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Part III

Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

☐ Yes ☒ No

1

Briefly describe the organization's mission

Biogenomic medical research fundraising for The Translational Genomics Research Institute (TGEN)

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 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 \$ 6,708,330 including grants of \$ 6,708,330) (Revenue \$ 0)

SEE SCHEDULE O

4b

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

4c

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

4d
















Other program services (Describe in Schedule O)

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

4e

Total program service expenses 6,708,330

Part IV Checklist of Required Schedules

| | Yes | No |
|---|---------|----|
| 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A  | 1 Yes | |
| 2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)?  | 2 Yes | |
| 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I | 3 | No |
| 4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II | 4 | No |
| 5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III | 5 | 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 | No |
| 9 Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, 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, line 10? 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 | No |
| c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? 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 and XII  | 12a | No |
| 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 and XII is optional  | 12b Yes | |
| 13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E | 13 | No |
| 14a Did the organization maintain an office, employees, or agents outside of the United States? | 14a | No |
| b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV | 14b | No |
| 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV | 15 | No |
| 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV | 16 | No |
| 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions) | 17 | No |
| 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II | 18 | No |
| 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III | 19 | No |
| 20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H | 20a | No |
| b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? | 20b | |

Part IV

Checklist of Required Schedules (continued)

| | | | | |
|-----|--|-----|-----|----|
| 21 | Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or government 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 or 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 | | No |
| 23 | Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i> | 23 | Yes | |
| 24a | Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i> | 24a | | No |
| b | Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? | 24b | | |
| c | Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? | 24c | | |
| d | Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? | 24d | | |
| 25a | 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 | Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If so, 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 employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i> | 27 | | No |
| 28 | Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions) | | | |
| a | A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | 28a | | No |
| b | A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i> | 28b | | No |
| c | An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i> | 28c | | No |
| 29 | Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i> | 29 | | No |
| 30 | Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i> | 30 | | No |
| 31 | Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i> | 31 | | No |
| 32 | Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i> | 32 | | No |
| 33 | Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i> | 33 | | No |
| 34 | Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i> | 34 | Yes | |
| 35a | Did the organization have a controlled entity within the meaning of section 512(b)(13)? | 35a | | No |
| b | If 'Yes' to line 35a, 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 | | |
| 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 11b 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 or note to any line in this Part V

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

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 or note to any line 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 | 17 | |
| If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O | | | |
| b | Enter the number of voting members included in line 1a, above, who are independent | 14 | |
| 2 | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? | 2 | No |
| 3 | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | 3 | No |
| 4 | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? | 4 | No |
| 5 | Did the organization become aware during the year of a significant diversion of the organization's assets? | 5 | No |
| 6 | Did the organization have members or stockholders? | 6 | Yes |
| 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 |
| b | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? | 7b | Yes |
| 8 | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following | | |
| a | The governing body? | 8a | Yes |
| b | Each committee with authority to act on behalf of the governing body? | 8b | Yes |
| 9 | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O | 9 | No |

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

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

Section C. Disclosure

| | |
|----|--|
| 17 | List the States with which a copy of this Form 990 is required to be filed▶AZ |
| 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 type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request <input type="checkbox"/> Other (explain in Schedule O) |
| 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 during the tax year |
| 20 | State the name, physical address, and telephone number of the person who possesses the books and records of the organization ▶CHARLES K COLESON 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 (602) 343-8599 |

Part VII

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

Check if Schedule O contains a response or note to any line in this Part VII

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

- 1a Complete this table for all persons required to be listed Report compensation for the calendar year ending with or within the organization's tax year
- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation Enter -0- in columns (D), (E), and (F) if no compensation was paid

List all of the organization's **current** key employees, if any See instructions for definition of "key employee "

List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations

List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations

List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations

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

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

| (A) Name and Title | (B) Average hours per week (list any hours for related organizations below dotted line) | (C) Position (do not check more than one box, unless person is both an officer and a director/trustee) | | | | | | (D) Reportable compensation from the organization (W- 2/1099-MISC) | (E) Reportable compensation from related organizations (W- 2/1099-MISC) | (F) Estimated amount of other compensation from the organization and related organizations |
|--|--|---|-----------------------|---------|--------------|------------------------------|--------|---|--|---|
| | | Individual trustee or director | Institutional Trustee | Officer | Key employee | Highest compensated employee | Former | | | |
| (1) Michael Bassoff President TGen Foundation | 24 0 16 0 | X | | X | | | | 0 | 441,315 | 19,572 |
| (2) Bennett Dorrance Board Member/Chairman | 1 0 1 0 | X | | X | | | | 0 | 0 | 0 |
| (3) Ken Kendrick Board Member/Secretary | 1 0 0 0 | X | | X | | | | 0 | 0 | 0 |
| (4) Richard J Lehmann Board Member/Treasurer | 1 0 0 0 | X | | X | | | | 0 | 0 | 0 |
| (5) Jerry Bisgrove BOARD MEMBER (PART YEAR) | 1 0 1 0 | X | | | | | | 0 | 0 | 0 |
| (6) Teresa Burleson Board MBR/ASST SEC/ASST TREAS | 1 0 39 0 | X | | | | | | 0 | 451,701 | 66,559 |
| (7) Karl Eller Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (8) Phil Francis Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (9) Diane Halle Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (10) Mike Ingram Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (11) Catherine Ivy Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (12) F Francis Najafi Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (13) William J Post Board Member | 1 0 1 0 | X | | | | | | 0 | 0 | 0 |
| (14) J Danforth Quayle Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (15) Troy Richards Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (16) The Honorable Skip Rimsza BOARD MEMBER (PART YEAR) | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |
| (17) Ray Thurston Board Member | 1 0 0 0 | X | | | | | | 0 | 0 | 0 |

Part VII

| | | | | |
|-----------|--|---|-----------|---------|
| 1b | Sub-Total | | | |
| c | Total from continuation sheets to Part VII, Section A | | | |
| d | Total (add lines 1b and 1c) | 0 | 2,432,413 | 236,805 |

2 Total number of individuals (including but not limited to those I
\$100,000 of reportable compensation from the organization) 0

| | | Yes | No |
|----------|---|----------|-----|
| 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 | No |
| 4 | For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <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 |
|--|--------------------------------|---------------------|
| TRANSLATIONAL GENOMICS RESEARCH INS, 445 N 5TH STREET SUITE 600 PHOENIX AZ 85004 | MANAGEMENT SERVICES | 108,000 |
| | | |
| | | |
| | | |

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 ▶-1

Part VIII

Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

| | | | (A) Total revenue | (B) Related or exempt function revenue | (C) Unrelated business revenue | (D) Revenue excluded from tax under sections 512-514 | |
|---|---|---|---|--|---|---|-----|
| Contributions, Gifts, Grants and Other Similar Amounts | 1a | Federated campaigns | 1a | | | | |
| | b | Membership dues | 1b | | | | |
| | c | Fundraising events | 1c | | | | 0 |
| | d | Related organizations | 1d | | | | |
| | e | Government grants (contributions) | 1e | | | | |
| | f | All other contributions, gifts, grants, and similar amounts not included above | 1f | 12,174,321 | | | |
| | g | Noncash contributions included in lines 1a-1f \$ | | 0 | | | |
| | h | Total. Add lines 1a-1f | | 12,174,321 | | | |
| Program Service Revenue | 2a | | Business Code | | | | |
| | b | | | | | | |
| | c | | | | | | |
| | d | | | | | | |
| | e | | | | | | |
| | f | All other program service revenue | | | | | |
| | g | Total. Add lines 2a-2f | | 0 | | | |
| | Other Revenue | 3 | Investment income (including dividends, interest, and other similar amounts) | | 947 | | |
| 4 | | Income from investment of tax-exempt bond proceeds | | 0 | | | |
| 5 | | Royalties | | 0 | | | |
| 6a | | Gross rents | (i) Real | (ii) Personal | | | |
| b | | Less rental expenses | | | | | |
| c | | Rental income or (loss) | 0 | 0 | | | |
| d | | Net rental income or (loss) | | | 0 | | |
| 7a | | Gross amount from sales of assets other than inventory | (i) Securities | (ii) Other | | | |
| b | | Less cost or other basis and sales expenses | | | | | |
| c | | Gain or (loss) | | | | | |
| d | | Net gain or (loss) | | | 0 | | |
| 8a | | Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c) See Part IV, line 18 | a | | | | |
| b | | Less direct expenses | b | | | | |
| c | | Net income or (loss) from fundraising events | | | 0 | | |
| 9a | | Gross income from gaming activities See Part IV, line 19 | a | | | | |
| b | | Less direct expenses | b | | | | |
| c | | Net income or (loss) from gaming activities | | | 0 | | |
| 10a | | Gross sales of inventory, less returns and allowances | a | | | | |
| b | | Less cost of goods sold | b | | | | |
| c | | Net income or (loss) from sales of inventory | | | 0 | | |
| | Miscellaneous Revenue | Business Code | | | | | |
| 11a | | | | | | | |
| b | | | | | | | |
| c | | | | | | | |
| d | All other revenue | | | | | | |
| e | Total. Add lines 11a-11d | | | 0 | | | |
| 12 | Total revenue. See Instructions | | | 12,175,268 | | 0 | 947 |

