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Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

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Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation JAMES S. MCDONNELL FOUNDATION		A Employer identification number 54-2074788
Number and street (or P.O. box number if mail is not delivered to street address) 1034 S BRENTWOOD BLVD	Room/suite 1860	B Telephone number (314) 862-1040
City or town, state or province, country, and ZIP or foreign postal code ST. LOUIS, MO 63117-1229		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 506,185,338.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		1,537,143.	1,537,143.		STATEMENT 1
4 Dividends and interest from securities		7,259,921.	7,259,921.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		18,860,297.			
b Gross sales price for all assets on line 6a		83,446,296.			
7 Capital gain net income (from Part IV, line 2)			18,860,297.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		519,320.	313,431.		STATEMENT 3
12 Total. Add lines 1 through 11		28,176,681.	27,970,792.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages		677,232.	0.		677,232.
15 Pension plans, employee benefits		86,466.	0.		86,466.
16a Legal fees STMT 4		26,420.	23,580.		2,840.
b Accounting fees					
c Other professional fees STMT 5		514,608.	489,839.		24,769.
17 Interest					
18 Taxes STMT 6		219,170.	186,576.		32,594.
19 Depreciation and depletion					
20 Occupancy		45,443.	0.		45,443.
21 Travel, conferences, and meetings		37,641.	0.		37,641.
22 Printing and publications					
23 Other expenses STMT 7		3,267,719.	2,686,163.		580,712.
24 Total operating and administrative expenses. Add lines 13 through 23		4,874,699.	3,386,158.		1,487,697.
25 Contributions, gifts, grants paid		27,804,075.			27,804,075.
26 Total expenses and disbursements. Add lines 24 and 25		32,678,774.	3,386,158.		29,291,772.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<4,502,093.>			
b Net investment income (if negative, enter -0-)			24,584,634.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	13,075,409.	15,301,589.	15,301,589.
	3 Accounts receivable ▶ 153,893.			
	Less: allowance for doubtful accounts ▶	468,986.	153,893.	153,893.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 10	3,621,392.	3,650,746.	4,867,807.
	b Investments - corporate stock STMT 11	130,198.	130,198.	390,955.
	c Investments - corporate bonds STMT 12	43,678,105.	43,124,701.	43,736,292.
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 13	152,566,443.	163,478,994.	181,275,770.	
14 Land, buildings, and equipment: basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶ STATEMENT 14)	231,693,203.	210,416,436.	260,459,032.	
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	445,233,736.	436,256,557.	506,185,338.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	445,233,736.	436,256,557.	
	30 Total net assets or fund balances	445,233,736.	436,256,557.	
31 Total liabilities and net assets/fund balances	445,233,736.	436,256,557.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	445,233,736.
2 Enter amount from Part I, line 27a	2	<4,502,093.>
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 8	3	1,044,986.
4 Add lines 1, 2, and 3	4	441,776,629.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 9	5	5,520,072.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	436,256,557.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b SEE ATTACHED STATEMENTS			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 83,446,296.		64,585,999.	18,860,297.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			18,860,297.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	18,860,297.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 }	3	N/A

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	29,127,076.	473,337,449.	.061536
2011	29,007,853.	479,171,477.	.060538
2010	26,878,863.	464,440,606.	.057874
2009	26,426,283.	427,359,416.	.061836
2008	24,786,400.	529,073,874.	.046849

2 Total of line 1, column (d)	2	.288633
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.057727
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	493,108,135.
5 Multiply line 4 by line 3	5	28,465,653.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	245,846.
7 Add lines 5 and 6	7	28,711,499.
8 Enter qualifying distributions from Part XII, line 4	8	29,291,772.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate.
See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	245,846.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	245,846.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-		5	245,846.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	264,177.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	100,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	364,177.	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	118,331.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax ☒ 118,331. Refunded ☒	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☒ \$ 0. (2) On foundation managers. ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.	2	X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3	X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	X
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	X
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T	5	X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	7	X
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ MO		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b	X
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address **WWW.JSMF.ORG**

14 The books are in care of **J&J MANAGEMENT SERVICES, INC.** Telephone no. **314-862-1040**
 Located at **1034 S. BRENTWOOD, #1860, ST. LOUIS, MO** ZIP+4 **63117-1229**

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ☐
 and enter the amount of tax-exempt interest received or accrued during the year **15** **N/A**

16 At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? **16** **Yes** **No**
 See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country **X**

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes ☐ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ☐	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No If "Yes," list the years N/A	2a	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A	2b	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. N/A		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☒ Yes ☐ No		
b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)	3b	X
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☒ Yes ☐ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

Organizations relying on a current notice regarding disaster assistance check here

☐

5b

X

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

☒ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870.

6b

X

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 15		0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

0

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
J&J MANAGEMENT SERVICES, INC - 1034 S. BRENTWOOD BLVD, SUITE 1860, ST LOUIS, MO	FINANCIAL ADMINISTRATIVE SERVI	0.
MERCER	FINANCIAL SERVICES	0.

Total number of others receiving over \$50,000 for professional services

0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
3 All other program-related investments. See instructions.	
Total. Add lines 1 through 3	0.

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Part X**Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	488,442,689.
b	Average of monthly cash balances	1b	12,152,418.
c	Fair market value of all other assets	1c	22,289.
d	Total (add lines 1a, b, and c)	1d	500,617,396.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	500,617,396.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	7,509,261.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	493,108,135.
6	Minimum investment return. Enter 5% of line 5	6	24,655,407.

Part XI**Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	24,655,407.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	245,846.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	54,870.
c	Add lines 2a and 2b	2c	300,716.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	24,354,691.
4	Recoveries of amounts treated as qualifying distributions	4	1,044,986.
5	Add lines 3 and 4	5	25,399,677.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	25,399,677.

Part XII**Qualifying Distributions** (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	29,291,772.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	29,291,772.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	245,846.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	29,045,926.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				25,399,677.
2 Undistributed income, if any, as of the end of 2013:				
a Enter amount for 2012 only			6,221,960.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$ 29,291,772.				
a Applied to 2012, but not more than line 2a			6,221,960.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				23,069,812.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				2,329,865.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

N/A

- 1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling

- b** Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
FROM SCHEDULE'S K-1				696.
SEE ATTACHED STATEMENT				27,803,379.
Total			3a	27,804,075.
b Approved for future payment				
SEE ATTACHED STATEMENT				64,887,775.
Total			3b	64,887,775.

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

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash		X
	(2) Other assets		X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization		X
	(2) Purchases of assets from a noncharitable exempt organization		X
	(3) Rental of facilities, equipment, or other assets		X
	(4) Reimbursement arrangements		X
	(5) Loans or loan guarantees		X
	(6) Performance of services or membership or fundraising solicitations		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees		X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, this return is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Sign Here  11/14/2014 

Signature of officer or trustee Date Title

☒ May the IRS discuss this return with the preparer shown below (see instr. 7)? ☐ Yes ☐ No

Paid Preparer Use Only	Print/Type preparer's name JOSEPH P. DRISH	Preparer's signature 	Date 11/13/14	Check ☐ if self-employed	PTIN P00964962
	Firm's name ▶ J. & J. MANAGEMENT SERVICES, INC.			Firm's EIN ▶ 43-1725668	
	Firm's address ▶ 1034 S. BRENTWOOD SUITE 1860 ST. LOUIS, MO 63117-1229			Phone no. (314) 862-1040	

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As of 31 December 2013

Form 990-PF, Part XV, Line 3.a.

Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 7/12/2013 Paid 7/29/2013	220020264T	Northwestern University Rubloff Building 750 North Lake Shore Drive, 7th Floor Chicago, Illinois 60611-3008	Predicting and controlling glioma recurrence The role of heterogeneity and microenvironment	\$530,000 00	21st Century Science Initiative-Brain Cancer/BC Collaborative
Total 21st Century Science Initiative-Brain Cancer/BC Collaborative					<u>\$530,000.00</u>
Paid Scheduled 9/20/2013 Paid 9/17/2013	220020202	University of California-San Diego MC 0934 9500 Gilman Drive La Jolla, California 92093	Mechanisms of sensitivity to PDGFR inhibitors in human gliomas	\$90,616 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020201	Cleveland Clinic Office of Sponsored Research and Projects, Finance 9500 Euclid Avenue, JLN5 Cleveland, Ohio 44195	Microenvironmental reprogramming of glioma cells	\$90,000 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020244T	Northwestern University Rubloff Building 750 North Lake Shore Drive, 7th Floor Chicago, Illinois 60611-3008	Mechanisms and inhibition of anti-angiogenic therapy-induced glioma invasion	\$89,999 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020245	Massachusetts General Hospital Research Management 50 Staniford Street, Suite 1001 Boston, Massachusetts 02114-2554	Evaluating novel stem cell based therapies for brain tumors	\$112,068 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 10/11/2013	220020251	Virginia Commonwealth University P O Box 980234	Analyzing the role of Astrocyte Elevated Gene-1(AEG-1) in malignant	\$90,000 00	21st Century Science Initiative-Brain Cancer/BC

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid 10/28/2013		Physical address BioTech One, Suite 113 800 East Leigh Street Richmond, Virginia 23298-0568	glioma		Research
Paid Scheduled 12/6/2013 Paid 12/20/2013	220020278	Memorial Sloan-Kettering Cancer Center 1275 York Avenue Box 701 New York, New York 10065	Genotype focused EGFR targeting in glioblastoma	\$150,000 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 12/6/2013 Paid 12/20/2013	220020295	Northwestern University Rubloff Building 750 North Lake Shore Drive, 7th Floor Chicago, Illinois 60611-3008	The Bc12L12-microRNA-182 axis in glioblastoma	\$80,821 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020296	University of Geneva (Université de Genève) 8242 CMU, 1 rue Michel Servet, CH-1211, Geneva 4 Switzerland	Targeting glioblastoma stemness	\$114,420 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020317	Texas Children's Cancer Center Baylor College of Medicine Office of Research, One Baylor Plaza MS BCM 310 Houston, Texas 77030-3411	Improving EphA2-targeted T-cell therapy for glioma	\$150,000 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020320	Columbia University Office of Grants & Contracts, P&S 2-241 630 West 168th Street, Mailbox 49 New York, New York 10032	Phase II clinical trial of Penfosine + Temsirolimus for recurrent glioblastoma with tissue and imaging correlates of response	\$149,720 00	21st Century Science Initiative-Brain Cancer/BC Research

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 10/25/2013 Paid 10/28/2013	220020298 01	German Cancer Research Center [Deutsches Krebsforschungszentrum (DKFZ)] Im Neuenheimer Feld 280 D-69120 Heidelberg Germany	Use of cerebrospinal fluid genetics for the diagnosis, subgrouping, and minimal residual disease monitoring in medulloblastoma	\$154,836 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020319	Ludwig Institute for Cancer Research Ltd 9500 Gilman Drive, MC-0660 CMM-East, Room 3041 La Jolla, California 92093-0600	EGFR inhibitor resistance in glioblastoma Deciphering the role of FGFR-mediated PTEN phosphorylation	\$111,911 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020316	University of California-San Francisco Office of Sponsored Research Contracts and Grants 3333 California Street, Suite 315 San Francisco, California 94118	Proteoglycans as novel biomarkers and therapeutic targets in glioblastoma	\$134,063 00	21st Century Science Initiative-Brain Cancer/BC Research
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020318	University of Texas M D Anderson Cancer Center Office of Sponsored Programs Mid-Campus Building 1 (1MC7 2272), Unit 1676 1515 Holcombe Blvd Houston, Texas 77030	Regulation of PKM2 in glioblastoma development	\$90,000 00	21st Century Science Initiative-Brain Cancer/BC Research
Total 21st Century Science Initiative-Brain Cancer/BC Research				<u>\$1,608,454.00</u>	

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 4/12/2013 Paid 3/21/2013	220020148T	New York University School of Medicine, Sponsored Programs 550 First Avenue Greenberg Hall, SC1-81 New York, New York 10016	Neuronal mechanisms of episodic memory	\$100,000.00	21st Century Science Initiative-Bridging Brain, Mind & Behavior/BMB Scholar
Paid Scheduled 12/16/2013 Paid 12/16/2013	220020148T	New York University School of Medicine, Sponsored Programs 550 First Avenue Greenberg Hall, SC1-81 New York, New York 10016	Neuronal mechanisms of episodic memory	\$30,817.48	21st Century Science Initiative-Bridging Brain, Mind & Behavior/BMB Scholar
Total 21st Century Science Initiative-Bridging Brain, Mind & Behavior/BMB Scholar				\$130,817.48	
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020306	Harvard Medical School Sponsored Programs Administration Gordon Hall, Suite 509 25 Shattuck Street Boston, Massachusetts 02115	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000.00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020307	Princeton University Office of Research and Project Administration 4th Floor, New South Building P O Box 36 Princeton, New Jersey 08544-0036	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000.00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 4/26/2013 Paid 3/21/2013	220020311	Northeastern University Research Administration and Finance 960 RP, 360 Huntington Avenue Boston, Massachusetts 02115-5000	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020313	Memorial Sloan-Kettering Cancer Center 1275 York Avenue Box 701 New York, New York 10065	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020314	Princeton University Office of Research and Project Administration 4th Floor, New South Building P O Box 36 Princeton, New Jersey 08544-0036	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020340	Massachusetts Institute of Technology Office of Sponsored Programs NE18-901 77 Massachusetts Avenue Cambridge, Massachusetts 02139-4307	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020350	University of Colorado at Boulder Office of Contracts and Grants 3100 Marine Street, Room 479 Boulder, Colorado 80303-1058	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 1/18/2013	220020353	University of Alabama at Birmingham Office of Grants and Contracts Admin	In support of the postdoctoral fellow's salary, fringe benefits and research	\$100,000 00	21st Century Science Initiative-Postdoctoral

