functionally comparable. Those decisions are documented as part of the final compensation recommendation materials. Currently, this survey is performed every two years. During the "off" year, the data is traditionally aged using an inflation factor provided by the expert consultant. When determining salaries for Federal executives, the Institution is limited to the statutorily-established pay ranges for Federal employees. As a policy matter, the Smithsonian has established similar ranges for certain of its Trust executives that it has elected to pay according to the Federal scale. The Institution has discretion to make annual salary changes within those scales, but cannot exceed them by law for Federal employees and by policy for its Trust executives in this category. On an annual basis, salary changes are based on an analysis of programmatic and organizational accomplishment of the individual and the individual's organizational unit, just as is done for Trust executives with market-based compensation. However, market data points are not applicable to these executive positions; rather, the statutory Federal pay scales for minimum and maximum executive pay are used. Annual salary increases are based on achievements against established goals, and salaries of new hires in these categories (Federal executives or Trust executives paid according to a Federal scale) are based on a combination of experience and salary history.</p>

Identifier	Return Reference	Explanation
	Form 990, Part VI, Section C, line 19	Form 990, Part VI, Section C, Line 19 The Smithsonian makes these documents available on its public website (www si edu) The documents can also be view ed at the Office of Finance & Accounting or mailed

Identifier	Return Reference	Explanation
Changes in Net Assets or Fund Balances	Form 990, Part XI, line 5	Net unrealized gains on investments 92,073,555 Change in FONZ net assets -1,786,828 Deferred gain on building 3,908,586 Change in minority interest-SI Network 1,050,229 Total to Form 990, Part XI, Line 5 95,245,542

Identifier	Return Reference	Explanation
Type of organization (other)	Form 990, Page 1, Line K	The Smithsonian Institution is a trust instrumentality of the United States, created by Congress, and organized pursuant to 20 U S C sec 41 et seq

Identifier	Return Reference	Explanation
	Form 990, Page 1, Line M	As a trust instrumentality of the United States, the Smithsonian Institution is a federal entity that is not domiciled in any state

Identifier	Return Reference	Explanation
Major projects of independent contractors	Form 990, Part VI, Page 8, Section B Independent Contractors	Forrester Construction Company - construction services NZP - Construction of seal and sea lions exhibit Grunley Construction Company - construction services AIB - Arts and Industry Building renovation Associated Builders, Inc - construction services NMNH - Various electrical work, HVAC upgrades, perimeter security MSC - Fire alarm upgrade/construction of laboratories Freelon Group - construction/design service NMAAHC - Construction/design services for museum Northrop Grumman Systems Corporation - systems engineering support SAO - Support of Chandra X-Ray Observation Operations

Identifier	Return Reference	Explanation
Smithsonian Institution abbreviations used in return	Form 990, Part VII and Schedule J-2	The following are Smithsonian Institution abbreviations found in the body of this return AIB - Arts and Industry Building CHNDM - Cooper Hewitt National Design Museum FONZ - Friends of the National Zoo MSC - Museum Support Center NASM - National Air and Space Museum NMAAHC - National Museum of African American History and Culture NMAFA - National Museum of African Art NMNH - National Museum of Natural History NPG - National Portrait Gallery NZP - National Zoological Park OFEO - Office of Facilities, Engineering and Operations OPMB - Office of Planning, Management and Budget SAO - Smithsonian Astrophysical Observatory SAAM - Smithsonian American Art Museum SE - Smithsonian Enterprises SERC - Smithsonian Environmental Research Center

SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 33, 34, 35, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2011

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Identification of Disregarded Entities (Complete if the organization answered "Yes" on Form 990, Part IV, line 33.)

(a) Name, address, and EIN of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II Identification of Related Tax-Exempt Organizations (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled organization	
						Yes	No
(1) Clay Fellowships Charitable Trust 10 Memorial Boulevard Providence, RI 02903 04-3560268	Support of Smithsonian Astrophysical Observatory	MA	501(c)(3)	Line 11d, III-O	N/A		No
(2) Smithsonian UK Charitable Trust c/o Withers LLP 16 Old Bailey London EC4M 7EG UK	Advance the work of the Smithsonian Institution worldwide	UK			Smithsonian Institution		No

Part III

Identification of Related Organizations Taxable as a Partnership (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income (related, unrelated, excluded from tax under sections 512- 514)	(f) Share of total income	(g) Share of end-of- year assets	(h) Disproportionate allocations?		(i) Code V—UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	

Part IV

Identification of Related Organizations Taxable as a Corporation or Trust (Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.)

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership
(1) Charitable Remainder Trusts (2) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	DC	N/A	T			
(2) Charitable Remainder Trusts (2) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	MA	N/A	T			
(3) Charitable Remainder Trusts (1) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	MI	N/A	T			
(4) Charitable Remainder Trusts (6) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	NY	N/A	T			
(5) Charitable Remainder Trusts (2) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	VA	N/A	T			
(6) Charitable Lead Trust (1) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Lead Trust	VA	N/A	T			

Part V

Transactions With Related Organizations (Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35, 35A, or 36.)

Note. Complete line 1 if any entity is listed in Parts II, III or IV

1

During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

a

Receipt of (i) interest (ii) annuities (iii) royalties (iv) rent from a controlled entity

b

Gift, grant, or capital contribution to related organization(s)

c

Gift, grant, or capital contribution from related organization(s)

d

Loans or loan guarantees to or for related organization(s)

e

Loans or loan guarantees by related organization(s)

f

Sale of assets to related organization(s)

g

Purchase of assets from related organization(s)

h

Exchange of assets with related organization(s)

i

Lease of facilities, equipment, or other assets to related organization(s)

j

Lease of facilities, equipment, or other assets from related organization(s)

k

Performance of services or membership or fundraising solicitations for related organization(s)

l

Performance of services or membership or fundraising solicitations by related organization(s)

m

Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)

n

Sharing of paid employees with related organization(s)

o

Reimbursement paid to related organization(s) for expenses

p

Reimbursement paid by related organization(s) for expenses

q

Other transfer of cash or property to related organization(s)

r

Other transfer of cash or property from related organization(s)

Yes

No

1a

1b

1c

1d

1e

1f

1g

1h

1i

1j

1k

1l

1m

1n

1o

1p

1q

1r

No

No

Yes

No

No

No

No

No

No

No

No

No

No

No

No

No

No

No

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

(a) Name of other organization	(b) Transaction type(a-r)	(c) Amount involved	(d) Method of determining amount involved
(1) Charitable Lead Trust	C	258,495	Fair Market Value
(2)			
(3)			
(4)			
(5)			
(6)			

Schedule R (Form 990) 2011

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

Part VII

Supplemental Information

Complete this part to provide additional information for responses to questions on Schedule R (see instructions)

Identifier	Return Reference	Explanation	
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