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).

Check if Schedule O contains a response or note to any line 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. | 6,708,330 | 6,708,330 | | |
| 2 | Grants and other assistance to individuals in the United States. See Part IV, line 22. | 0 | 0 | | |
| 3 | Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16. | 0 | 0 | | |
| 4 | Benefits paid to or for members. | 0 | 0 | | |
| 5 | Compensation of current officers, directors, trustees, and key employees. | 705,371 | 0 | 70,537 | 634,834 |
| 6 | Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). | 0 | 0 | 0 | 0 |
| 7 | Other salaries and wages. | 377,771 | 0 | 108,314 | 269,457 |
| 8 | Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions). | 0 | 0 | 0 | 0 |
| 9 | Other employee benefits. | 0 | 0 | 0 | 0 |
| 10 | Payroll taxes. | 0 | 0 | 0 | 0 |
| 11 | Fees for services (non-employees): | | | | |
| a | Management. | 0 | 0 | 0 | 0 |
| b | Legal. | 0 | 0 | 0 | 0 |
| c | Accounting. | 0 | 0 | 0 | 0 |
| d | Lobbying. | 0 | 0 | 0 | 0 |
| e | Professional fundraising services. See Part IV, line 17. | 0 | | | 0 |
| f | Investment management fees. | 0 | 0 | 0 | 0 |
| g | Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O). | 154,290 | 0 | 154,290 | 0 |
| 12 | Advertising and promotion. | 99,967 | 0 | 9,997 | 89,970 |
| 13 | Office expenses. | 125,659 | 0 | 12,566 | 113,093 |
| 14 | Information technology. | 22,041 | 0 | 2,204 | 19,837 |
| 15 | Royalties. | 0 | 0 | 0 | 0 |
| 16 | Occupancy. | 87,418 | 0 | 8,742 | 78,676 |
| 17 | Travel. | 25,596 | 0 | 2,560 | 23,036 |
| 18 | Payments of travel or entertainment expenses for any federal, state, or local public officials. | 0 | 0 | 0 | 0 |
| 19 | Conferences, conventions, and meetings. | 137,776 | 0 | 13,778 | 123,998 |
| 20 | Interest. | 0 | 0 | 0 | 0 |
| 21 | Payments to affiliates. | 0 | 0 | 0 | 0 |
| 22 | Depreciation, depletion, and amortization. | 453 | 0 | 453 | 0 |
| 23 | Insurance. | 0 | 0 | 0 | 0 |
| 24 | Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O): | | | | |
| a | Dues and Subscriptions. | 3,380 | 0 | 3,380 | 0 |
| b | RECRUITMENT. | 18 | | 18 | |
| c | All Other Expenses. | 83,013 | 0 | 83,013 | 0 |
| d | | | | | |
| e | All other expenses. | | | | |
| 25 | Total functional expenses. Add lines 1 through 24e. | 8,531,083 | 6,708,330 | 469,852 | 1,352,901 |
| 26 | Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). | 0 | | | |

Part X

Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X

| | | | | | (A) | | (B) |
|-----------------------------|---|--|-----|---------|-------------------|-----|-------------|
| | | | | | Beginning of year | | End of year |
| Assets | 1 | Cash—non-interest-bearing | | | 50,502 | 1 | 31,607 |
| | 2 | Savings and temporary cash investments | | | 8,136,791 | 2 | 8,937,566 |
| | 3 | Pledges and grants receivable, net | | | 3,295,214 | 3 | 5,639,193 |
| | 4 | Accounts receivable, net | | | 212 | 4 | 212 |
| | 5 | Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L | | | 0 | 5 | 0 |
| | 6 | Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L | | | 0 | 6 | 0 |
| | 7 | Notes and loans receivable, net | | | 0 | 7 | 0 |
| | 8 | Inventories for sale or use | | | 4,815 | 8 | 5,248 |
| | 9 | Prepaid expenses and deferred charges | | | 38,020 | 9 | 6,487 |
| | 10a | Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D | 10a | 168,169 | 453 | 10c | |
| | b | Less accumulated depreciation | 10b | 168,169 | | | |
| | 11 | Investments—publicly traded securities | | | 0 | 11 | 0 |
| | 12 | Investments—other securities See Part IV, line 11 | | | 0 | 12 | 0 |
| | 13 | Investments—program-related See Part IV, line 11 | | | 0 | 13 | 0 |
| | 14 | Intangible assets | | | 0 | 14 | 0 |
| | 15 | Other assets See Part IV, line 11 | | | 0 | 15 | 0 |
| | 16 | Total assets. Add lines 1 through 15 (must equal line 34) | | | 11,526,007 | 16 | 14,620,313 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | 5,934,668 | 17 | 5,377,343 |
| | 18 | Grants payable | | | 0 | 18 | 0 |
| | 19 | Deferred revenue | | | 118 | 19 | 0 |
| | 20 | Tax-exempt bond liabilities | | | 0 | 20 | 0 |
| | 21 | Escrow or custodial account liability Complete Part IV of Schedule D | | | 0 | 21 | 0 |
| | 22 | Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L | | | 0 | 22 | 0 |
| | 23 | Secured mortgages and notes payable to unrelated third parties | | | 0 | 23 | 0 |
| | 24 | Unsecured notes and loans payable to unrelated third parties | | | 0 | 24 | 0 |
| | 25 | Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D | | | 0 | 25 | 0 |
| | 26 | Total liabilities. Add lines 17 through 25 | | | 5,934,786 | 26 | 5,377,343 |
| Net Assets or Fund Balances | Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34. | | | | | | |
| | 27 | Unrestricted net assets | | | -1,773,966 | 27 | -2,496,744 |
| | 28 | Temporarily restricted net assets | | | 7,303,094 | 28 | 11,677,621 |
| | 29 | Permanently restricted net assets | | | 62,093 | 29 | 62,093 |
| | Organizations that do not follow SFAS 117 (ASC 958), 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 | | | 5,591,221 | 33 | 9,242,970 |
| | 34 | Total liabilities and net assets/fund balances | | | 11,526,007 | 34 | 14,620,313 |

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

| | | | |
|----|---|----|------------|
| 1 | Total revenue (must equal Part VIII, column (A), line 12) | 1 | 12,175,268 |
| 2 | Total expenses (must equal Part IX, column (A), line 25) | 2 | 8,531,083 |
| 3 | Revenue less expenses Subtract line 2 from line 1 | 3 | 3,644,185 |
| 4 | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A)) | 4 | 5,591,221 |
| 5 | Net unrealized gains (losses) on investments | 5 | 7,564 |
| 6 | Donated services and use of facilities | 6 | |
| 7 | Investment expenses | 7 | |
| 8 | Prior period adjustments | 8 | |
| 9 | Other changes in net assets or fund balances (explain in Schedule O) | 9 | |
| 10 | Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 9,242,970 |