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid 1/24/2013		UAB Station Birmingham, AL 35294-0111	plan		Program in Complexity Science/CS Fellowship
Paid Scheduled 3/8/2013 Paid 3/21/2013	220020354	University of Pennsylvania Office of Research Administration 133 South 36th Street, Mezzanine Mellon Bank Building Philadelphia, Pennsylvania 19104-3246	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 3/15/2013 Paid 3/21/2013	220020355	University of Michigan-Ann Arbor Office of Research & Sponsored Projects 1054 Wolverine Tower - 3003 S State St Ann Arbor, Michigan 48109-1274	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 2/15/2013 Paid 2/14/2013	220020356	Harvard Medical School Sponsored Programs Administration Gordon Hall, Suite 509 25 Shattuck Street Boston, Massachusetts 02115	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 5/10/2013 Paid 6/3/2013	220020359	New York University Sponsored Programs Accounting 726 Broadway-9th Floor New York, New York 10003	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 5/24/2013 Paid 6/3/2013	220020362	Harvard University Office for Sponsored Programs 1350 Massachusetts Ave , Holyoke Center Suite 600 Cambridge, Massachusetts 02138-3800	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000 00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 10/18/2013 Paid 10/28/2013	220020377	Mount Sinai School of Medicine Sponsored Programs One Gustave L. Levy Place Icahn School of Medicine at Mount Sinai New York, New York 10029	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000.00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020378	Harvard Medical School Sponsored Programs Administration Gordon Hall, Suite 509 25 Shattuck Street Boston, Massachusetts 02115	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000.00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Paid Scheduled 12/6/2013 Paid 12/20/2013	220020381	Stanford University Office of Sponsored Research 651 Serra Street, Suite 260 Stanford, California 94305-4125	In support of the postdoctoral fellow's salary, fringe benefits and research plan	\$100,000.00	21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship
Total 21st Century Science Initiative-Postdoctoral Program in Complexity Science/CS Fellowship				<u>\$1,600,000.00</u>	
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020268	Missouri Botanical Garden P O Box 299 St Louis, Missouri 63166-0299	Checklist of the plants of India	\$64,209.00	21st Century Science Initiative-Special Initiative/Plant Science
Total 21st Century Science Initiative-Special Initiative/Plant Science				<u>\$64,209.00</u>	
Paid Scheduled 11/1/2013 Paid 12/10/2013	220020321	Emory University Office of Sponsored Programs 1784 N Decatur Rd Suite 510	In search of simplicity Coarse-graining cellular information processing networks	\$112,500.00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 12/27/2013 Paid 12/20/2013	220020322	Atlanta, Georgia 30322 Harvard Medical School Sponsored Programs Administration Gordon Hall, Suite 509 25 Shattuck Street Boston, Massachusetts 02115	Poverty traps and the ecology of economic development	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 8/9/2013 Paid 8/26/2013	220020323	Johns Hopkins University 600 North Wolfe Street Houck Building, First Floor Baltimore, Maryland 21205	Decoding complex animal behavior via sparsity	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020324	University of Cape Town Private Bag, Rondebosch 7701 Research Contracts & Intellectual Property Services, Department of Research & Innovation 2 Rhodes Ave Cnr Main Road Mowbray 7700 UCT South Africa	Complexity, networks, and spatial resilience in social-ecological systems	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020326	University of California-Los Angeles Office of Contract & Grant Administration 10920 Wilshire Blvd, Suite 211 Los Angeles, California 90024-1406	Uncovering mechanisms of diversity maintenance The interplay between abiotic environmental variation and non-linear biotic interactions	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020327	University of Guelph Office of Research Room 437 University Centre Guelph, Ontario, Canada N1G 2W1	Coupled human-environment system dynamics and alternative stable states in complex mosaic ecosystems	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020364	Case Western Reserve University Office of Foundation Relations 10900 Euclid Avenue Cleveland, OH 44106-7035	Alternative stable states and stochasticity in ecological dynamics	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020363	Universitat de Barcelona (University of Barcelona) International Research Projects Office Parc Cientific Torre D, 4a planta Baldri Reixac 4-8 08028 Barcelona Spain	Mapping complexity Embedding networks in hidden metric spaces	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 7/12/2013 Paid 7/29/2013	220020365	California Institute of Technology 1200 East California Blvd Mail Code 201-15 Pasadena, California 91125	Evolving diversity with few parts	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020366	Carnegie Mellon University Office of Sponsored Research 5000 Forbes Avenue, HBH 3000 Pittsburgh, Pennsylvania 15213	Exploring similarities of network based information processing in biology and computer systems	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 7/12/2013 Paid 7/29/2013	220020367	Tulane University 6823 St Charles Avenue New Orleans, Louisiana 70118-5698	Migratory networks: Exploring the dynamics of complex migration systems	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar
Paid Scheduled 7/12/2013 Paid 7/29/2013	220020368	The Ohio State University 1960 Kenny Road Columbus, Ohio 43210	Synchronization of spontaneous activity in the cardiac pacemaker	\$112,500 00	21st Century Science Initiative-Studying Complex Systems/CS-Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
<i>Total 21st Century Science Initiative-Studying Complex Systems/CS-Scholar</i>					
				<u>\$1,350,000.00</u>	
Paid	220020152TT	New York Academy of Medicine 1216 Fifth Avenue New York, New York 10029	Cognitive Complexity in Critical Care	\$942,838 00	21st Century Science Initiative-Studying Complex Systems/SCS Collaborative
Scheduled 1/11/2013					
Paid 1/24/2013					
<i>Total 21st Century Science Initiative-Studying Complex Systems/SCS Collaborative</i>					
				<u>\$942,838.00</u>	
Paid	220020172	University of Michigan-Ann Arbor Office of Research & Sponsored Projects 1054 Wolverine Tower - 3003 S State St Ann Arbor, Michigan 48109-1274	Interactions in pattern forming systems Bridging the gap between laboratory and large scale open systems	\$44,365 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Scheduled 7/19/2013					
Paid 7/29/2013					
Paid	220020192	Princeton University Office of Research and Project Administration 4th Floor, New South Building P O Box 36 Princeton, New Jersey 08544-0036	Allometry of parasites and food-webs	\$94,424 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Scheduled 9/13/2013					
Paid 9/17/2013					
Paid	220020194	University of California-Merced Sponsored Projects Office 5200 North Lake Road, KL, Room 222N Merced, California 95343	Biological transport in complex and dynamic environments	\$62,544 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Scheduled 9/6/2013					
Paid 9/17/2013					
Paid	220020198	McMaster University Office of Research Services	Exploring how infectious diseases, beliefs, and behaviors interact on a	\$113,166 00	21st Century Science Initiative-Studying Complex
Scheduled 9/13/2013					

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid 9/17/2013		Gilmour Hall 3rd Fl, Ste 305 1280 Main Street West Hamilton, Ontario, Canada L8S 4L8	social network		Systems/SCS Research
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020221	The Hebrew University of Jerusalem Authority for Research and Development 2 Keren Hayesod St, Terra Sancta Bldg Jerusalem 91904 Israel	The physics of rupture from the laboratory scale to the scale of our planet	\$90,000 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020225	Harvard University Office for Sponsored Programs 1350 Massachusetts Ave, Holyoke Center Suite 600 Cambridge, Massachusetts 02138-3800	The evolutionary dynamics and population genetics of selection in asexual populations	\$87,694 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 6/7/2013 Paid 6/3/2013	220020226	Beth Israel Deaconess Medical Center Research and Academic Affairs, Stoneman 8M 330 Brookline Avenue Boston, Massachusetts 02215	Exploring the multiscale world of biological dynamics From concepts to computational tools	\$80,663 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled: 9/13/2013 Paid 9/17/2013	220020227	The University of British Columbia Office of Research Services #102 - 6190 Agronomy Road Vancouver, British Columbia V6T 1Z3 Canada	Evolution to the edge of chaos - multilevel selection and life history evolution in metapopulations	\$51,948 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 12/16/2013 Paid. 12/16/2013	220020229	The University at Albany University Administration Bldg, Rm 226 1400 Washington Avenue Albany, New York 12222	Understanding the implications of a self-organized traffic grid	\$104,262 00	21st Century Science Initiative-Studying Complex Systems/SCS Research

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 8/16/2013 Paid 8/26/2013	220020231	University of Chicago Assistant Vice President 970 E 58th Street Chicago, Illinois 60637	Bacteria test theories of biodiversity	\$168,426 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 8/9/2013 Paid 8/26/2013	220020224	Yale University Grant & Contract Financial Administration 47 College Street, Suite 216 New Haven, Connecticut 06520-8047	Shaping individual diversity for collective success	\$134,072 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020269	University of North Carolina at Chapel Hill Office of Sponsored Research 104 Airport Drive, Suite 2200, CB #1350 Chapel Hill, North Carolina 27599-1350	Modeling population-environment interactions in a world heritage site Comparison of statistical and agent based modeling approaches to study complex systems	\$70,792 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020270	H Lee Moffitt Cancer Center & Research Institute 12902 Magnolia Drive, SRB 4 Tampa, Florida 33612-9497	Cancer therapy Perturbing a complex adaptive system	\$152,292 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 10/4/2013 Paid 10/28/2013	220020271	Georgia Tech Office of Sponsored Programs 505 Tenth Street N W Contract Administration Atlanta, Georgia 30318	Design of an intelligent material	\$113,812 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 12/16/2013 Paid 12/17/2013	220020274	Indiana University Foundation P O Box 66057 Indianapolis, Indiana 46266-6057	Contagion of ideas in online social networks	\$114,379 00	21st Century Science Initiative-Studying Complex Systems/SCS Research

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 12/16/2013 Paid 12/17/2013	220020275	New York University Sponsored Programs Accounting 726 Broadway-9th Floor New York, New York 10003	Mapping the microbial survival toolbox Using dynamic age distributions to infer the behavior of individuals within populations	\$104,608 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020276	University of Missouri-St. Louis Office of Research Administration 341 Woods Hall One University Boulevard St. Louis, Missouri 63121-4400	Complex dynamics, phase transitions, and scaling in an evolutionary model	\$60,320 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020277	University of Connecticut Office for Sponsored Programs 438 Whitney Road Extension, Unit 1133 Storrs, Connecticut 06269-1133	Does evolution affect the assembly dynamics of biological communities?	\$114,009 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020273	University of North Carolina at Chapel Hill Office of Sponsored Research 104 Airport Drive, Suite 2200, CB #1350 Chapel Hill, North Carolina 27599-1350	Synchronization of polar climate variability over the last ice age In search of simple rules at the heart of climate's complexity	\$89,660 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020294	National Center for Scientific Research (CNRS) (Centre National de la Recherche Scientifique) Institut des Sciences de l'Evolution Universite Montpellier II UMR 5554, CC065, Place E Bataillon 34095 Montpellier Cedex 5, France	Coevolution across scales	\$78,066 00	21st Century Science Initiative-Studying Complex Systems/SCS Research
Total 21st Century Science Initiative-Studying Complex Systems/SCS				\$1,929,502.00	

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
<i>Research</i>					
Paid Scheduled 1/11/2013 Paid 1/24/2013	220020256	Washington University Office of the Chancellor One Brookings Drive Campus Box 1192 St Louis, Missouri 63130	Communities and criticality in brain networks across development and in ADHD	\$397,487 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 5/10/2013 Paid 6/3/2013	220020345	University of Michigan-Ann Arbor Office of Research & Sponsored Projects 1054 Wolverine Tower - 3003 S State St Ann Arbor, Michigan 48109-1274	Reconstructing consciousness and cognition	\$298,193 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 1/11/2013 Paid 1/24/2013	220020255	Rotman Research Institute - Baycrest Centre for Geriatric Care Grants Coordinator-Financial Services 3560 Bathurst Street North York, Ontario, M6A 2E1 Canada	Brain Network Recovery Group (Brain NRG) Phase II	\$1,445,224 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 6/7/2013 Paid 6/28/2013	220020156 01	Weill Medical College of Cornell University Research & Sponsored Programs 1300 York Avenue, Box 89 New York, New York 10065	A collaborative study of recovery of consciousness after severe brain injury-Phase II	\$1,219,993 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020156 01	Weill Medical College of Cornell University Research & Sponsored Programs 1300 York Avenue, Box 89 New York, New York 10065	A collaborative study of recovery of consciousness after severe brain injury-Phase II	\$1,231,515 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative