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line 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? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | 2a | No |
| 2b | Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis | 2b | Yes |
| 2c | If "Yes," to line 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 | 2c | Yes |
| 3a | As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? | 3a | No |
| 3b | If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits | 3b | |

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.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Open to Public Inspection

| | |
|---|--|
| Name of the organization THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE FOUNDATION | Employer identification number 33-1092191 |
|---|--|

Part I

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

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

- 1

☐

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

☐

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

☐

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

☐

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

☐

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

☐

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

☒

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

☐

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

☐

An organization that normally receives (1) more than 33¹/₃% 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 33¹/₃% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2)**. (Complete Part III)
- 10

☐

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

☐

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

a

☐

Type I

b

☐

Type II

c

☐

Type III - Functionally integrated

d

☐

Type III - Non-functionally integrated

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 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 monetary support |
|------------------------------------|----------|--|--|----|---|----|--|----|----------------------------------|
| | | | Yes | No | Yes | No | Yes | No | |
| | | | | | | | | | |
| | | | | | | | | | |
| Total | | | | | | | | | |

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

| Section A. Public Support | | | | | | |
|---|----------|-----------|-----------|----------|------------|------------|
| Calendar year (or fiscal year beginning in) ▶ | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (f) Total |
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.") | 721,605 | 5,945,925 | 5,860,920 | 488,410 | 12,174,321 | 25,191,181 |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf | | | | | | 0 |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge | | | | | | 0 |
| 4 Total. Add lines 1 through 3 | 721,605 | 5,945,925 | 5,860,920 | 488,410 | 12,174,321 | 25,191,181 |
| 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) | | | | | | 6,514,878 |
| 6 Public support. Subtract line 5 from line 4 | | | | | | 18,676,303 |

| Section B. Total Support | | | | | | |
|--|----------|-----------|-----------|----------|------------|------------|
| Calendar year (or fiscal year beginning in) ▶ | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (f) Total |
| 7 Amounts from line 4 | 721,605 | 5,945,925 | 5,860,920 | 488,410 | 12,174,321 | 25,191,181 |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources | 33,934 | 152,708 | 20,879 | 1,740 | 947 | 210,208 |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on | | | | | | 0 |
| 10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) | | | | | | 0 |
| 11 Total support (Add lines 7 through 10) | | | | | | 25,401,389 |
| 12 Gross receipts from related activities, etc. (see instructions) | | | | | 12 | 2,803 |
| 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 2013 (line 6, column (f) divided by line 11, column (f)) | 14 | 73.525 % |
| 15 Public support percentage for 2012 Schedule A, Part II, line 14 | 15 | 75.715 % |
| 16a 33 1/3% support test—2013. 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—2012. If the organization did not check a 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—2013. 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—2012. 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 IIISupport Schedule for Organizations Described in Section 509(a)(2)
(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

| Section A. Public Support | | | | | | |
|--|----------|----------|----------|----------|----------|-----------|
| Calendar year (or fiscal year beginning in) ▶ | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (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) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (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 2013 (line 8, column (f) divided by line 13, column (f)) | 15 | |
| 16 Public support percentage from 2012 Schedule A, Part III, line 15 | 16 | |

| Section D. Computation of Investment Income Percentage | | |
|--|----|--|
| 17 Investment income percentage for 2013 (line 10c, column (f) divided by line 13, column (f)) | 17 | |
| 18 Investment income percentage from 2012 Schedule A, Part III, line 17 | 18 | |
| 19a 33 1/3% support tests—2013. 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—2012. 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.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

| Facts And Circumstances Test | |
|---------------------------------|--|
| | |
| Return Reference | Explanation |
| SCHEDULE A, PART II, COLUMN (D) | THE AMOUNTS INCLUDED IN PART II, COLUMN(D) ARE FOR A SHORT PERIOD, 12/01/2012 - 12/31/2012 |

SCHEDULE D
(Form 990)

Supplemental Financial Statements

OMB No 1545-0047

2013

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

► Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b

► Attach to Form 990. ► See separate instructions. ► Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

| | |
|---|--|
| Name of the organization THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE FOUNDATION | Employer identification number 33-1092191 |
|---|--|

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 can 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 education) ☐ Preservation of an historically important land area

☐ Protection of natural habitat ☐ Preservation of a certified historic structure

☐ Preservation of open space

2

Complete lines 2a through 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, and not on a historic structure listed in the National Register |

3

Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax 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 section 170(h)(4)(B)(ii)?

☐ Yes ☐ No

9

In Part XIII, 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 (ASC 958), 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 XIII, the text of the footnote to its financial statements that describes these items

b

If the organization elected, as permitted under SFAS 116 (ASC 958), 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 (ASC 958) 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 acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply)
- a ☐ Public exhibition

b ☐ Scholarly research

c ☐ Preservation for future generations

d ☐ Loan or exchange programs

e ☐ Other
- 4 Provide a description of the organization’s collections and explain how they further the organization’s exempt purpose in Part XIII
- 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 XIII 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 XIII Check here if the explanation has been provided in Part XIII

☐

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

| | (a)Current year | (b)Prior year | b (c)Two years back | (d)Three years back | (e)Four years back |
|--|-----------------|---------------|---------------------|---------------------|--------------------|
| 1a Beginning of year balance | 62,093 | 62,093 | 62,093 | 62,093 | 62,093 |
| b Contributions | | | | | |
| c Net investment earnings, gains, and losses | 7,353 | 566 | 6,787 | 6,025 | 7,353 |
| d Grants or scholarships | | | | | |
| e Other expenditures for facilities and programs | 7,353 | 566 | 6,787 | 6,025 | 7,353 |
| f Administrative expenses | | | | | |
| g End of year balance | 62,093 | 62,093 | 62,093 | 62,093 | 62,093 |

- 2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as
- a Board designated or quasi-endowment ▶

b Permanent endowment ▶ 100 000 %

c Temporarily restricted endowment ▶
- The percentages in lines 2a, 2b, and 2c should equal 100%
- 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) | Yes | |
| 3b | Yes | |
- b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?
- 4 Describe in Part XIII the intended uses of the organization's endowment funds

Part VI Land, Buildings, and Equipment. Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

| Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|--|--------------------------------------|---------------------------------|------------------------------|----------------|
| 1a Land | | | | |
| b Buildings | | | | |
| c Leasehold improvements | | 11,053 | 11,053 | |
| d Equipment | | 157,116 | 157,116 | |
| e Other | | | | |
| Total. Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).) ▶ | | | | |

Part XI

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

| | | | | |
|---|--|----|----|--|
| 1 | Total revenue, gains, and other support per audited financial statements | | 1 | |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12 | | | |
| a | Net unrealized gains on investments | 2a | | |
| b | Donated services and use of facilities | 2b | | |
| c | Recoveries of prior year grants | 2c | | |
| d | Other (Describe in Part XIII) | 2d | | |
| e | Add lines 2a through 2d | | 2e | |
| 3 | Subtract line 2e from line 1 | | 3 | |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1 | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII) | 4b | | |
| c | Add lines 4a and 4b | | 4c | |
| 5 | Total revenue Add lines 3 and 4c. (This must equal Form 990, Part I, line 12) | | 5 | |

Part XII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

| | | | | |
|---|---|----|----|--|
| 1 | Total expenses and losses per audited financial statements | | 1 | |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25 | | | |
| a | Donated services and use of facilities | 2a | | |
| b | Prior year adjustments | 2b | | |
| c | Other losses | 2c | | |
| d | Other (Describe in Part XIII) | 2d | | |
| e | Add lines 2a through 2d | | 2e | |
| 3 | Subtract line 2e from line 1 | | 3 | |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1: | | | |
| a | Investment expenses not included on Form 990, Part VIII, line 7b | 4a | | |
| b | Other (Describe in Part XIII) | 4b | | |
| c | Add lines 4a and 4b | | 4c | |
| 5 | Total expenses Add lines 3 and 4c. (This must equal Form 990, Part I, line 18) | | 5 | |