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Paid Scheduled 6/7/2013 Paid 6/3/2013	220020213 01	Bangor University Registrar's Office College Road Bangor, Gwynedd LL57 2DG United Kingdom	Renewed support for The Visceral Mind A hands-on course in the neuroanatomy of cognition, 2014 - 2016	\$76,776 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020213 01	Bangor University Registrar's Office College Road Bangor, Gwynedd LL57 2DG United Kingdom	Renewed support for The Visceral Mind A hands-on course in the neuroanatomy of cognition, 2014 - 2016	\$73,314 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020347 01	University of Oxford Joint Research Office Block 60, Churchill Hospital Old Road Headington, OX3 7LE United Kingdom	Support for workshop on "Brain rhythms in cognition instrumental or epiphenomenal?"	\$50,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020255 01	Rotman Research Institute - Baycrest Centre for Geriatric Care Grants Coordinator-Financial Services 3560 Bathurst Street North York, Ontario, M6A 2E1 Canada	Brain Network Recovery Group (Brain NRG) Phase III	\$410,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative
Total 21st Century Science Initiative-Understanding Human Cognition/UHC Collaborative				<u>\$5,202,502.00</u>	
Paid Scheduled 10/11/2013	220020161	Carnegie Mellon University Office of Sponsored Research	Integrating causal cognition, concepts and decision-making	\$98,032 00	21st Century Science Initiative-Understanding

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid 10/28/2013		5000 Forbes Avenue, HBH 3000 Pittsburgh, Pennsylvania 15213			Human Cognition/UHC Scholar
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020162	Carnegie Mellon University Office of Sponsored Research 5000 Forbes Avenue, HBH 3000 Pittsburgh, Pennsylvania 15213	Theoretical methodology for using fMRI to understand complex cognition	\$102,110 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020164	Duke University Office of Research Administration 2200 West Main Street Suite 820, Erwin Square Plaza Durham, North Carolina 27705	Developmental and evolutionary foundations of mathematical cognition	\$102,400 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020163	Weizmann Institute (Friends of the) 633 Third Avenue New York, New York 10017	From percept to molecule Human olfactory cognition as a key to the neurobiology of olfaction	\$200,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 11/8/2013 Paid 12/10/2013	220020165	Yale University Grant & Contract Financial Administration 47 College Street, Suite 216 New Haven, Connecticut 06520-8047	Evolutionary specializations and development of the human frontal cortex	\$82,412 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020240	University College London Office of Planning and Resources Gower Street London WC1E 6BT England (United Kingdom)	Development of human spatial cognition	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020252	Stanford University	Compositionality in probabilistic	\$150,000 00	21st Century Science

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Scheduled 10/18/2013 Paid 10/28/2013		Office of Sponsored Research 651 Serra Street, Suite 260 Stanford, California 94305-4125	models of cognition		Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 8/16/2013 Paid 8/26/2013	220020234	University of Illinois Office of Sponsored Programs and Research Administration 1901 S First Street, Suite A Champaign, IL 61820-7406	Cognitive and neural mechanisms of meaning comprehension	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/6/2013 Paid 12/20/2013	220020238	Princeton University Office of Research and Project Administration 4th Floor, New South Building, P O Box 36 Princeton, New Jersey 08544-0036	Vocal communication emerges and evolves through coupled oscillations	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 8/9/2013 Paid 8/26/2013	220020241	University of California-Davis 1850 Research Park Drive, Suite 300 Davis, California 95618	Building blocks of episodic memory Insight from typical and atypical development	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020239T	University of Bristol Senate House, Tyndall Avenue England (United Kingdom)	How is sensory information encoded in spike trains?	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020233	Karolinska Institute Grants Office SE 171 77 Stockholm, Sweden	Multisensory mechanism of body ownership and the projection of ownership onto artificial bodies	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020235	INSERM-French National Institute for	Spatial awareness normality.	\$150,000 00	21st Century Science

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Scheduled 10/11/2013 Paid 10/28/2013		Health and Medical Research Unit 864 Espace & Action Delegation Regionale Rhone-Alpes, Auvergne Centre Hospitalier du Vinatier 95, Boulevard Pinel 69675 Bron Cedex - France	pathology and rehabilitation		Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020232	Federal University of Rio de Janeiro (Universidade Federal do Rio de Janeiro) Av Pedro Calmon, No 550 Predio da Reitoria - Sala 820 Cidade Universitaria Rio de Janeiro - CEP 21941-901 Brazil	The human brain in numbers Comparative quantitative studies of the cellular composition of the nervous system of humans and other mammals to investigate the morphological bases of our cognitive advantage	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 9/6/2013 Paid 9/17/2013	220020300	University of Rochester Office of Research & Project Administration 517 Hylan Hall Rochester, New York 14627	Progress in understanding voluntary action	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020289	University of Cambridge Research Operations Office 16 Mill Lane Cambridge CB2 1SB United Kingdom	Progress in understanding voluntary action	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 8/16/2013 Paid 8/26/2013	220020293	George Washington University 2125 G. Street, NW Washington, DC 20052	Discovering the evolved human brain phenotype	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020290	Brown University	Emergent complexity in human	\$150,000 00	21st Century Science

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Scheduled 10/4/2013 Paid 10/28/2013		Office of Research Administration Box 1929, Angell Street Providence, RI 02912	development Evidence from process-oriented investigations of attention and memory		Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 9/6/2013 Paid 9/17/2013	220020280	University of California-San Diego 9500 Gilman Drive, MC 0934 La Jolla, California 92093	Encoding abstract concepts in language	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 9/6/2013 Paid 9/17/2013	220020281	University of California-Berkeley Sponsored Projects Office 336 Sproul Hall Berkeley, California 94720-5940	Relational reasoning Neural mechanisms, development, and plasticity	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/11/2013 Paid 10/28/2013	220020279	University of California-Los Angeles Office of Contract & Grant Administration 10920 Wilshire Blvd , Suite 211 Los Angeles, California 90024-1406	Cognitive processing and awareness at the lower boundaries of consciousness Insights from the vegetative and minimally conscious states	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/2/2013 Paid 12/20/2013	220020283	University College London Office of Planning and Resources Gower Street London WC1E 6BT England (United Kingdom)	How does the brain learn movement? Bridging the gap between behavioral processes and functional imaging signals	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 2/15/2013 Paid 2/14/2013 Voided by Payment [3507]	220020284	The Hebrew University of Jerusalem Authority for Research and Development 2 Keren Hayesod St , Terra Sancta Bldg Jerusalem 91904 Israel	The brain as a flexible, sensory-modality-independent task machine From basic research to visual rehabilitation	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020285	University College London Office of Planning and Resources Gower Street London WC1E 6BT England (United Kingdom)	Navigational guidance systems in the human brain	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/14/2013 Paid 10/28/2013	220020287	University of Illinois Office of Sponsored Programs and Research Administration 1901 S First Street, Suite A, M/C 685 Champaign, IL 61820-7406	Understanding language Prosody and cognition	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/7/2013 Paid 10/28/2013	220020291	New York University Sponsored Programs Accounting 726 Broadway-9th Floor New York, New York 10003	Dissecting learning Combining experimental and computational approaches	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020292	University of Leipzig (Universitat Leipzig) Medical Faculty, LiebigstraÙe 27 04103 Leipzig, Germany	Function, dysfunction and repair of language networks	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC
Paid Scheduled 10/18/2013 Paid 10/28/2013	220020333	University of Cambridge Research Operations Office 16 Mill Lane Cambridge CB2 1SB United Kingdom	Getting a grip on the subjective experience of remembering	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 10/18/2013 Paid 10/28/2013	220020329	University of California-San Diego MC 0934 9500 Gilman Drive La Jolla, California 92093	Linking attentional modulations in human visual cortex with perception and behavior	\$150,000.00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled: 9/13/2013 Paid 9/17/2013	220020331	Massachusetts Institute of Technology Office of Sponsored Programs NE18-901, 77 Massachusetts Avenue Cambridge, Massachusetts 02139-4307	The computational basis of human audition Representation, recognition, and segregation	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020332	Brown University Office of Research Administration Box 1929, Angell Street Providence, RI 02912	Foundations of goal-directed behavior Neural and cognitive processes supporting cognitive control	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 11/15/2013 Paid 12/10/2013	220020335	École Normale Supérieure Direction Generale des Services 45 Rue d'Ulm - F-75230 Paris, Cedex 05 France	Causal inference with spiking neurons	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled: 10/11/2013 Paid 10/28/2013	220020330	University of Oxford Joint Research Office Block 60, Churchill Hospital Old Road Headington, OX3 7LE United Kingdom	Effects of attention disorders on developing cognition Mechanisms and plasticity	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled: 12/13/2013 Paid 12/20/2013	220020328	Radboud University Nijmegen Donders Institute for Brain, Cognition and Behaviour Montessorilaan 3 6525 EN Nijmegen The Netherlands	Understanding motivation and cognition Combining psychology and neuropharmacology	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Void	220020284	The Hebrew University of Jerusalem	The brain as a flexible,	-\$150,000 00	21st Century Science

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Scheduled 2/28/2013 Paid 2/28/2013 Reissued as Payment [3506]		Authority for Research and Development 2 Keren Hayesod St , Terra Sancta Bldg Jerusalem 91904 Israel	sensory-modality-independent task machine From basic research to visual rehabilitation		Initiative-Understanding Human Cognition/UHC Scholar
Void	220020284	The Hebrew University of Jerusalem	The brain as a flexible,	-\$150,000 00	21st Century Science
Scheduled 2/28/2013 Paid 2/28/2013 Reissued as Payment [3508]		Authority for Research and Development 2 Keren Hayesod St , Terra Sancta Bldg Jerusalem 91904 Israel	sensory-modality-independent task machine From basic research to visual rehabilitation		Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020284	The Hebrew University of Jerusalem	The brain as a flexible,	\$150,000 00	21st Century Science
Scheduled 3/8/2013 Paid 3/21/2013		Authority for Research and Development 2 Keren Hayesod St , Terra Sancta Bldg Jerusalem 91904 Israel	sensory-modality-independent task machine From basic research to visual rehabilitation		Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020376	University of Toronto U S & International Programs 12 Queen's Park Crescent West, 3rd Floor Toronto, Ontario M5S 1S8 Canada	Seeing is remembering Probing the common representations underlying memory and perception	\$150,000 00	21st Century Science
Paid	220020375	University of California-San Diego 9500 Gilman Drive, MC 0934 La Jolla, California 92093	A stopping circuit for human self control	\$150,000 00	Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020373	Radboud University Nijmegen Donders Institute for Brain, Cognition and Behaviour Montessorilaan 3	Priors in perception How foreknowledge changes neural computations	\$150,000 00	21st Century Science
Scheduled. 9/13/2013 Paid 9/17/2013					Initiative-Understanding Human Cognition/UHC Scholar

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled: 7/12/2013 Paid 7/29/2013	220020371	6525 EN Nijmegen, The Netherlands Williams College Provost's Office Hopkins Hall 880 Main Street Williamstown, Massachusetts 01267	Improving self-regulated learning	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 12/13/2013 Paid 12/20/2013	220020370	University of Cambridge Research Operations Office 16 Mill Lane Cambridge CB2 1SB, United Kingdom	Cognitive and emotional background of mathematical development. The role of working memory and executive attention to context	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled. 8/9/2013 Paid 8/26/2013	220020374	University of Edinburgh External Engagement Charles Stewart House 9-16 Chambers Street Edinburgh EH1 1HT United Kingdom	Understanding synergies in language acquisition through computational modeling	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 9/13/2013 Paid 9/17/2013	220020372	University of Oxford Joint Research Office Block 60, Churchill Hospital, Old Road Headington, OX3 7LE United Kingdom	Cortical mechanisms underlying human behavioural control	\$150,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid Scheduled 8/9/2013 Paid 8/26/2013	220020367	University of Chicago Assistant Vice President 970 E 58th Street Chicago, Illinois 60637	How experience shapes the mind Roles of language, culture, and body	\$188,481 02	21st Century Science Initiative-Understanding Human Cognition/UHC Scholar
Paid	220020369	Universita degli Studi di Milano	Consciousness and brain complexity	\$150,000 00	21st Century Science

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Scheduled. 11/8/2013 Paid 12/10/2013		Divisione Servizi per la Ricerca Ufficio Auditing e Consulenza Contabile Progetti Via Festa del Perdono, 7 20122 Milano, Italy	From theory to practice		Initiative-Understanding Human Cognition/UHC Scholar
<i>Total 21st Century Science Initiative-Understanding Human Cognition/UHC Scholar</i>				<u>\$6,023,435.02</u>	
Paid Scheduled 8/9/2013 Paid 8/26/2013	220020199	Rockefeller University 1230 York Avenue New York, New York 10065	Computational models of recurrent cortical networks	\$71,450 00	21st Century Science Initiative-Understanding Human Cognition/UHC Special Initiative
Paid Scheduled 6/14/2013 Paid 7/30/2013	220020360	Ceibal Center for Educational Support of Children and Adolescents-Plan Ceibal Centro Ceibal para el Apoyo a la Educacion de la Ninez y la Adolescencia Av Italia 6201, edificio Los Ceibos CP 11600 Montevideo, Uruguay	In support of the 2014 (Fourth) Latin American School for Neuroscience, Cognition, and Education to be held March 10 - 22, 2014 in Punta del Este, Uruguay	\$250,000 00	21st Century Science Initiative-Understanding Human Cognition/UHC Special Initiative
<i>Total 21st Century Science Initiative-Understanding Human Cognition/UHC Special Initiative</i>				<u>\$321,450.00</u>	
Paid Scheduled 5/10/2013 Paid 5/17/2013	220020217	The JSM Charitable Trust 1034 South Brentwood Blvd Suite 1860 St Louis, Missouri 63117-1218	Operating Fund	\$3,516,171 29	Special Interests/JSMF Transfers to JSMCT