Part XIII

Supplemental Information

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, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

| Return Reference | Explanation |
|----------------------------|---|
| Schedule D, Part V, Line 4 | TGen Foundation classifies as permanently restricted net assets (1) the original value of the gift donated to permanent endowment, (2) the original value of subsequent gifts donated to the permanent endowment, and (3) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument. TGen Foundation has a restricted asset which allows them to use any investment income for operating expenses. |
| SCHEDULE D, PART X, LINE 2 | MANAGEMENT IS OF THE OPINION THAT SUBSTANTIALLY ALL OF TGEN'S AND THE FOUNDATION'S ACTIVITIES ARE RELATED TO THEIR EXEMPT PURPOSES, AND NO MATERIAL UNCERTAIN TAX POSITIONS HAVE BEEN IDENTIFIED OR RECORDED IN THE ACCOMPANYING CONSOLIDATED FINANCIAL STATEMENTS AT DECEMBER 31, 2013. TGEN AND THE FOUNDATION FILE FORMS 990 IN THE U S FEDERAL JURISDICTION AND COMPARABLE FORMS IN THE STATE OF ARIZONA. |
| | |
| | |
| | |
| | |
| | |

[illegible]

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

OMB No 1545-0047

2013

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

▶ Attach to Form 990

▶ Information about Schedule I (Form 990) and its instructions is at www.irs.gov/form990.

Name of the organization

THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE
FOUNDATION

Employer identification number

33-1092191

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. Part II can be duplicated if additional space is needed.

[illegible]

- | | | |
|----------|---|----------|
| 2 | Enter total number of section 501(c)(3) and government organizations listed in the line 1 table | 1 |
| 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.
Part III can be duplicated 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 |
|--------------------------------|-------------------------|-------------------------|----------------------------------|--|---------------------------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Part IV

Supplemental Information. Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

| Return Reference | Explanation |
|----------------------------|--|
| Schedule I, Part I, Line 2 | The Foundation is organized exclusively to benefit TGEN, a related 501(c)(3) tax-exempt organization, by supporting TGEN's fundraising and development functions |

Schedule J
(Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

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

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.
▶ Attach to Form 990. ▶ See separate instructions.

▶ Information about Schedule J (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE
FOUNDATION

Employer identification number

33-1092191

Part I

Questions Regarding Compensation

| | | | |
|----|--|-----|-----|
| | | Yes | No |
| 1a | Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. <div><div><input type="checkbox"/> First-class or charter travel</div><div><input type="checkbox"/> Housing allowance or residence for personal use</div><div><input type="checkbox"/> Travel for companions</div><div><input type="checkbox"/> Payments for business use of personal residence</div><div><input type="checkbox"/> Tax idemnification and gross-up payments</div><div><input type="checkbox"/> Health or social club dues or initiation fees</div><div><input type="checkbox"/> Discretionary spending account</div><div><input type="checkbox"/> Personal services (e g , maid, chauffeur, chef)</div></div> | | |
| b | If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain | 1b | |
| 2 | Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a? | 2 | |
| 3 | Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III. <div><div><input type="checkbox"/> Compensation committee</div><div><input type="checkbox"/> Written employment contract</div><div><input type="checkbox"/> Independent compensation consultant</div><div><input type="checkbox"/> Compensation survey or study</div><div><input type="checkbox"/> Form 990 of other organizations</div><div><input 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 | Yes |
| b | Participate in, or receive payment from, a supplemental nonqualified retirement plan? | 4b | No |
| c | Participate in, or receive payment from, an equity-based compensation arrangement? | 4c | No |
| | If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III. | | |
| | Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9. | | |
| 5 | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of: | | |
| a | The organization? | 5a | No |
| b | Any related organization? | 5b | No |
| | If "Yes," to line 5a or 5b, describe in Part III. | | |
| 6 | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of: | | |
| a | The organization? | 6a | No |
| b | Any related organization? | 6b | No |
| | If "Yes," to line 6a or 6b, describe in Part III. | | |
| 7 | For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III. | 7 | Yes |
| 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 Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III. | 8 | No |
| 9 | If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? | 9 | |

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

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

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

| (A) Name and Title | | (B) Breakdown of W-2 and/or 1099-MISC compensation | | | (C) Retirement and other deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported as deferred in prior Form 990 |
|--|------|--|-------------------------------------|-------------------------------------|--|-------------------------|---------------------------------|---|
| | | (i) Base compensation | (ii) Bonus & incentive compensation | (iii) Other reportable compensation | | | | |
| (1)Michael Bassoff President T Gen Foundation | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | (ii) | 424,752 | | 16,563 | 10,200 | 9,372 | 460,887 | 0 |
| (2)Teresa Burleson Board MBR/ASST SEC/ASST TREAS | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | (ii) | 391,326 | 59,565 | 810 | 60,184 | 6,375 | 518,260 | 0 |
| (3)Jeffrey M Trent Phd Board Member | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | (ii) | 842,418 | 0 | 34,797 | 108,303 | 9,383 | 994,901 | 0 |
| (4)Elizabeth Montemayor CFO (THRU 3/15/13) | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | (ii) | 54,841 | 0 | 219,096 | 2,829 | 2,518 | 279,284 | 0 |
| (5)Terrence McManus VP, Strategic Initiatives | (i) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | (ii) | 132,853 | 0 | 10,041 | 5,504 | 5,344 | 153,742 | 0 |

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

| Return Reference | Explanation |
|-----------------------------|--|
| Schedule J, Part I, Line 1a | First class travel is permitted by executive staff only and must, per TGen policy, be pre-approved by the Chief Operating Officer. These expenses were not considered as taxable compensation to the recipient since they were reimbursements for business use under an accountable plan. TGen, a related tax-exempt organization, provides this benefit. SCHEDULE J, PART I, LINE 3 TGen Foundation does not determine or pay any compensation or benefits. All compensation and benefits are determined and paid by TGen, a related tax-exempt organization. SCHEDULE J, PART I, LINE 4A THE FOLLOWING INDIVIDUAL RECEIVED SEVERANCE PAYMENTS IN 2013, WHICH HAVE BEEN INCLUDED IN SCHEDULE J, PART II, COLUMN (B)(III) ELIZABETH MONTEMAYOR \$204,878 |
| Schedule J, Part I, Line 7 | Some of the persons listed in Form 990, Part VII, were paid bonuses which were based on accomplishments of specific milestones and/or performance bases. |
| SCHEDULE J, PART II | DEFERRED COMPENSATION INCLUDES RETENTION AGREEMENTS FOR DR. JEFFREY TRENT AND TERESA BURLESON. DR. TRENT IS ELIGIBLE TO RECEIVE \$500,000 ON 03/12/2017 AND TERESA BURLESON IS ELIGIBLE TO RECEIVE \$250,000 ON 11/30/2017 PAYABLE BY TGEN. AMOUNTS ACCRUED BY TGEN DURING CALENDAR YEAR 2013 UNDER THESE AGREEMENTS HAVE BEEN REPORTED IN SCHEDULE J, PART II, COLUMN (C) AS DEFERRED COMPENSATION AS FOLLOWS: JEFFERY M. TRENT, PH.D. \$100,000; TERESA BURLESON \$50,000. |

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.

**▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at
www.irs.gov/form990.**

OMB No 1545-0047

2013

**Open to Public
Inspection**

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE
FOUNDATION

Employer identification number

33-1092191

| Return Reference | Explanation | |
|------------------|-----------------------------|--|
| | Form 990, Part III, Line 4A | <p>THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE FOUNDATION RAISES FUNDS FOR THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE ("TGEN") THE PROGRAM SERVICE ACCOMPLISHMENTS OF TGEN ARE LISTED BELOW</p> <p>Introduction</p> <p>Year-over-year, TGen adds value to Arizona's biomedical sector through scientific and medical advances, educating the next generation of scholars, and economic stimulus. A key to this success has been our State-funded support. In FY13, our 11th year of operations, we announced among other initiatives, the launch of the TGen Center for Rare Childhood Disorders (C4RCD), where our faculty will apply the latest tools of genomic medicine to provide answers for parents wanting to identify the disease or disorder affecting their child. And, thanks to Stand Up To Cancer, The Ben & Catherine Ivy Foundation, the Melanoma Research Alliance, the State's universities, multiple local health care providers and others, we initiated research projects and clinical trials in the study of melanoma and brain tumors, with the goal of delivering the latest in effective new treatments to patients as quickly as possible. In the area of Alzheimer's disease research, MindCrowd (www.mindcrowd.org) is a unique internet-based project designed to identify the genetic markers linked to learning and memory. MindCrowd harnesses the power of the Internet to study the human brain by engaging the world and seeking 1 million on-line participants. We have all met someone who can run faster or jump higher than us. When it comes to learning and remembering, the same is true. Our individual genetic blueprint - made up of billions of letters - determine, at least in part, these differences. Today, more than ever before, many patients facing cancer and other serious illnesses are hearing about TGen's patient-focused research and how it has begun to change the way we think about the practice of medicine. In a front-page New York Times article, the search for precision therapy brought San Diego-based molecular biologist Dr. Tim McDaniel to TGen when his own mother faced a rare but deadly cancer. Knowing of their patient-focused approach to research, Dr. McDaniel selected TGen scientists to help connect the best available science to his mother's treatment plan. By working together to analyze the billions of data points in her genome, they identified a unique genetic change and matched it with a therapy that improved his mother's quality of life long enough for her to celebrate her 50th wedding anniversary. TGen's patient-focused approach also enabled TGen to be selected by Stand Up To Cancer and the Melanoma Research Alliance to co-lead a national dream team of scientists and physicians in an unprecedented three-year study of the most deadly form of skin cancer. They will investigate possible new individualized approaches to patients based on the specific genomic changes in their cancers. A common thread to all of these stories is TGen's ability to sift through the billions of genetic data points generated through the sequencing of each individual genome. Advances in medicine and scientific knowledge about disease have created a ripe environment for medical advances. Nevertheless, identifying the right treatment to target cancer and other complex diseases is still difficult and cost prohibitive. The development of whole genome sequencing and advanced proteomic technologies, both occurring at TGen, addresses these challenges. TGen's application of these technologies, coupled with next-generation sequencing methods, allows our faculty to sequence an individual's entire genome more quickly and cost effectively than ever before. This has unlocked the biology of disease in entirely new ways. Sequencing pinpoints clinically actionable targets for difficult-to-treat cancers by identifying all the genetic mutations in a human genome. This creates more opportunities for clinical collaborations between TGen and its research partners and allows TGen to establish a niche for itself in clinical applications of next-generation sequencing technology. Patients benefit from access to personalized data that identifies familial genetic risks and allows them to make informed healthcare decisions. To facilitate diagnosis and inform treatment in a timely manner, TGen successfully established a federally certified clinical services laboratory. Known as CLIA certification, this designation provides clinicians the ability to treat immediately based upon TGen's genetic findings, a process that otherwise would require outsourcing and could take several weeks or longer, time many patients simply cannot afford. The Next Decade and Beyond</p> <p>While TGen and its scientists have made great progress in the past decade, the opportunity to create a watershed moment in precision medicine is now. TGen leads through its mission of transforming the standard of care patients receive today and in the future. TGen participation in patient care results in a distinct clinical practice that connects</p> |

| Return Reference | Explanation | |
|------------------|-----------------------------|---|
| | Form 990, Part III, Line 4A | <p>cutting-edge technology to discern the individual patient's genome coupled with molecular knowledge. Working together, the patient's doctor and TGen scientists can arrive at an individual treatment plan. After its initial decade of work, TGen stands poised to</p> <ul style="list-style-type: none">- Enhance and grow the talent and technology - the scientists and the equipment- required to move toward our vision for transforming today's standard-of-care, where local research benefits local patients first- Solve the emerging challenges by intently moving along the trajectory of continuing success, confident of the plan and the goal, but keenly aware that there must be improvements through iterative learning <p>TGen's work fills a special void that other organizations often cannot undertake. We discover and conquer new directions and solutions for diagnosis and treatment of the most difficult and often unique health issues that have never been accomplished before.</p> <ul style="list-style-type: none">- Deliver because TGen's vision is to solve unmet healthcare issues on a personalized level, our direction and progress positions our focus in a space where pioneering steps lead our scientists to untested terrain. Where many research and translational clinical programs talk and plan about new approaches to treatment and care, TGen delivers progress by creating new paradigms- Press for continuous improvement encompass and analyze larger datasets, learn from each patient to create better outcomes and accelerate clinical impact toward a better standard of care for all patients. <p>Disrupting the status quo is the very nature of innovation and at TGen, our faculty draw inspiration from challenging the status quo. TGen has realized great progress in its initial 10-year growth and re-investment will bring still greater impact and results, maintenance of the current status is not adequate if we are to ensure that greater results are available to improve patient care and save lives. In addition, the following overview provides a snapshot of recent progress in scientific publications, grants, contracts, philanthropy, education and outreach, media and community recognition</p> |

| Return Reference | Explanation | |
|------------------|--|--|
| | Peer-Reviewed Laboratory Research Publications and Presentations | <p>The main focus of TGen's biomedical research has always been the patient, whether seeking a greater understanding of the biology underlying a particular disease, or using that knowledge to develop diagnostic platforms or render more precise treatment options. Driven by technology, but powered by TGen's outstanding scientific and clinical investigators, the Institute is equal to the strengths and capabilities of any of today's leading research and clinical institutes. Now here is this more evident than with TGen's whole genome sequencing capabilities. Whole genome sequencing allows us to dig deeper into the genome than ever before by providing more information and increasing our probability of identifying something significant. The long-term hope is that doctors will leverage this information to inform decisions about patient care. The results from these research studies appear in a number of leading scientific and medical journals and add to the growing knowledge base of molecular research and medicine. In FY13, TGen researchers published their research results in numerous scholarly peer-reviewed academic journals and through presentations at leading national and international conferences. These include publication in leading scientific journals such as Nature, Nature Genetics, Cancer, Genome Medicine, PLoS One, Human Genetics, Blood, Science Translational Medicine, and a host of other disease-associated publications.</p> <p>FY13 Select Highlights</p> <ol style="list-style-type: none">1. Isolation and characterization of muscle fatigue substance with anti-tumor activities. Munoz RM, Han H, Tegeler T, Petritis K, Von Hoff DD, Hoffman SA. J Cancer. 2013 May 9;4(4):343-9. Print 2013.2. Cancer of the ampulla of Vater: analysis of the whole genome sequence exposes a potential therapeutic vulnerability. Demeure MJ, Craig DW, Sinari S, Moses TM, Christoforides A, Dinh J, Izatt T, Aldrich J, Decker A, Baker A, Cherni I, Watanabe A, Koep L, Lake D, Hostetter G, Trent JM, Von Hoff DD, Carpten JD. Genome Med. 2012 Jul 4;4(7):56. [Epub ahead of print]3. Reciprocal Activation of Transcription Factors Underlies the Dichotomy between Proliferation and Invasion of Glioma Cells. Dhruv HD, McDonough Winslow WS, Armstrong B, Tuncali S, Eschbacher J, Kislin K, Loftus JC, Tran NL, Berens ME. PLoS One. 2013; 8(8):e72134.4. HOXB13 is a susceptibility gene for prostate cancer: results from the International Consortium for Prostate Cancer Genetics (ICPCG). 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Genetic relationship between five psychiatric disorders estimated from genome-wide SNPs. Cross-Disorder Group of the Psychiatric Genomics Consortium, Lee SH, Ripke S, Neale BM, Faraone SV, Purcell SM, Perlis RH, Mowry BJ, Thapar A, Goddard ME, Witte JS, Absher D, Agartz I, Akil H, Amin F, Andreassen OA, Anjorin A, Anney R, Anttila V, Arking DE, Asherson P, Azevedo MH, Backlund L, Badner JA, Bailey AJ, Banaschewski T, et al. Nat Genet. 2013 Aug 28; 45(9):984-994. Epub 2013 Aug 11.7. An integrated map of genetic variation from 1,092 human genomes. 1000 Genomes Project Consortium, Abecasis GR, Auton A, Brooks LD, DePristo MA, Durbin RM, Handsaker RE, Kang HM, Marth GT, McVean GA. Nature. 2012 Nov 1; 491(7422):56-65.8. Multicenter phase I trial of the mitogen-activated protein kinase 1/2 inhibitor BAY 86-9766 in patients with advanced cancer. Weekes CD, Von Hoff DD, Adjei AA, Leffingwell DP, Eckhardt SG, Gore L, Lewis KD, Weiss GJ, Ramanathan RK, Dy GK, Ma WW, Sheedy B, Iverson C, Miner JN, Shen Z, Yeh LT, Dubow RL, Jeffers M, Rajagopalan P, Clendeninn NJ. Clin Cancer Res. 2013 Mar 1; 19(5):1232-43. Epub 2013 Feb 22. <p>Clinical Research / Clinical Trials At TGen, the concept of pairing a treatment strategy with an individual's unique molecular profile with the goal of improving patient outcomes is a process we commonly refer to as precision medicine. Initially, TGen is applying this new method to many aggressive cancers and rare diseases for patients who are resistant to traditional treatments. The long-term hope is that doctors will leverage this information and</p> |