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Status/Date	Request ID	Request Payee Organization	Request Project Title	Amount	Program Area
Paid Scheduled 11/8/2013 Paid 12/16/2013	220020217	The JSM Charitable Trust 1034 South Brentwood Blvd Suite 1860 St Louis, Missouri 63117-1218	Operating Fund	\$4,584,000 00	Special Interests/JSMF Transfers to JSMCT
<i>Total Special Interests/JSMF Transfers to JSMCT</i>				<u>\$8,100,171.29</u>	
Grand Totals				<u><u>\$27,803,378.79</u></u>	

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Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<u>21st Century Science Initiative-Brain Cancer</u>							
Columbia University \$449,148.00 <i>Phase II clinical trial of Perfosine + Temozolimus for recurrent glioblastoma with tissue and imaging correlates of response</i>	\$298,121.00	\$0.00	\$151,027.00	\$0.00	\$0.00	\$0.00	\$0.00
Duke University \$450,000.00 <i>Role of IDH1/2 mutations in cell metabolism, differentiation and gliomagenesis</i>	\$300,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
German Cancer Research Center [Deutsches Krebsforschungszentrum (DKFZ)] \$441,462.00 <i>Use of cerebrospinal fluid genetics for the diagnosis, subgrouping, and minimal residual disease monitoring in medulloblastoma</i>	\$314,226.00	\$127,236.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Ludwig Institute for Cancer Research Ltd.	\$223,822.00	\$111,511.00	\$111,511.00	\$0.00	\$0.00	\$0.00	\$0.00

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Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
\$446,844.00 <i>EGFR inhibitor resistance in glioblastoma: Deciphering the role of FGFR-mediated PTEN phosphorylation</i>							
Northwestern University \$450,000.00 <i>Mechanisms and inhibition of anti-angiogenic therapy-induced glioma invasion</i>	\$353,045.13	\$96,954.87	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Northwestern University \$1,590,000.00 <i>Predicting and controlling glioma recurrence The role of heterogeneity and microenvironment</i>	\$1,030,428.32	\$559,571.68	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Northwestern University \$450,000.00 <i>The Bc12L12-microRNA-182 axis in glioblastoma</i>	\$233,986.00	\$106,850.00	\$109,164.00	\$0.00	\$0.00	\$0.00	\$0.00
Texas Children's Cancer Center \$450,000.00 <i>Improving EphA2-targeted T-cell therapy for glioma</i>	\$300,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of California-San Francisco \$450,000.00	\$308,063.00	\$0.00	\$141,937.00	\$0.00	\$0.00	\$0.00	\$0.00

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Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>Proteoglycans as novel biomarkers and therapeutic targets in glioblastoma</i>							
University of Geneva (Université de Genève) \$449,680.00	\$339,260.00	\$110,420.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Targeting glioblastoma stemness</i>							
University of Texas M.D. Anderson Cancer Center \$450,000.00	\$180,000.00	\$90,000.00	\$90,000.00	\$90,000.00	\$0.00	\$0.00	\$0.00
<i>Regulation of PKM2 in glioblastoma development</i>							
Virginia Commonwealth University \$450,000.00	\$360,000.00	\$90,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Analyzing the role of Astrocyte Elevated Gene-1 (AEG-1) in malignant glioma</i>							
Total 21st Century Science Initiative-Brain Cancer	\$4,240,951.45	\$1,592,543.55	\$603,639.00	\$90,000.00	\$0.00	\$0.00	\$0.00
<u>21st Century Science Initiative-Cognitive Rehabilitation</u>							
Johns Hopkins University \$1,811,464.00	\$0.00	\$0.00	\$907,943.00	\$903,521.00	\$0.00	\$0.00	\$0.00

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Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>Tracking and altering the time course of spontaneous biological recovery after stroke Phase II</i>							
Total 21st Century Science Initiative- Cognitive Rehabilitation	\$0.00	\$0.00	\$907,943.00	\$903,521.00	\$0.00	\$0.00	\$0.00
<u>21st Century Science Initiative-Postdoctoral Program in Complexity Science</u>							
Harvard Medical School \$200,000.00 <i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Harvard Medical School \$200,000.00 <i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Harvard Medical School \$200,000.00 <i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>	\$100,000.00	\$0.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00
Mount Sinai School of Medicine \$200,000.00 <i>In support of the postdoctoral</i>	\$100,000.00	\$0.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>fellow's salary, fringe benefits and research plan</i>							
New York University \$200,000.00	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>							
University of Michigan-Ann Arbor \$200,000.00	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>							
Stanford University \$200,000.00	\$100,000.00	\$0.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>							
University of Alabama at Birmingham \$200,000.00	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In support of the postdoctoral fellow's salary, fringe benefits and research plan</i>							
University of Pennsylvania \$200,000.00	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In support of the postdoctoral</i>							

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>fellow's salary, fringe benefits and research plan</i>							
Total 21st Century Science Initiative-Postdoctoral Program in Complexity Science	\$900,000.00	\$600,000.00	\$300,000.00	\$0.00	\$0.00	\$0.00	\$0.00
<u>21st Century Science Initiative-Studying Complex Systems</u>							
California Institute of Technology \$450,000.00	\$112,500.00	\$112,500.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00
<i>Evolving diversity with few parts</i>							
Carnegie Mellon University \$450,000.00	\$112,500.00	\$168,750.00	\$168,750.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Exploring similarities of network-based information processing in biology and computer systems</i>							
Case Western Reserve University \$450,000.00	\$112,500.00	\$0.00	\$112,500.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00
<i>Alternative stable states and stochasticity in ecological dynamics</i>							
Emory University \$450,000.00	\$225,000.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>In search of simplicity</i>							

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>Coarse-graining cellular information processing networks</i>							
Georgia Tech \$449,879.00	\$333,215.00	\$116,664.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Design of an intelligent material</i>							
Harvard Medical School \$449,113.00	\$373,493.00	\$75,620.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>The evolutionary dynamics and population genetics of selection in asexual populations</i>							
Harvard Medical School \$450,000.00	\$225,000.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Poverty traps and the ecology of economic development</i>							
The Hebrew University of Jerusalem \$450,000.00	\$360,000.00	\$90,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>The physics of rupture: from the laboratory scale to the scale of our planet</i>							
Indiana University Foundation \$450,000.00	\$331,419.00	\$0.00	\$118,581.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Contagion of ideas in online social networks</i>							

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
Johns Hopkins University \$450,000.00 <i>Decoding complex animal behavior via sparsity</i>	\$225,000.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00	\$0.00
National Center for Scientific Research (CNRS) (Centre National de la Recherche Scientifique) \$446,780.00 <i>Coevolution across scales</i>	\$215,390.00	\$0.00	\$76,200.00	\$77,124.00	\$78,066.00	\$0.00	\$0.00
New York Academy of Medicine \$4,724,573.00 <i>Cognitive Complexity in Critical Care</i>	\$4,177,190.18	\$547,382.82	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
New York University \$444,669.00 <i>Mapping the microbial survival toolbox Using dynamic age distributions to infer the behavior of individuals within populations</i>	\$368,283.00	\$0.00	\$76,386.00	\$0.00	\$0.00	\$0.00	\$0.00
The Ohio State University \$450,000.00 <i>Synchronization of spontaneous activity in the cardiac pacemaker</i>	\$112,500.00	\$112,500.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
Tulane University \$450,000.00 <i>Migratory networks Exploring the dynamics of complex migration systems</i>	\$112,500.00	\$112,500.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00
Universitat de Barcelona (University of Barcelona) \$450,000.00 <i>Mapping complexity: Embedding networks in hidden metric spaces</i>	\$112,500.00	\$112,500.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00
The University at Albany \$378,375.00 <i>Understanding the implications of a self-organized traffic grid</i>	\$316,525.00	\$0.00	\$61,850.00	\$0.00	\$0.00	\$0.00	\$0.00
University of California-Los Angeles \$450,000.00 <i>Uncovering mechanisms of diversity maintenance: The interplay between abiotic environmental variation and non-linear biotic interactions</i>	\$225,000.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Cape Town \$450,000.00 <i>Complexity, networks, and spatial resilience in</i>	\$225,000.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>social-ecological systems</i>							
University of Connecticut \$449,851.00 <i>Does evolution affect the assembly dynamics of biological communities?</i>	\$314,321.00	\$0.00	\$66,081.00	\$69,449.00	\$0.00	\$0.00	\$0.00
University of Guelph \$450,000.00 <i>Coupled human-environment system dynamics and alternative stable states in complex mosaic ecosystems</i>	\$225,000.00	\$0.00	\$112,500.00	\$112,500.00	\$0.00	\$0.00	\$0.00
University of North Carolina at Chapel Hill \$410,810.00 <i>Modeling population-environment interactions in a world heritage site: Comparison of statistical and agent based modeling approaches to study complex systems</i>	\$329,483.00	\$81,327.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of North Carolina at Chapel Hill \$400,340.00 <i>Synchronization of polar climate variability over the last ice age: In search of simple rules at the heart of climate's</i>	\$310,680.00	\$89,660.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>complexity</i>							
Total 21st Century Science Initiative-Studying Complex Systems	\$9,454,999.18	\$2,181,903.82	\$1,805,348.00	\$821,573.00	\$190,566.00	\$0.00	\$0.00
21st Century Science Initiative-Understanding Human Cognition							
Bangor University \$225,000.00 <i>Renewed support for The Visceral Mind: A hands-on course in the neuroanatomy of cognition, 2014 – 2016</i>	\$150,090.00	\$0.00	\$74,910.00	\$0.00	\$0.00	\$0.00	\$0.00
Brown University \$600,000.00 <i>Emergent complexity in human development: Evidence from process-oriented investigations of attention and memory</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Brown University \$600,000.00 <i>Foundations of goal-directed behavior Neural and cognitive processes supporting cognitive control</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
Carnegie Mellon University \$600,000.00 <i>Theoretical methodology for using fMRI to understand</i>	\$500,024.00	\$99,976.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>complex cognition</i>							
École Normale Supérieure \$600,000.00	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Causal inference with spiking neurons</i>							
George Washington University \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Discovering the evolved human brain phenotype</i>							
The Hebrew University of Jerusalem \$600,000.00	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>The brain as a flexible, sensory-modality-independent task machine. From basic research to visual rehabilitation</i>							
Karolinska Institute \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Multisensory mechanism of body ownership and the projection of ownership onto artificial bodies</i>							
Massachusetts Institute of Technology \$600,000.00	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>The computational basis of human audition. Representation, recognition, and segregation New York University \$600,000.00</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Dissecting learning: Combining experimental and computational approaches Princeton University \$600,000.00</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Vocal communication emerges and evolves through coupled oscillations Radboud University Nijmegen \$600,000.00</i>	\$300,000.00	\$0.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
<i>Understanding motivation and cognition: Combining psychology and neuropharmacology Radboud University Nijmegen \$600,000.00</i>	\$150,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
<i>Priors in perception: How foreknowledge changes neural computations University of Michigan-Ann Arbor \$530,195.00</i>	\$298,193.00	\$232,002.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>Reconstructing consciousness and cognition</i>							
Rockefeller University \$362,728.00	\$293,628.00	\$69,100.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Computational models of recurrent cortical networks</i>							
Rotman Research Institute - Baycrest Centre for Geriatric Care \$820,000.00	\$410,000.00	\$0.00	\$0.00	\$410,000.00	\$0.00	\$0.00	\$0.00
<i>Brain Network Recovery Group (Brain NRG) Phase III</i>							
Universita degli Studi di Milano \$600,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
<i>Consciousness and brain complexity. From theory to practice</i>							
Durham University \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Development of human spatial cognition</i>							
University College London \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>How does the brain learn</i>							

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>movement? Bridging the gap between behavioral processes and functional imaging signals</i>							
University College London \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Navigational guidance systems in the human brain</i>							
University of Bristol \$600,000.00	\$444,600.00	\$155,400.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>How is sensory information encoded in spike trains?</i>							
University of California-Berkeley \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Relational reasoning Neural mechanisms, development, and plasticity</i>							
University of California-Los Angeles \$600,000.00	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<i>Cognitive processing and awareness at the lower boundaries of consciousness Insights from the vegetative and minimally conscious states</i>							

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
University of California-San Diego \$600,000.00 <i>Encoding abstract concepts in language</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of California-San Diego \$600,000.00 <i>Linking attentional modulations in human visual cortex with perception and behavior</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of California-San Diego \$600,000.00 <i>A stopping circuit for human self control</i>	\$150,000.00	\$0.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00
University of Cambridge \$600,000.00 <i>Progress in understanding voluntary action</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Cambridge \$600,000.00 <i>Getting a grip on the subjective experience of remembering</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Cambridge \$600,000.00 <i>Cognitive and emotional background of mathematical</i>	\$150,000.00	\$0.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
<i>development. The role of working memory and executive attention to context</i>							
University of Chicago \$600,000.00 <i>How experience shapes the mind Roles of language, culture, and body</i>	\$450,000.00	\$0.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Edinburgh \$600,000.00 <i>Understanding synergies in language acquisition through computational modeling</i>	\$150,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
University of Illinois \$600,000.00 <i>Cognitive and neural mechanisms of meaning comprehension</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Illinois \$600,000.00 <i>Understanding language Prosody and cognition</i>	\$450,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Leipzig (Universitat Leipzig) \$600,000.00 <i>Function, dysfunction and repair of language networks</i>	\$450,000.00	\$0.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
University of Oxford \$600,000.00 <i>Effects of attention disorders on developing cognition Mechanisms and plasticity</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Oxford \$100,000.00 <i>Support for workshop on "Brain rhythms in cognition. instrumental or epiphenomenal?"</i>	\$50,000.00	\$50,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Oxford \$600,000.00 <i>Cortical mechanisms underlying human behavioural control</i>	\$150,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
University of Rochester \$600,000.00 <i>The origins and organization of numerical information in the mind and brain</i>	\$300,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00	\$0.00
University of Toronto \$600,000.00 <i>Seeing is remembering: Probing the common representations underlying memory and perception</i>	\$150,000.00	\$0.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	2016	2017	2018	Remaining Balance
Weill Medical College of Cornell University \$5,028,733.00 <i>A collaborative study of recovery of consciousness after severe brain injury-Phase II</i>	\$2,451,508.00	\$0.00	\$1,266,436.00	\$1,310,789.00	\$0.00	\$0.00	\$0.00
Williams College \$600,000.00 <i>Improving self-regulated learning</i>	\$150,000.00	\$150,000.00	\$150,000.00	\$150,000.00	\$0.00	\$0.00	\$0.00
Total 21st Century Science Initiative-Understanding Human Cognition	\$15,548,043.00	\$4,656,478.00	\$4,341,346.00	\$3,070,789.00	\$450,000.00	\$0.00	\$0.00
Special Interests							
University of California-Los Angeles \$1,000,000.00 <i>Human Genetics in the Twenty-First Century</i>	\$714,334.71	\$285,665.29	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
The JSM Charitable Trust Operating Fund	\$27,178,104.01	\$7,795,000.00	\$7,520,000.00	\$7,285,000.00	\$6,925,000.00	\$5,950,000.00	\$4,622,878.00
Total Special Interests	\$27,892,438.72	\$8,005,665.29	\$7,495,000.00	\$7,260,000.00	\$6,900,000.00	\$5,950,000.00	\$4,622,878.00

James S. McDonnell Foundation Grant Commitment Schedule (6 years) - by Program Area

As of 12/31/2013

Form 990 PF, Part XV, Line 3.b.

Organization Grant Amount	Total Paid	2014	2015	Scheduled Payments 2016	2017	2018	Remaining Balance
Grand Total	\$61,036,432.35	\$17,036,590.66	\$17,920,378.00	\$11,642,362.00	\$7,715,566.00	\$5,950,000.00	\$4,622,878.00

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	BANK OF AMERICA ST SALES	P	VARIOUS	VARIOUS
b	BANK OF AMERICA LT SALES	P	VARIOUS	VARIOUS
c	600 SHS LAREDO PETE HLDGS INC	P	VARIOUS	VARIOUS
d	PRISA LP GAIN ON TRANSFER	P	12/31/10	01/01/13
e	DFA MICRO CAP	P	VARIOUS	VARIOUS
f	SOCIETE GENERALE	P	VARIOUS	VARIOUS
g	FROM K-1 BC EUROPEAN CAPITAL IX-4 LP	P	VARIOUS	VARIOUS
h	FROM K-1 BC EUROPEAN CAPITAL IX-4 LP	P	VARIOUS	VARIOUS
i	FROM K-1 BERKSHIRE MULTIFAMILY VALUE FUND II, LP	P	VARIOUS	VARIOUS
j	FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, LP (SER	P	VARIOUS	VARIOUS
k	FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, LP (SER	P	VARIOUS	VARIOUS
l	FROM K-1 THE COLCHESTER GLOBAL BOND FUND	P	VARIOUS	VARIOUS
m	FROM K-1 THE COLCHESTER GLOBAL BOND FUND	P	VARIOUS	VARIOUS
n	FROM K-1 CORNERSTONE REAL ESTATE FUND VIII, LP	P	VARIOUS	VARIOUS
o	FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS,	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 17,808,122.		17,773,326.	34,796.
b 47,723,790.		46,483,298.	1,240,492.
c 12,216.		7,134.	5,082.
d 508,065.			508,065.
e 16,486.			16,486.
f 307,517.			307,517.
g 232.			232.
h		19.	<19.>
i 3,060,006.			3,060,006.
j 3,099.			3,099.
k		48,657.	<48,657.>
l		11,829.	<11,829.>
m 111,583.			111,583.
n 144,905.			144,905.
o 73,068.			73,068.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			34,796.
b			1,240,492.
c			5,082.
d			508,065.
e			16,486.
f			307,517.
g			232.
h			<19.>
i			3,060,006.
j			3,099.
k			<48,657.>
l			<11,829.>
m			111,583.
n			144,905.
o			73,068.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter "-0-" in Part I, line 7 }

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c).
If (loss), enter "-0-" in Part I, line 8

2

3



Bank of America Private Wealth Management

CUST JAMES S MCDONNELL FDN

Proceeds From Broker Transactions

We have adjusted tax costs for amortization of premium paid for the acquisition of municipal bonds through date of sale and for non-taxable dividends. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. However, we have not made adjustments to the cost basis of all partnerships.

If applicable, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss. However, we have not made adjustments to the cost basis of all partnerships.

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
UNITED STATES TREAS NT	UNIT13	912828MT4	300000	02/28/12	01/03/13	\$300,750.00	\$300,682.90	\$67.10
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	14423.15	07/19/12	01/31/13	\$14,423.15	\$15,152.63	\$-729.48
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	27475.93	06/06/12	01/31/13	\$27,475.93	\$28,550.92	\$-1,074.99
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	5599.74	12/18/12	01/31/13	\$5,599.74	\$5,847.02	\$-247.28
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	6640.72	07/19/12	02/28/13	\$6,640.72	\$6,976.59	\$-335.87
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	43697.36	06/06/12	02/28/13	\$43,697.36	\$45,407.00	\$-1,709.64
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	3317.68	12/18/12	02/28/13	\$3,317.68	\$3,464.19	\$-146.51
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	5307.82	12/18/12	03/31/13	\$5,307.82	\$5,542.22	\$-234.40
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	12443.42	07/19/12	03/31/13	\$12,443.42	\$13,072.78	\$-629.36
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	26461.27	06/06/12	03/31/13	\$26,461.27	\$27,496.56	\$-1,035.29
VANGUARD SHORT TERM BD INDEX F VBSS X	921937850		282220.13	03/01/13	04/29/13	\$3,000,000.00	\$3,000,000.00	\$0.00
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	4126.96	12/18/12	04/30/13	\$4,126.96	\$4,309.21	\$-182.25
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	3778.06	07/19/12	04/30/13	\$3,778.06	\$3,969.15	\$-191.09
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	17692.38	06/06/12	04/30/13	\$17,692.38	\$18,384.59	\$-692.21
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	14102.44	07/19/12	05/31/13	\$14,102.44	\$14,815.71	\$-713.27
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	29744.43	06/06/12	05/31/13	\$29,744.43	\$30,908.17	\$-1,163.74
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	9663.28	12/18/12	05/31/13	\$9,663.28	\$10,090.01	\$-426.73
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	7812.07	12/18/12	06/30/13	\$7,812.07	\$8,157.05	\$-344.98



Bank of America Private Wealth Management

2013 Tax Information Letter

Account Number [REDACTED]

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CUST JAMES S MCDONNELL FDN

Short term transactions

This category includes sales of assets held 12 months or less.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	12781.93	07/19/12	06/30/13	\$12,781.93	\$13,428.41	\$-646.48
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	5404.62	12/18/12	07/31/13	\$5,404.62	\$5,643.29	\$-238.67
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	5665.38	12/18/12	08/31/13	\$5,665.38	\$5,915.56	\$-250.18
UNITED STATES TREAS NT	UNIT13	912828RN2	225000	11/14/12	09/17/13	\$225,070.32	\$225,014.22	\$56.10
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	4242.54	12/18/12	09/30/13	\$4,242.54	\$4,429.89	\$-187.35
UNITED STATES TREAS NT	UNIT13	912828RN2	575000	11/14/12	10/08/13	\$574,977.54	\$575,019.00	\$-41.46
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	4700.21	12/18/12	10/31/13	\$4,700.21	\$4,907.77	\$-207.56
UNITED STATES TREAS NT	UNIT14	912828KJ8	900000	04/30/13	11/22/13	\$905,062.50	\$905,144.99	\$-82.49
UNITED STATES TREAS NT	UNIT14	912828RB8	2000000	07/17/13	11/22/13	\$2,005,234.38	\$2,005,129.48	\$104.90
UNITED STATES TREAS NT	UNIT14	912828SR2	1000000	10/08/13	11/22/13	\$1,000,585.94	\$1,000,365.57	\$220.37
UNITED STATES TREAS NT	UNIT14	912828RB8	550000	09/09/13	11/22/13	\$551,439.45	\$551,398.63	\$40.82
UNITED STATES TREAS NT	UNIT14	912828QH6	125000	03/18/13	11/22/13	\$125,322.26	\$125,314.63	\$7.63
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	4271.92	12/18/12	11/30/13	\$4,271.92	\$4,460.57	\$-188.65
VANGUARD SHORT TERM BD INDEX F VBSS X	921937850		763358.78	08/28/13	12/11/13	\$8,045,801.53	\$8,000,000.00	\$45,801.53
FEDERAL HOME LN BKS	FEDE14	313373JR4	800000	06/24/13	12/13/13	\$804,524.80	\$804,326.84	\$197.96
Total short term gain/loss from sales:						\$17,808,122.03	\$17,773,325.55	\$34,796.48

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	41882.08	10/17/11	01/31/13	\$41,882.08	\$43,478.83	\$-1,596.75
FEDERAL NATL MTG ASSN	FN3000000	31418QWMI	3214.21	05/21/10	01/31/13	\$3,214.21	\$3,376.43	\$-162.22
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	26627.48	09/01/10	01/31/13	\$26,627.48	\$28,004.62	\$-1,377.14
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	23791.83	10/17/11	02/28/13	\$23,791.83	\$24,698.89	\$-907.06
FEDERAL NATL MTG ASSN	FN3000000	31418QWMI	19386.14	05/21/10	02/28/13	\$19,386.14	\$20,364.53	\$-978.39
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	11400.7	09/01/10	02/28/13	\$11,400.70	\$11,990.33	\$-589.63
UNITED STATES TREAS NT	UNIT13	912828MT4	100000	02/28/12	03/15/13	\$100,000.00	\$100,000.00	\$0.00



Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	3636 31	05/21/10	03/31/13	\$3,636.31	\$3,819.83	\$-183.52
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	24474 37	10/17/11	03/31/13	\$24,474.37	\$25,407.46	\$-933.09
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	9042 12	09/01/10	03/31/13	\$9,042.12	\$9,509.77	\$-467.65
FEDERAL HOME LN MTG CORP	FHLM13	3137EAC16	1250000	03/06/12	04/15/13	\$1,250,000.00	\$1,250,000.00	\$0.00
WAL-MART STORES INC	WMT 18	931142C10	460000	03/18/10	04/16/13	\$560,413.40	\$498,610.68	\$61,802.72
VANGUARD GROWTH INDEX FUND	VIGI X	922908868	49627.79	04/26/10	04/29/13	\$2,000,000.00	\$1,476,426.81	\$523,573.19
UNITED STATES TREAS NT	UNIT13	912828QE3	900000	05/10/11	04/30/13	\$900,000.00	\$900,000.00	\$0.00
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	23618 44	05/21/10	04/30/13	\$23,618.44	\$24,810.43	\$-1,191.99
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	29254.61	10/17/11	04/30/13	\$29,254.61	\$30,369.94	\$-1,115.33
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	46670 02	09/01/10	04/30/13	\$46,670.02	\$49,083.73	\$-2,413.71
GMO TR INTL CORE EQUITY FUND	GMIE X	362013690	38563 43	08/24/07	05/20/13	\$1,209,349.26	\$1,587,656.54	\$-378,307.28
GMO TR INTL CORE EQUITY FUND	GMIE X	362013690	15559 24	12/27/07	05/20/13	\$487,937.83	\$628,904.54	\$-140,966.71
GMO TR INTL CORE EQUITY FUND	GMIE X	362013690	433017 59	03/13/08	05/20/13	\$13,579,431.65	\$16,000,000.00	\$-2,420,568.35
GMO TR INTL CORE EQUITY FUND	GMIE X	362013690	7800 78	07/14/08	05/20/13	\$244,632.49	\$270,219.07	\$-25,586.58
MORGAN STANLEY INSTL FD INC IN	MSIQ X	61744J408	309597 52	04/26/10	05/20/13	\$5,000,000.00	\$4,173,374.61	\$826,625.39
VANGUARD GROWTH INDEX FUND	VIGI X	922908868	202473 05	04/26/10	05/20/13	\$8,568,659.39	\$6,023,573.19	\$2,545,086.20
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	23988 1	10/17/11	05/31/13	\$23,988.10	\$24,902.65	\$-914.55
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	16011.89	09/01/10	05/31/13	\$16,011.89	\$16,840.00	\$-828.11
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	12911.88	05/21/10	05/31/13	\$12,911.88	\$13,563.53	\$-651.65
FEDERAL HOME LN BKS	FEDE13	3133XXYYX9	875000	07/13/11	06/21/13	\$875,000.00	\$875,000.00	\$0.00
UNITED STATES TREAS NT	UNIT19	912828LY4	500000	02/24/10	06/26/13	\$548,242.19	\$491,042.95	\$57,199.24
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	37103.64	05/21/10	06/30/13	\$37,103.64	\$38,976.21	\$-1,872.57
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	3069 9	09/01/10	06/30/13	\$3,069.90	\$3,228.67	\$-158.77
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	33464 2	10/17/11	06/30/13	\$33,464.20	\$34,740.02	\$-1,275.82
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	31974 21	06/06/12	06/30/13	\$31,974.21	\$33,225.19	\$-1,250.98
UNITED STATE TREAS NT	UNIT13	912828NN6	850000	10/12/10	07/15/13	\$850,000.00	\$850,000.00	\$0.00
UNITED STATE TREAS NT	UNIT13	912828NN6	1750000	01/20/11	07/15/13	\$1,750,000.00	\$1,750,000.00	\$0.00
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	12339 63	07/19/12	07/31/13	\$12,339.63	\$12,963.74	\$-624.11