| Return Reference | Explanation | |
|------------------|--|--|
| | Peer-Reviewed Laboratory Research Publications and Presentations | <p>d use it routinely to make informed decisions about patient care. By identifying molecular targets before treating disease, medicine becomes more rational, more personalized, and drives down (not layers on) costs. Matching the right patient with the right therapy appropriate to the underlying genetics of their specific disease will mean that a higher proportion of patients will benefit. There will be more durable responses and longer survival times. There will be less unnecessary toxicity, expense, and time wasted on ineffective therapies. Established in 2006, The Virginia G. Piper Cancer Center (VGPCC) Clinical Trials Program at Scottsdale Healthcare, a strategic alliance between TGen and Scottsdale Healthcare (SHC), provides a direct clinical research site for TGen. Dr. Daniel Von Hoff, TGen's Physician-in-Chief, serves as Chief Scientific Officer. Program clinicians' focus on clinical trials with targeted agents and genomics-based individualized therapy. The VGPCC Clinical Trials Program allows the unique opportunity for TGen to transition its laboratory-based research to patient care centered on individualized therapy. In FY13, program staff managed nearly 50 Phase I-III clinical trials for advanced or rare cancers. Patient participation in clinical trials include:</p> <ul style="list-style-type: none">- Over 300 visits per month- Nearly 40 new patients per month- Over 400 patient samples collected per month |

| Return Reference | Explanation | |
|------------------|-------------|--|
| FY13 Highlights | | <p>1 In August 2012, a Phase VII, multi-center trial designed to test the safety and preliminary efficacy of a first-in-class cancer treatment opened worldwide at the Virginia G Piper Cancer Center Clinical Trials at Scottsdale Healthcare. PR610 is designed to activate in tissues with low levels of oxygen, which is characteristic of many cancers. This "targeted" approach should deliver more active drug to cancer tissue and less active drug to normal tissue. The two-part trial, would first determine acceptable dose levels of PR610 in patients with various types of advanced cancer. After determining acceptable dose levels, the study would then evaluate the safety and efficacy of PR610 when given to patients with non-small cell lung cancer whose tumors contain a certain genetic mutation.</p> <p>2 In November 2012, a new cancer drug combination demonstrated significant improvement in overall survival of late-stage pancreatic cancer patients compared to those receiving standard treatment, according to results of a Phase III clinical trial. SHC/TGen Physicians were first to design a clinical trial to determine the safety, tolerability and effectiveness of nab-paclitaxel (Abraxane) in combination with the standard drug gemcitabine in patients with advanced pancreatic cancer. Results of that multicenter study chaired by Dr. Daniel Von Hoff were encouraging enough that it led to one of the largest international studies ever done in pancreatic cancer, with 861 patients.</p> <p>3 In March 2013, The FDA has approved a thyroid cancer drug successfully tested at Virginia G Piper Cancer Center Clinical Trials, a partnership of Scottsdale Healthcare and the Translational Genomics Research Institute (TGen). The U.S. Food and Drug Administration approved Cabozantinib for the treatment of progressive, metastatic medullary thyroid cancer (MTC), a rare endocrine gland cancer affecting the thyroid. Previously, MTC patients had limited treatment options.</p> <p>4 In April 2013, TGen and SHC reported the safety and preliminary efficacy of a new class of tumor fighting drugs. Early results from the phase I, first in-human study of an RNA interference (RNAi) drug were announced during the American Association for Cancer Research (AACR) Annual Meeting 2013, April 6-10, in Washington, D.C. Tekmira Pharmaceuticals developed TKM-080301 (also known as TKM-PLK1). The study was conducted at Virginia G Piper Cancer Center Clinical Trials at Scottsdale Healthcare, a partnership with TGen. It found that the RNAi drug acts by silencing the PLK1 gene involved in tumor growth and can be safely administered in humans. Most patients tolerated the drug well, some showed therapeutic benefit.</p> <p>Grant Support In addition to philanthropic donations and research contracts, grant funding is an important funding source for research. In FY2013, TGen investigators submitted 117 grants totaling \$9.8M. TGen was awarded 12 grants, totaling \$10.5M, with an additional 26 grants pending and in reviews totaling \$14M. Additionally, TGen received \$5.4M from 2010 and 2011 pending grants, bringing the awarded total for 2012 to \$15.9M. TGen's success rate currently rests at 22 percent of total grants submitted, placing the Institute nearly 4 percent higher than the national average (NIH overall success rate).</p> <p>FY 13 Highlights</p> <ol style="list-style-type: none"> 1 Three-year grant from the National Institutes of Health (NIH) totaling \$1,207,367 to Dr. Nhan Tran to develop small molecule chemical probes against the TWEAK-Fn14 signaling pathway to treat glioma invasion. 2 Five-year grant from the National Institutes of Health (NIH) totaling \$1,515,154 to Drs. Haiyong Han and Daniel Von Hoff to study targeted stromal collagen in pancreatic cancer. 3 Four-year grant from the National Institutes of Health (NIH) totaling \$1,800,094 to Dr. Lance Price to study the rapid emergence of Livestock-associated methicillin-resistant Staphylococcus aureus (MRSA) ST398. 4 Five-year subcontracted grant to MRIGlobal from the Virginia Contracting Agency totaling \$757,834 to Dr. Paul Keim to provide microbial forensics support. 5 Two-year grant under subcontract with the Barrow Neurological Institute/St. Joseph's Hospital and Medical Center from the National Institutes of Health (NIH) totaling \$202,880 to Dr. Holly Yin for the development of high-throughput assays for testing non-nicotine components in tobacco products. 6 Two-year grant from National Institutes of Health totaling \$472,035 to Drs. Matthew Huentelman and Kendall Jensen to identify a biomarker to predict complications of brain injury under the NIH Common Fund Extracellular RNA Communication Consortium. 7 One-year grant from the Adenoid Cystic Carcinoma Foundation totaling \$106,066 to Dr. Michael Barrett to study the determinants of therapeutic benefit for adenoid cystic carcinomas (ACC) patients. 8 Eighteen-month fellowship from the NCF/ Merck Science Initiative totaling \$92,000 to Dr. Troy McEachron to investigate the molecular and cellular biology that underlies chemo-resis |