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Bank of America Private Wealth Management

2013 Tax Information Letter

Account Number [REDACTED]

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CUST JAMES S MCDONNELL FDN

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	15154.73	05/21/10	07/31/13	\$15,154.73	\$15,919.57	\$-764.84
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	12531.21	06/06/12	07/31/13	\$12,531.21	\$13,021.49	\$-490.28
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	29546.02	10/17/11	07/31/13	\$29,546.02	\$30,672.46	\$-1,126.44
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	12128.78	09/01/10	07/31/13	\$12,128.78	\$12,756.07	\$-627.29
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	13361.23	10/17/11	08/31/13	\$13,361.23	\$13,870.63	\$-509.40
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	19865.53	06/06/12	08/31/13	\$19,865.53	\$20,642.76	\$-777.23
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	18708.68	05/21/10	08/31/13	\$18,708.68	\$19,652.88	\$-944.20
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	3048.48	09/01/10	08/31/13	\$3,048.48	\$3,206.14	\$-157.66
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	9324.38	07/19/12	08/31/13	\$9,324.38	\$9,795.98	\$-471.60
VERIZON COMMUNICATIONS INC NT VZ 16	92343VAC8	560000	560000	02/15/11	09/04/13	\$614,510.40	\$590,090.36	\$24,420.04
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	12977.08	06/06/12	09/30/13	\$12,977.08	\$13,484.80	\$-507.72
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	3056.37	09/01/10	09/30/13	\$3,056.37	\$3,214.44	\$-158.07
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	27235.16	05/21/10	09/30/13	\$27,235.16	\$28,609.68	\$-1,374.52
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	13202.6	10/17/11	09/30/13	\$13,202.60	\$13,705.95	\$-503.35
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	7111.85	07/19/12	09/30/13	\$7,111.85	\$7,471.55	\$-359.70
FED FARM CRED BK	FFCB13	31331GCS6	260000	03/30/09	10/07/13	\$260,000.00	\$260,000.00	\$0.00
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	2415.02	05/21/10	10/31/13	\$2,415.02	\$2,536.90	\$-121.88
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	4798.02	07/19/12	10/31/13	\$4,798.02	\$5,040.69	\$-242.67
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	3074.22	09/01/10	10/31/13	\$3,074.22	\$3,233.21	\$-158.99
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	12008.63	10/17/11	10/31/13	\$12,008.63	\$12,466.46	\$-457.83
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	13696.78	06/06/12	10/31/13	\$13,696.78	\$14,232.66	\$-535.88
UNITED STATES TREAS NT	UNIT21	912828QN3	350000	08/25/11	11/07/13	\$375,320.31	\$372,440.36	\$2,879.95
UNITED STATES TREAS NT	UNIT21	912828QN3	400000	09/27/11	11/07/13	\$428,937.50	\$433,210.40	\$-4,272.90
LIFELOCK INC	LOCK	53224V100	1323	03/14/12	11/07/13	\$20,793.35	\$23,298.00	\$-2,504.65
UNITED STATES TREAS NT	UNIT21	912828QN3	575000	06/14/11	11/07/13	\$616,597.66	\$577,186.97	\$39,410.69
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	2561.56	05/21/10	11/30/13	\$2,561.56	\$2,690.84	\$-129.28
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	9241.67	07/19/12	11/30/13	\$9,241.67	\$9,709.09	\$-467.42
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	9091.92	06/06/12	11/30/13	\$9,091.92	\$9,447.64	\$-355.72

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Bank of America Private Wealth Management

2013 Tax Information Letter

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CUST JAMES S MCDONNELL FDN

Long term transactions

This category includes sales of assets held more than 12 months.

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	7742 5	10/17/11	11/30/13	\$7,742 50	\$8,037 68	\$-295.18
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	26865.19	09/01/10	11/30/13	\$26,865 19	\$28,254 62	\$-1,389 43
ISHARES TR GOLDMAN SACHS NAT R IGE	464287374		120000	09/04/07	12/11/13	\$5,043,080 20	\$4,845,722 08	\$197,358.12
LAREDO PETE HLDGS INC	LPI	516806106	600	11/24/08	12/11/13	\$15,361 17	\$7,134 00	\$8,227 17
LAREDO PETE HLDGS INC	LPI	516806106	960	01/09/09	12/11/13	\$24,577 87	\$11,414 40	\$13,163 47
LIFELOCK INC	LOCK	53224V100	1323	01/01/51	12/11/13	\$21,452.59	\$23,298 00	\$-1,845 41
UNITED STATES TREAS NT	UNIT21	912828RC6	550000	12/21/11	12/13/13	\$538,914.06	\$557,724 31	\$-18,810.25
UNITED STATES TREAS NT	UNIT21	912828RR3	500000	09/12/12	12/13/13	\$482,675 78	\$514,477 28	\$-31,801.50
WYETH NOTES	PFE 14	983024AE0	565000	03/15/11	12/16/13	\$568,678 12	\$567,889 27	\$788 85
FEDERAL NATL MTG ASSN	FN3000000	3138EG6D1	21424 85	10/17/11	12/31/13	\$21,424 85	\$22,241 67	\$-816 82
FEDERAL NATL MTG ASSN	FN3000000	3138LVWU3	11236 76	06/06/12	12/31/13	\$11,236 76	\$11,676 39	\$-439 63
FEDERAL NATL MTG ASSN	FN3000000	31418QWM1	3592 64	05/21/10	12/31/13	\$3,592 64	\$3,773 96	\$-181 32
FEDERAL NATL MTG ASSN	FN3000000	31417D5D1	5062 68	12/18/12	12/31/13	\$5,062 68	\$5,286 25	\$-223.57
FEDERAL NATL MTG ASSN	FN3000000	31417JMX5	16444 09	09/01/10	12/31/13	\$16,444 09	\$17,294 56	\$-850.47
FEDERAL NATL MTG ASSN	FN3000000	3138M3QK3	8854 28	07/19/12	12/31/13	\$8,854 28	\$9,302 11	\$-447 83
Total long term gain/loss from sales:						\$47,723,789.89	\$46,483,297.75	\$1,240,492 14

Cost not available

Description	Symbol	Cusip	Quantity sold	Date of acquisition	Sale date	Sales price less commissions	Cost or other basis	Net gain or loss
LAREDO PETE HLDGS INC	LPI	516806106	600	LT	07/03/13	\$12,216.26	Unknown	\$5082.78
Total proceeds from transactions with missing cost basis:						\$12,216 26	7134	

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1448.5

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS,	P	VARIOUS	VARIOUS
b	FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS,	P	VARIOUS	VARIOUS
c	FROM K-1 GREAT HILL EQUITY PARTNERS IV, LP	P	VARIOUS	VARIOUS
d	FROM K-1 INSTITUTIONAL VENTURE PARTNERS, XIII LP	P	VARIOUS	VARIOUS
e	FROM K-1 INSTITUTIONAL VENTURE PARTNERS, XIII LP	P	VARIOUS	VARIOUS
f	FROM K-1 INTECH U.S. LARGE CAP GROWTH FUND, LLC	P	VARIOUS	VARIOUS
g	FROM K-1 INTECH U.S. LARGE CAP GROWTH FUND, LLC	P	VARIOUS	VARIOUS
h	FROM K-1 JP MORGAN US REAL ESTATE INCOME & GROWTH	P	VARIOUS	VARIOUS
i	FROM K-1 LIME ROCK RESOURCES II-C, LP	P	VARIOUS	VARIOUS
j	FROM K-1 LIME ROCK PARTNERS V, LP	P	VARIOUS	VARIOUS
k	FROM K-1 LIME ROCK PARTNERS V, LP	P	VARIOUS	VARIOUS
l	FROM K-1 LOVELL MINNICK EQUITY PARTNERS III-A, LP	P	VARIOUS	VARIOUS
m	FROM K-1 NEWBURY EQUITY PARTNERS LP	P	VARIOUS	VARIOUS
n	FROM K-1 NEWBURY EQUITY PARTNERS LP	P	VARIOUS	VARIOUS
o	FROM K-1 NEWBURY EQUITY PARTNERS LP- 1256	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	213,528.		213,528.
b	96.		96.
c	26,776.		26,776.
d	30,346.		30,346.
e	56,808.		56,808.
f	3,431,451.		3,431,451.
g	916,350.		916,350.
h		3,220.	<3,220.>
i	397,324.		397,324.
j	1,215.		1,215.
k		18,663.	<18,663.>
l	349,112.		349,112.
m	35,323.		35,323.
n	955,861.		955,861.
o	34.		34.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			213,528.
b			96.
c			26,776.
d			30,346.
e			56,808.
f			3,431,451.
g			916,350.
h			<3,220.>
i			397,324.
j			1,215.
k			<18,663.>
l			349,112.
m			35,323.
n			955,861.
o			34.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	P	VARIOUS	VARIOUS
b	FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	P	VARIOUS	VARIOUS
c	FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP- 125	P	VARIOUS	VARIOUS
d	FROM K-1 OAKTREE OPPORTUNITIES FUND VII AIF (DELA	P	VARIOUS	VARIOUS
e	FROM K-1 OAKTREE OPPORTUNITIES FUND VII AIF (DELA	P	VARIOUS	VARIOUS
f	FROM K-1 OAKTREE OPPORTUNITIES FUND IX, LP- 1256	P	VARIOUS	VARIOUS
g	FROM K-1 OAKTREE OPPORTUNITIES FUND IX, LP	P	VARIOUS	VARIOUS
h	FROM K-1 OCM OPPORTUNITIES FUND IV, LP	P	VARIOUS	VARIOUS
i	FROM K-1 OCM OPPORTUNITIES FUND V, LP- 1256	P	VARIOUS	VARIOUS
j	FROM K-1 OCM OPPORTUNITIES FUND V, LP	P	VARIOUS	VARIOUS
k	FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE)	P	VARIOUS	VARIOUS
l	FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE)	P	VARIOUS	VARIOUS
m	FROM K-1 OCM OPPORTUNITIES FUND VI AIF (CAYMAN),	P	VARIOUS	VARIOUS
n	FROM K-1 OCM OPPORTUNITIES FUND VI, LP	P	VARIOUS	VARIOUS
o	FROM K-1 OCM OPPORTUNITIES FUND VI, LP- 1256	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	2,968.		2,968.
b	89,245.		89,245.
c	6,761.		6,761.
d	1,627.		1,627.
e	3,626.		3,626.
f		13,468.	<13,468.>
g	298.		298.
h	2.		2.
i	15,773.		15,773.
j	3,120.		3,120.
k		647.	<647.>
l	2,877.		2,877.
m	322,568.		322,568.
n		399.	<399.>
o		17,754.	<17,754.>

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			2,968.
b			89,245.
c			6,761.
d			1,627.
e			3,626.
f			<13,468.>
g			298.
h			2.
i			15,773.
j			3,120.
k			<647.>
l			2,877.
m			322,568.
n			<399.>
o			<17,754.>

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	FROM K-1 OCM OPPORTUNITIES FUND VI, LP	P	VARIOUS	VARIOUS
b	FROM K-1 OCM OPPORTUNITIES FUND VII, LP- 1256	P	VARIOUS	VARIOUS
c	FROM K-1 OCM OPPORTUNITIES FUND VII, LP	P	VARIOUS	VARIOUS
d	FROM K-1 OCM OPPORTUNITIES FUND VII, LP	P	VARIOUS	VARIOUS
e	FROM K-1 OCM OPPORTUNITIES FUND VII AIF (DELAWARE	P	VARIOUS	VARIOUS
f	FROM K-1 OCM OPPORTUNITIES FUND VII AIF (DELAWARE	P	VARIOUS	VARIOUS
g	FROM K-1 OCM OPPORTUNITIES FUND VIIB, LP	P	VARIOUS	VARIOUS
h	FROM K-1 OCM OPPORTUNITIES FUND VIIB, LP	P	VARIOUS	VARIOUS
i	FROM K-1 OCM OPPORTUNITIES FUND VIIB, LP- 1256	P	VARIOUS	VARIOUS
j	FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF (DELAWARE	P	VARIOUS	VARIOUS
k	FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF (DELAWARE	P	VARIOUS	VARIOUS
l	FROM K-1 REALTY ASSOCIATES FUND X UTP, LP	P	VARIOUS	VARIOUS
m	FROM K-1 RESOURCE CAPITAL FUND V, LP	P	VARIOUS	VARIOUS
n	FROM K-1 RHO VENTURES V	P	VARIOUS	VARIOUS
o	FROM K-1 RHO VENTURES V	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 142,950.			142,950.
b		2,846.	<2,846.>
c 689.			689.
d 130,808.			130,808.
e		394.	<394.>
f 4,771.			4,771.
g 5,616.			5,616.
h 204,556.			204,556.
i 23,737.			23,737.
j 529.			529.
k 7,748.			7,748.
l 9,146.			9,146.
m 58,522.			58,522.
n		13,053.	<13,053.>
o		161,179.	<161,179.>