| Return Reference | Explanation | |
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| | FY13 Highlights | tance in pediatric cancer patients 9 Under subcontract from Arizona Alzheimer's Consortium, a one-year grant totaling \$165,000 to Dr. Matthew Huentelman to study novel biomarker and genetic risk factor identification in Alzheimer's disease 10 Under subcontract from the University of Maryland, a two-year grant from the National Institutes of Health (NIH) totaling \$54,172 to Dr. Jason Sahl to identify Cloud-enabled genomics resources for automated pathogen diagnostics in the field |

| Return Reference | Explanation | |
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| | Enterprise Efforts, Collaboration, Spin offs & Job Creation | <p>In FY13, TGen launched 2 initiatives to leverage internal discoveries and developments in genomics research and informatics tools. These are:</p> <ol style="list-style-type: none"> 1. TGen Animal Health: A research and development project with a local Arizona firm to evaluate the portability of human diagnostic tools in the treatment of canine cancer. TGen is one of the early adopters of the canine model as a vehicle to accelerate human research. 2. Translational Systems, LLC: Translational Systems, LLC was created to facilitate the commercialization of a suite of informatics tools used in the creation, analysis and interaction of data from a variety of sources including patient samples and genomic data. <p>Invention Disclosures: TGen filed 28 invention disclosures in FY13 based on discoveries stemming from TGen-led research, and 26 provisional patent applications.</p> <p>Contracts and Collaborations: TGen signed a total of 440 contracts in FY13, broken down as follows:</p> <ul style="list-style-type: none"> a. 113 CDAs b. 70 MTAs c. 40 Research Collaborations d. 38 Consulting Agreements e. 79 Professional Service Agreements f. 4 Commercialization Licenses g. 96 agreements covering miscellaneous activities. <p>A sample of the universities, institutes, medical centers and corporations that TGen worked with include: Veterinary Neurological Center, Texas Engineering Experiment Station (TEES), Hills Pet Nutrition, Mayo Clinic, Illumina, Pathogene, Phoenix Children's Hospital, Spectrum Health Hospitals, Geisinger Clinic, Michigan State University, AztraZeneca Pharmaceuticals, Onyx Pharmaceuticals, Novartis Horsham Research Centre, Dignity Health, MMRC, Hoffmann-LaRoche, FDA/AZ Dept of Health Services, and Ventana Medical Systems.</p> <p>Job Creation: Sixteen new full-time equivalent positions were created in 2013 with salaries and benefits totaling \$1,213,836. Salaries for temporary positions (those positions created for a finite period of time) totaled \$93,600 and student salaries were just over \$340,000, bringing the overall total to \$1,647,436. Eighty-eight percent of full-time TGen staff holds a college degree and fifty percent holds an advanced degree.</p> <p>FY13 full-time positions filled (new and replacements) included:</p> <ul style="list-style-type: none"> - Accountant II - Assistant Professor - Bioinformatician - Associate - Business Analyst - Chief Financial Officer - Clinical Research Coordinator - Sr. Engineer - High-Performance Computing - Histotechnologist - IT Administrator - Manager - Physician In Chief's Office - Post-Doctoral Fellow - Research Associate - Research Associate II - Research Associate III - SharePoint Developer - Education and Outreach Specialist - Sr. Database Administrator - Staff Scientist - Vice President - Corporate Development - Education and Public Outreach <p>TGen gears its science education and community outreach toward the development of a talented bioscience workforce in Arizona and increased public fluency in genomic science and translational medicine.</p> <p>Education: FY13 saw 45 Arizona students - selected from nearly 500 Arizona applicants - participate in TGen's flagship, paid summer internship program, Helios Scholars at TGen. Nearly every TGen division hosted interns for hands-on experiences: grants and research administration, environmental health and safety, cancer, neurological disease, diabetes and infectious disease.</p> <p>Cohort demographics: 73 percent attended public colleges or universities in Arizona, 24 percent self-identified as races/ethnicities underrepresented in the biosciences, 22 percent were in high school, 69 percent in college and 9 percent in graduate or medical school.</p> <p>TGen re-engaged the nearly 250 Helios Scholars alumni for the second annual alumni networking reception in July. Intern alumni from every Helios Scholars' class (2007-2013) attended the reception to expand their Arizona bioscience networks. Alumni also provide guidance to each new summer intern class, sit on the selection committee and act as ambassadors for the biosciences within their social and professional networks.</p> <p>The Ben and Catherine Ivy Foundation awarded TGen funding for an expanded second year of the Ivy Neurological Sciences Internship Program, a summer and fall paid internship program now supporting two high school students, four undergraduates and one medical school candidate annually for neurological disease research and a clinical training module.</p> <p>For a second year, TGen partnered with Duke University to bring two Duke undergraduates interested in bioinformatics and genomics to TGen for a 10-week internship. This broadened awareness of TGen nationally and potentially set the stage for future faculty collaborations.</p> <p>Outside of these programs, TGen hosted approximately 15 summer interns, and 50+ academic year interns throughout all TGen research divisions including laboratory and clinical research, research administration, and mathematics and computational biology research.</p> <p>Public Outreach: In FY13 TGen hosted over 50 public tours (~500 attendees) for students, teachers, community organizations and the general public. New this year:</p> |

| Return Reference | Explanation | |
|------------------|---|---|
| | Enterprise Efforts, Collaboration, Spin offs & Job Creation | <p>is TGen's participation in the Lesson2Life teacher-training program offered by the Arizona K12 Center. Eight local teachers visited the Institute for a genomics and biotechnology update, a laboratory tour and interaction with a panel of high school and undergraduate in terns. In February 2013, TGen hosted an in-depth laboratory tour and networking reception exclusively for local STEM educators, "Teacher Night at TGen," with nearly 50 attendees in support of the Arizona SciTech Festival. At the reception, teachers had the opportunity to network with each other and TGen scientists. In March 2013, TGen supported three local high school students from the Be a Leader Foundation for the annual Shadow a Professional Day. Over 20 TGen scientists served as project judges for the 2013 Intel International Science and Engineering Fair (ISEF). TGen faculty and staff also assisted with ISEF Education and Outreach Day for area middle schools and will expand participation in the 2016 and 2019 Fair rotations. TGen believes it has a responsibility to offer workforce knowledge and expertise to our education community partners. In this spirit, TGen is represented on several boards and working groups including but not limited to Arizona Science Center Pathways Grant Advisory Board, Paradise Valley Unified School District Center for Research in Engineering, Science and Technology (CREST) Advisory Board, Phoenix Healthcare Sector Partnership, Scottsdale Chamber of Commerce Workforce Development Committee, Arizona Bioindustry Association Workforce Initiative, Intel ISEF Phoenix Local Arrangements Committee (LAC), Center for the Future of Arizona STEM Diploma Project Advisory Committee. Media/On-line TGen remains active in pursuing positive earned media exposure for the Institute's research and philanthropic activities. Media exposure raises awareness and brings added credibility to the Institute and the state. In total, TGen received nearly 1,000 media mentions in FY 13 in various trade and public media locally, nationally and internationally. While citing TGen specifically, these articles and news briefs help build a greater presence for the continuously expanding biomedical science initiatives occurring in Arizona. Media outlets include ABC News, Arizona Daily Sun, The Arizona Republic, The Boston Herald, Chicago Tribune, CNN, Dow Jones, Flagstaff Today, Forbes, New York Times, National Public Radio, Phoenix Business Journal, Phoenix Magazine, and more. As TGen enters its second decade, we do so with a new logo and website that more succinctly reflects TGen's research environment and mission and the rapidly changing technologies that have accelerated our pace of discovery over the past decade. The new logo reflects TGen's continued focus on the patient, particularly in the areas of cancer, neurology and rare childhood disorders. These changes have altered the public view of how genomics can positively impact society in terms of medical care and so many additional facets of life. TGen has redefined our online presence allows our varied stakeholders to stay up-to-date on the latest research findings, patient advances, public events and initiatives. Our new identity retains the qualities of our brand promise but reflects our evolution over the past decade in becoming leaders in the area of personalized medicine.</p> |