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			142,950.
b			<2,846.>
c			689.
d			130,808.
e			<394.>
f			4,771.
g			5,616.
h			204,556.
i			23,737.
j			529.
k			7,748.
l			9,146.
m			58,522.
n			<13,053.>
o			<161,179.>

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	FROM K-1 SAIF PARTNERS IV, LP	P	VARIOUS	VARIOUS
b	FROM K-1 SAIF PARTNERS IV, LP	P	VARIOUS	VARIOUS
c	FROM K-1 SAVANNA REAL ESTATE FUND II, LP	P	VARIOUS	VARIOUS
d	FROM K-1 THOMAS WEISEL ST	P	VARIOUS	VARIOUS
e	FROM K-1 THOMAS WEISEL LT	P	VARIOUS	VARIOUS
f	FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND I	P	VARIOUS	VARIOUS
g	FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND I	P	VARIOUS	VARIOUS
h	FROM K-1 VECTIS LIFE SCIENCES FUND I, LP	P	VARIOUS	VARIOUS
i	FROM K-1 VECTIS LIFE SCIENCES FUND I, LP	P	VARIOUS	VARIOUS
j	FROM K-1 VECTIS LIFE SCIENCES FUND I, LP- 1256	P	VARIOUS	VARIOUS
k	FROM K-1 WARBURG PINCUS PRIVATE EQUITY X, LP	P	VARIOUS	VARIOUS
l	FROM K-1 WARBURG PINCUS PRIVATE EQUITY X, LP	P	VARIOUS	VARIOUS
m	FROM K-1 WARBURG PINCUS PRIVATE EQUITY X (O&G) LP	P	VARIOUS	VARIOUS
n	FROM K-1 WARBURG PINCUS PRIVATE EQUITY XI LP	P	VARIOUS	VARIOUS
o	FROM K-1 WLR RECOVERY FUND V, LP- 1256	P	VARIOUS	VARIOUS

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	57,159.		57,159.
b	40,694.		40,694.
c	182,050.		182,050.
d	34,768.		34,768.
e	286,684.		286,684.
f	18,658.		18,658.
g	447,506.		447,506.
h	895.		895.
i	641,743.		641,743.
j	568.		568.
k		6,631.	<6,631.>
l	683,992.		683,992.
m	5,918.		5,918.
n		173.	<173.>
o		23,309.	<23,309.>

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			57,159.
b			40,694.
c			182,050.
d			34,768.
e			286,684.
f			18,658.
g			447,506.
h			895.
i			641,743.
j			568.
k			<6,631.>
l			683,992.
m			5,918.
n			<173.>
o			<23,309.>

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3

JAMES S. MCDONNELL FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	FROM K-1 WLR RECOVERY FUND V DSS AIV, LP	P	VARIOUS	VARIOUS
b	CAPITAL GAINS DIVIDENDS			
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 41,758.			41,758.
b 3,782,653.			3,782,653.
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			41,758.
b			3,782,653.
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	18,860,297.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
FROM K-1 ARTIMAN VENTURES III, LP	246.	246.	
FROM K-1 AVALON VENTURES X, LP	492.	492.	
FROM K-1 BC EUROPEAN CAPITAL IX-4	81.	81.	
FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, L.P. SERIES 3	5,047.	5,047.	
FROM K-1 COLCHESTER GLOBAL BOND FUND	593,624.	593,624.	
FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS, LP	194,108.	194,108.	
FROM K-1 ENCAP ENERGY CAPITAL FUND IX-C, LP	8,144.	8,144.	
FROM K-1 ENCAP ENERGY CAPITAL FUND VIII CO-INVESTORS B, LP	49,435.	49,435.	
FROM K-1 ENCAP ENERGY CAPITAL FUND VIII-B, LP	144,021.	144,021.	
FROM K-1 ENCAP FLATROCK MIDSTREAM FUND II-C, LP	21,510.	21,510.	
FROM K-1 GENSTAR CAPITAL PARTNERS VI, LP	299.	299.	
FROM K-1 GREAT HILL EQUITY PARTNERS IV, LP	6,875.	6,875.	
FROM K-1 INSTITUTIONAL VENTURE PARTNERS, XIII LP	16.	16.	
FROM K-1 INTECH US LARGE CAP GROWTH FUND, LLC	43.	43.	
FROM K-1 JP MORGAN US REAL ESTATE INCOME & GROWTH DOMESTIC, LP	1,588.	1,588.	
FROM K-1 KINETIC VENTURES IX, LP	1,822.	1,822.	
FROM K-1 LIME ROCK PARTNERS V, LP	1,732.	1,732.	
FROM K-1 LIME ROCK RESOURCES II-C LP	1,190.	1,190.	
FROM K-1 LOVELL MINNICK EQUITY PARTNERS III-A, LP	29,119.	29,119.	
FROM K-1 NEWBURY EQUITY PARTNERS, LP	100,440.	100,440.	
FROM K-1 OAKTREE OPPORTUNITIES FUND IV, LP	5,031.	5,031.	
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF (DELAWARE), LP	1,382.	1,382.	
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	43,315.	43,315.	

FROM K-1 OCM OPPORTUNITIES FUND V, LP	201.	201.
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (CAYMAN), LP	1.	1.
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE), LP	387.	387.
FROM K-1 OCM OPPORTUNITIES FUND VI, LP	10,373.	10,373.
FROM K-1 OCM OPPORTUNITIES FUND VII AIF, LP	236.	236.
FROM K-1 OCM OPPORTUNITIES FUND VII, LP	15,867.	15,867.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, LP	935.	935.
FROM K-1 OCM OPPORTUNITIES FUND VIIB, LP	117,025.	117,025.
FROM K-1 RESOURCE CAPITAL FUND V LP	8,329.	8,329.
FROM K-1 RHO VENTURES V, LP	2,402.	2,402.
FROM K-1 SAIF PARTNERS IV LP	252.	252.
FROM K-1 SAVANNA REAL ESTATE FUND II, LP	209.	209.
FROM K-1 SAYBROOK CORPORATE OPPORTUNITY FUND II, LP	14,065.	14,065.
FROM K-1 THOMAS WEISEL GLOBAL GROWTH PARTNERS IV (S), LP	69,681.	69,681.
FROM K-1 THOMPSON STREET CAPITAL PARTNERS III, LP	6,481.	6,481.
FROM K-1 TIAA-CREF ASSET MANAGEMENT CORE PROPERTY FUND, LP	28.	28.
FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND II, LP	32,883.	32,883.
FROM K-1 VECTIS LIFE SCIENCES FUND I, LP	10,463.	10,463.
FROM K-1 WARBURG PINCUS (CALLISTO) PRIVATE EQUITY XI CAYMAN LP	123.	123.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) X-B, LP	3,678.	3,678.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) XI-B, LP	787.	787.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X O&G, LP	1,831.	1,831.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X, LP	24,101.	24,101.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY XI LP	7,230.	7,230.
FROM K-1 WLR RECOVERY FUND V, LP	5.	5.
JP MORGAN INTEREST INCOME	10.	10.
TOTAL TO PART I, LINE 3	1,537,143.	1,537,143.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
AMORT. OF US T-NOTE & BONDS	<367,332.>	0.	<367,332.>	<367,332.>	
BANK OF AMERICA	2,968,357.	0.	2,968,357.	2,968,357.	
BANK OF AMERICA- CAP GAIN DIST	959,997.	959,997.	0.	0.	
BANK OF AMERICA- OID	34,149.	0.	34,149.	34,149.	
CORPORATE BOND INTEREST	1,008,569.	0.	1,008,569.	1,008,569.	
DFA MICRO CAP	3,072.	0.	3,072.	3,072.	
DOVER STREET VI CAYMAN FUND L.P. FROM K-1 AMERICAN SECURITIES	0.	0.	0.	0.	
PARTNERS VI, LP FROM K-1 BERKSHIRE MULTIFAMILY VALUE FUND II, LP	61,021.	0.	61,021.	61,021.	
FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, LP	193,263.	0.	193,263.	193,263.	
FROM K-1 COLCHESTER GLOBAL BOND FUND	60,846.	0.	60,846.	60,846.	
FROM K-1 CORNERSTONE REAL ESTATE FUND VIII, FROM K-1 DAVIDSON KEMPNER	21.	0.	21.	21.	
INSTITUTIONAL FROM K-1 GREAT HILL EQUITY PARTNERS	19,450.	0.	19,450.	19,450.	
FROM K-1 INSTITUTIONAL VENTURE PARTNERS	25,227.	0.	25,227.	25,227.	
FROM K-1 INTECH US LARGE CAP GROWTH FUND, LLC	152,219.	0.	152,219.	152,219.	
FROM K-1 JP MORGAN US REAL ESTATE INCOME & GROWTH	11,902.	0.	11,902.	11,902.	
FROM K-1 LIME ROCK PARTNERS V, LP	11,557.	0.	11,557.	11,557.	
FROM K-1 LOVELL MINNICK EQUITY PARTNERS III-A, LP	51.	0.	51.	51.	
	13,741.	0.	13,741.	13,741.	

FROM K-1 NEWBURY EQUITY PARTNERS, LP	149,310.	0.	149,310.	149,310.
FROM K-1 OAKTREE OPPORTUNITIES FUND IX AIF (CAYMAN), FROM K-1 OAKTREE OPPORTUNITIES FUND IX, LP	42.	0.	42.	42.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF	8,268.	0.	8,268.	8,268.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	4,220.	0.	4,220.	4,220.
FROM K-1 OCM OPPORTUNITIES FUND V, L.P.	48,336.	0.	48,336.	48,336.
FROM K-1 OCM OPPORTUNITIES FUND VI, LP	6,748.	0.	6,748.	6,748.
FROM K-1 OCM OPPORTUNITIES FUND VII, LP	14,835.	0.	14,835.	14,835.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, FROM K-1 OCM OPPORTUNITIES FUND VIIB, L.P.	11,249.	0.	11,249.	11,249.
FROM K-1 PRISA LP	61.	0.	61.	61.
FROM K-1 REALTY ASSOCIATES FUND X UTP, LP	215,496.	0.	215,496.	215,496.
FROM K-1 SAIF PARTNERS IV LP	106,163.	0.	106,163.	106,163.
FROM K-1 THOMAS WEISEL GLOBAL GROWTH PARTNERS IV	18,242.	0.	18,242.	18,242.
FROM K-1 TIAA-CREF ASSET MANAGEMENT CORE PROPERTY FUND	7,362.	0.	7,362.	7,362.
FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND II, FROM K-1 VECTIS LIFE SCIENCES FUND I, LP	42.	0.	42.	42.
FROM K-1 WARBURG PINCUS (GANYMEDE-II)	147,564.	0.	147,564.	147,564.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) X-B	411,991.	0.	411,991.	411,991.
	16,715.	0.	16,715.	16,715.
	4,349.	0.	4,349.	4,349.
	1.	0.	1.	1.

FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) XI-B	1.	0.	1.	1.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X (O&G) LP	5.	0.	5.	5.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY XI LP	2,414.	0.	2,414.	2,414.
FROM K-1 WARBURN PINCUS PRIVATE EQUITY X, LP	86,792.	0.	86,792.	86,792.
GMO INTL CORE EQUITY FUND III	647,513.	0.	647,513.	647,513.
GMO INTL CORE EQUITY FUND III CAP GAIN DIST	2,539,315.	2,539,315.	0.	0.
GMO QUALITY FUND III	219,011.	0.	219,011.	219,011.
GMO QUALITY FUND III CAP GAIN DIST	0.	0.	0.	0.
JP MORGAN REIT DIVIDEND	120.	0.	120.	120.
REALTY ASSOCIATES FUND IX CORPORATION	207,434.	0.	207,434.	207,434.
REALTY ASSOCIATES FUND IX CORPORATION-CAP	283,341.	283,341.	0.	0.
US TREASURY NOTE & BOND INT	591,792.	0.	591,792.	591,792.
TO PART I, LINE 4	11,042,574.	3,782,653.	7,259,921.	7,259,921.