| Return Reference | Explanation |
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| FORM 990, PART V, LINE 2A, PART VII, SECTION A, AND PART IX | TGEN FOUNDATION DOES NOT HAVE EMPLOYEES, BUT SHARES THE COST OF PERSONNEL, SERVICES, FACILITIES AND EXPENSES WITH TGEN, A RELATED TAX-EXEMPT ORGANIZATION FORM 990, PART VI, LINE 1A TO THE EXTENT ALLOWED BY LAW, THE EXECUTIVE COMMITTEE MAY ACT ON TGEN FOUNDATION'S BEHALF IN ANY MATTER WHEN THE BOARD OF DIRECTORS IS NOT IN SESSION, REPORTING TO THE BOARD OF DIRECTORS FOR ITS INFORMATION AT THE NEXT SUBSEQUENT REGULAR OR SPECIAL MEETING OF THE BOARD THE EXECUTIVE COMMITTEE CONSISTS OF THE DESIGNATED DIRECTORS, THE CHAIRPERSON OF THE BOARD AND UP TO THREE OTHER FOUNDATION DIRECTORS AS SHALL BE DESIGNATED BY THE BOARD OF DIRECTORS Form 990, Part VI, Line 6 The sole corporate member of TGen Foundation is The Translational Genomics Research Institute (TGEN) |

| Return Reference | Explanation |
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| Form 990, Part VI, Line 7a | TGEN, as the sole corporate member of TGen Foundation, has the right to elect the board of directors of TGen Foundation |

| Return Reference | Explanation |
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| Form 990, Part VI, Line 7b | <p>The sole corporate member's vote shall be required on</p> <p>A) The election and removal of elected directors as set forth in the bylaws, B) The adoption of any plan of merger or consolidation, C) The sale of all or substantially all the Foundation's assets in a single transaction or series of related transactions, D) The amendment of the Foundation's articles of incorporation or bylaws, E) The Institution, or consent to Institution, of proceedings to adjudicate the Foundation bankrupt or insolvent, or the filing of a petition seeking or consenting to reorganization or relief under any law relating to bankruptcy, insolvency, or other relief for debtors, or the consent to the appointment of a receiver, liquidator, assignee, trustee, sequestrator (or similar official) of the Foundation or of all or any substantial part of its property, or the making of any assignment for the benefit of creditors, or the admission in writing of the Foundation's inability to pay its debts generally as they become due, or any steps in furtherance of such actions, and F) Those matters upon which the member is granted voting rights in the articles of incorporation, bylaws, or the Arizona Nonprofit Corporation Act</p> <p>The sole corporate member has the following reserve powers</p> <p>A) Appoint and remove the President, B) Approve the establishment of new corporate partnership entities created or joined by the Foundation, C) Approve the Foundation's execution of material contracts, and D) Approve the Foundation's incurrence of material debts</p> |

| Return Reference | Explanation |
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| Form 990, Part VI, Line 11b | The form 990 is prepared by an outside accounting firm based on information provided by the TGen Finance department The form 990 is then reviewed by the Finance department and other members of management. The form 990 is posted on the Board website for Board review prior to filing with the IRS |

| Return Reference | Explanation |
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| Form 990, Part VI, Line 12c | TGen Foundation distributes a conflict of interest questionnaire annually to all director level positions and above, in addition to any key employees designated by the TGen Chief Operating Officer. The questionnaires are reviewed by the TGen Chief Financial Officer and TGen's Office of Research Compliance. Those employees with conflicts are sent for further review to the TGen Chief Operating Officer to ensure an appropriate plan is set forth. Updates to the list are handled on an as-needed basis, based on contract reviews and employee information. |

| Return Reference | Explanation |
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| Form 990, Part VI, Lines 15a and 15b | <p>The Foundation does not have any direct employees. Compensation is determined by the Translational Genomics Research Institute (TGen) using the following process: TGen's Governance and Executive Compensation committee will act in an "advice and consent" capacity reviewing the recommendations for the President and Scientific Director regarding the compensation of disqualified persons and forwarding final recommendations to the full Board for approval. Disqualified persons (except for the President and Scientific Director) will not be present for, or participate in, Committee deliberations concerning their compensation (other than to answer questions). The President and Scientific Director will participate in the deliberations concerning the compensation of direct reports. During the decision making process, the Committee will adhere to the executive compensation philosophy. The Committee is authorized (and provided with sufficient funding) to annually engage outside independent compensation and legal advisors, when deemed necessary and advisable. The Committee will comply with the "rebuttable presumption of reasonableness" under section 4958 of the internal revenue code whenever possible. The Committee will review and understand the internal revenue code provisions dealing with "excess benefit transactions concerning disqualified persons' compensation." When developing a compensation philosophy, TGen kept in mind the following factors: The TGen Mission and Strategy; The TGen Culture; Trends in compensation in the external environment; Trends in Recruitment of new employees; Trends in organizational Employee Turnover; TGEN's Life Cycle Stage.</p> |

| Return Reference | Explanation |
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| FORM 990, PART VI, LINE 19 | TGen Foundation provides its governing documents and conflict of interest policy to the general public upon request |

SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.
▶ Information about Schedule R (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE
FOUNDATION

Employer identification number

33-1092191

Part I Identification of Disregarded Entities

Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

| (a) Name, address, and EIN (if applicable) 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 |
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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 entity? | |
|---|-------------------------|--|----------------------------|---|----------------------------------|--|----|
| | | | | | | Yes | No |
| (1) The Translational Genomics Research Inst 445 N 5th Street Suite 600 Phoenix, AZ 85004 75-3065445 | Research | AZ | 501(c)(3) | 7 | NA | | No |
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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 | |
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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 | (i) Section 512 (b)(13) controlled entity? | |
|--|-------------------------|---|-------------------------------------|---|---------------------------------|---|--------------------------------|--|----|
| | | | | | | | | Yes | No |
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Part V

Transactions With Related Organizations

Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

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

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 or **(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** Dividends from related organization(s)
- g** Sale of assets to related organization(s)
- h** Purchase of assets from related organization(s)
- i** Exchange of assets with related organization(s)
- j** Lease of facilities, equipment, or other assets to related organization(s)

- k** Lease of facilities, equipment, or other assets from related organization(s)
- l** Performance of services or membership or fundraising solicitations for related organization(s)
- m** Performance of services or membership or fundraising solicitations by related organization(s)
- n** Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)
- o** Sharing of paid employees with related organization(s)

- p** Reimbursement paid to related organization(s) for expenses
- q** Reimbursement paid by related organization(s) for expenses

- r** Other transfer of cash or property to related organization(s)
- s** Other transfer of cash or property from related organization(s)

| | Yes | No |
|----|-----|----|
| | | |
| 1a | | No |
| 1b | Yes | |
| 1c | | No |
| 1d | | No |
| 1e | | No |
| 1f | | No |
| 1g | | No |
| 1h | | No |
| 1i | | No |
| 1j | | No |
| 1k | | No |
| 1l | Yes | |
| 1m | | No |
| 1n | Yes | |
| 1o | Yes | |
| 1p | | No |
| 1q | Yes | |
| 1r | | No |
| 1s | | 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 related organization | (b) Transaction type (a-s) | (c) Amount involved | (d) Method of determining amount involved |
|-------------------------------------|----------------------------------|------------------------|--|
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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

Provide additional information for responses to questions on Schedule R (see instructions)

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