FORM 990-PF

OTHER INCOME

STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
SOCIETE GENERALE	758,821.	758,821.	
MORGAN STANLEY	1,593.	1,593.	
FROM K-1 AVALON VENTURES X, LP	372.	372.	
FROM K-1 BC EUROPEAN CAPITAL IX-4	<1,309.>	<1,309.>	
FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, L.P. SERIES 3	76,763.	76,763.	
FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, L.P. SERIES 3	<1.>	0.	
FROM K-1 COLCHESTER GLOBAL BOND FUND	<518,853.>	<518,853.>	
FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS, LP	<47,130.>	<47,130.>	

FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS, LP- UBTI	581.	0.
FROM K-1 GREAT HILL EQUITY PARTNERS IV, LP	38.	38.
FROM K-1 KINETIC VENTURES IX, LP	<4,208.>	<4,208.>
FROM K-1 LIME ROCK RESOURCES II-C, LP	32,908.	32,908.
FROM K-1 LIME ROCK RESOURCES II-C, LP	130,147.	130,147.
FROM K-1 LIME ROCK PARTNERS V, LP	2,103.	2,103.
FROM K-1 NEWBURY EQUITY PARTNERS, LP	2,034.	2,034.
FROM K-1 NEWBURY EQUITY PARTNERS, LP- UBTI	17,713.	0.
FROM K-1 NEWBURY EQUITY PARTNERS, LP	23.	23.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	<14,521.>	<14,521.>
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP- UBTI	9,861.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF (DELAWARE), LP	<83.>	<83.>
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF (DELAWARE), LP - UBTI	6,214.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND IX, LP	<951.>	<951.>
FROM K-1 OCM OPPORTUNITIES FUND V, L.P.	<896.>	<896.>
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE), L.P.	<541.>	<541.>
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE), L.P.- UBTI	<1,316.>	0.
FROM K-1 OCM OPPORTUNITIES FUND VI, LP	6,364.	6,364.
FROM K-1 OCM OPPORTUNITIES FUND VI, LP- UBTI	<296.>	0.
FROM K-1 OCM OPPORTUNITIES FUND VII, LP	2,307.	2,307.
FROM K-1 OCM OPPORTUNITIES FUND VII AIF (DELAWARE), L.P.	<420.>	<420.>
FROM K-1 OCM OPPORTUNITIES FUND VII AIF (DELAWARE), L.P.- UBTI	<702.>	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF (CAYMAN), LP	18.	18.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, L.P.- UBTI	4,076.	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, L.P.	<3,105.>	<3,105.>
FROM K-1 OCM OPPORTUNITIES FUND VIIB, L.P.- UBTI	40,780.	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB, L.P.	<40,552.>	<40,552.>
FROM K-1 RESOURCE CAPITAL FUND V LP	4,824.	4,824.
FROM K-1 RHO VENTURES V, LP	<1.>	<1.>

FROM K-1 RIVERSIDE FUND V, LP	<80,419.>	<80,419.>
FROM K-1 SAIF PARTNERS IV LP	543.	543.
FROM K-1 SAYBROOK CORPORATE OPPORTUNITY FUND II, LP	63.	63.
FROM K-1 THOMAS WEISEL GLOBAL GROWTH PARTNERS IV (S), LP	838.	838.
FROM K-1 THOMAS WEISEL GLOBAL GROWTH PARTNERS IV (S), LP - UBTI	<667.>	0.
FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND II, LP	7,039.	7,039.
FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND II, LP - UBTI	129,646.	0.
FROM K-1 VECTIS LIFE SCIENCE FUND I, LP	172.	172.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X, LP	<752.>	<752.>
MASSACHUSETTS INSTITUTE OF TECHNOLOGY	202.	202.
TOTAL TO FORM 990-PF, PART I, LINE 11	519,320.	313,431.

FORM 990-PF	LEGAL FEES		STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
AUDIT & LEGAL	26,420.	23,580.		2,840.
TO FM 990-PF, PG 1, LN 16A	26,420.	23,580.		2,840.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FINANCIAL SERVICE FEE - J&J	247,693.	222,924.		24,769.
HAMMOND FEES	132,811.	132,811.		0.
AGENCY FEES- BANK OF AMERICA	116,544.	116,544.		0.
BANK OF AMERICA INVESTMENT EXPENSES	17,560.	17,560.		0.
TO FORM 990-PF, PG 1, LN 16C	514,608.	489,839.		24,769.

FORM 990-PF

TAXES

STATEMENT

6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EMPLOYER FICA & MEDICARE	32,594.	0.		32,594.
FOREIGN TAXES PAID - BANK OF AMERICA 595	161,149.	161,149.		0.
FOREIGN TAXES PAID - GMO INTL CORE EQUITY FUND III	16,185.	16,185.		0.
FOREIGN TAXES PAID - FROM K-1 BC EUROPEAN CAPITAL IX-4, LP	50.	50.		0.
FOREIGN TAXES PAID - FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, L.P. SERIES 3	143.	143.		0.
FOREIGN TAXES PAID - FROM K-1 COLCHESTER GLOBAL BOND FUND	4,214.	4,214.		0.
FOREIGN TAXES PAID - FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS, LP	395.	395.		0.
FOREIGN TAXES PAID - FROM K-1 GREAT HILL EQUITY PARTNERS, LP	15.	15.		0.
FOREIGN TAXES PAID - FROM K-1 INTECH US LARGE CAP GROWTH FUND, LLC	59.	59.		0.
FOREIGN TAXES PAID - FROM K-1 LIME ROCK PARTNERS V, LP	38.	38.		0.
FOREIGN TAXES PAID - FROM K-1 NEWBURY EQUITY PARTNERS, LP	771.	771.		0.
FOREIGN TAXES PAID - FROM K-1 OCM OPPORTUNITIES FUND V, LP	126.	126.		0.
FOREIGN TAXES PAID - FROM K-1 OCM OPPORTUNITIES FUND VI, L.P.	2.	2.		0.
FOREIGN TAXES PAID - FROM K-1 OCM OPPORTUNITIES FUND VII, L.P.	2.	2.		0.
FOREIGN TAXES PAID - FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, L.P.	319.	319.		0.
FOREIGN TAXES PAID - FROM K-1 OCM OPPORTUNITIES FUND VIIB, L.P.	395.	395.		0.
FOREIGN TAXES PAID - FROM K-1 SAIF PARTNERS IV LP	4.	4.		0.

FOREIGN TAXES PAID - FROM
K-1 WARBURG PINCUS PRIVATE
EQUITY X, LP

2,709.

2,709.

0.

TO FORM 990-PF, PG 1, LN 18

219,170.

186,576.

32,594.

FORM 990-PF

OTHER EXPENSES

STATEMENT

7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
COMPUTER EQUIPMENT	6,698.	0.		6,698.
EQUIPMENT MAINTENANCE & RENTAL	9,814.	0.		9,814.
FROM K-1 AMERICAN SECURITIES PARTNERS VI, LP	38,772.	38,772.		0.
FROM K-1 ARTIMAN VENTURES III, LP	18,970.	18,970.		0.
FROM K-1 AVALON VENTURES X, LP	48,669.	48,669.		0.
FROM K-1 BC EUROPEAN CAPITAL IX-4	30,396.	30,396.		0.
FROM K-1 BERKSHIRE MULTIFAMILY VALUE FUND II, LP	2,070.	2,070.		0.
FROM K-1 CERBERUS INSTITUTIONAL PARTNERS, L.P. SERIES 3	17,435.	17,435.		0.
FROM K-1 COLCHESTER GLOBAL BOND FUND	99,448.	99,448.		0.
FROM K-1 CORNERSTONE REAL ESTATE FUND VIII, LP	947.	947.		0.
FROM K-1 DAVIDSON KEMPNER INSTITUTIONAL PARTNERS, LP	130,774.	130,774.		0.
FROM K-1 ENCAP ENERGY CAPITAL FUND VIII-B, LP	683.	683.		0.
FROM K-1 ENCAP ENERGY CAPITAL FUND VIII CO-INVESTORS B, LP	207.	207.		0.
FROM K-1 ENCAP ENERGY CAPITAL FUND IX-C, LP	57.	57.		0.
FROM K-1 ENCAP FLATROCK MIDSTREAM FUND II-C, LP	419.	419.		0.
FROM K-1 GENSTAR CAPITAL PARTNERS VI, LP	48,845.	48,845.		0.
FROM K-1 GENSTAR CAPITAL PARTNERS VI, LP- UBTI	844.	0.		0.
FROM K-1 GREAT HILL EQUITY PARTNERS IV, LP	101,995.	101,995.		0.
FROM K-1 INSTITUTIONAL VENTURE PARTNERS, XIII LP	25,490.	25,490.		0.

FROM K-1 INTECH U.S. LARGE CAP GROWTH FUND, LLC	46,405.	46,405.	0.
FROM K-1 JP MORGAN US REAL ESTATE INCOME & GROWTH DOMESTIC, LP	8,955.	8,955.	0.
FROM K-1 KINETIC VENTURES IX, LP	23,569.	23,569.	0.
FROM K-1 LIME ROCK PARTNERS V, LP	40,432.	40,432.	0.
FROM K-1 LIME ROCK RESOURCES II-C, LP	176,666.	176,666.	0.
FROM K-1 LOVELL MINNICK EQUITY PARTNERS III-A, LP	62,164.	62,164.	0.
FROM K-1 NEWBURY EQUITY PARTNERS, LP	410,177.	410,177.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII, LP	19,307.	19,307.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF (DELAWARE), LP	6,010.	6,010.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND VIII AIF (CAYMAN), LP	172.	172.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND IX, LP	9,924.	9,924.	0.
FROM K-1 OAKTREE OPPORTUNITIES FUND IX AIF (CAYMAN), LP	14.	14.	0.
FROM K-1 OCM OPPORTUNITIES FUND IV, LP	49.	49.	0.
FROM K-1 OCM OPPORTUNITIES FUND V, LP	7,609.	7,609.	0.
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (DELAWARE), LP	1,358.	1,358.	0.
FROM K-1 OCM OPPORTUNITIES FUND VI AIF (CAYMAN), LP	1,951.	1,951.	0.
FROM K-1 OCM OPPORTUNITIES FUND VI, LP	20,815.	20,815.	0.
FROM K-1 OCM OPPORTUNITIES FUND VII AIF, LP	17,027.	17,027.	0.
FROM K-1 OCM OPPORTUNITIES FUND VII AIF, LP (DELAWARE)	922.	922.	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF CAYMAN, LP	1,918.	1,918.	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB AIF DELAWARE, LP	2,701.	2,701.	0.
FROM K-1 OCM OPPORTUNITIES FUND VIIB, LP	62,855.	62,855.	0.
FROM K-1 PRISA LP	240.	240.	0.
FROM K-1 REALTY ASSOCIATES FUND X UTP, LP	19.	19.	0.
FROM K-1 RESOURCE CAPITAL FUND V LP	11,627.	11,627.	0.
FROM K-1 RHO VENTURES V, LP	47,374.	47,374.	0.

FROM K-1 RIVERSIDE FUND V, LP	3,154.	3,154.	0.
FROM K-1 SAVANNA REAL ESTATE FUND II, LP	13,648.	13,648.	0.
FROM K-1 SAIF PARTNERS IV LP	41,103.	41,103.	0.
FROM K-1 SAYBROOK CORPORATE OPPORTUNITY FUND II, LP	42,455.	42,455.	0.
FROM K-1 SENTINEL CAPITAL PARTNERS V, LP	60.	60.	0.
FROM K-1 SILVER LAKE PARTNERS IV, LP	18,152.	18,152.	0.
FROM K-1 THOMAS WEISEL GLOBAL GROWTH PARTNERS IV (S), LP	55,159.	55,159.	0.
FROM K-1 THOMPSON STREET CAPITAL PARTNERS III, LP	31,343.	31,343.	0.
FROM K-1 TIAA-CREF ASSET MANAGEMENT CORE PROPERTY FUND, LP	117,941.	117,941.	0.
FROM K-1 VECTIS HEALTHCARE & LIFE SCIENCES FUND II, LP	396,753.	396,753.	0.
FROM K-1 VECTIS LIFE SCIENCES FUND I	216,470.	216,470.	0.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X, LP	121,765.	121,765.	0.
FROM K-1 WARBURG PINCUS (GANYMEDE-II) PRIVATE EQUITY X, LP	5,743.	5,743.	0.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY X O&G, LP	3,599.	3,599.	0.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) X-B, LP	85.	85.	0.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY XI, LP	27,664.	27,664.	0.
FROM K-1 WARBURG PINCUS (CALLISTO) PRIVATE EQUITY XI CAYMAN LP	220.	220.	0.
FROM K-1 WARBURG PINCUS PRIVATE EQUITY (E&P) XI-B, LP	<30.>	<30.>	0.
FROM K-1 WLR RECOVERY FUND V, LP	45,179.	45,179.	0.
FROM K-1 WLR RECOVERY FUND V DSS AIV, LP	263.	263.	0.
INSURANCE	29,967.	0.	29,967.
MEDICAL INSURANCE	137,293.	0.	137,293.
MISCELLANEOUS EXPENSE	759.	0.	759.
OFFICE AND COMPUTER SUPPLIES	2,061.	0.	2,061.
POSTAGE	541.	0.	541.
PROGRAM ADMINISTRATION	247,709.	0.	247,709.
PROGRAM HONORARIUMS	140,000.	0.	140,000.
SUBSCRIPTIONS, BOOKS, PROF. MEMBERSHIPS	3,666.	0.	3,666.
TELEPHONE EXPENSE	2,204.	0.	2,204.
TO FORM 990-PF, PG 1, LN 23	3,267,719.	2,686,163.	580,712.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	8
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DESCRIPTION	AMOUNT
RECOVERY OF AMOUNTS TREATED AS QUALIFYING DISTRIBUTIONS	1,044,986.
TOTAL TO FORM 990-PF, PART III, LINE 3	1,044,986.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	9
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DESCRIPTION	AMOUNT
ADJUSTMENT FROM FAIR MARKET VALUE TO BOOK VALUE	5,520,072.
TOTAL TO FORM 990-PF, PART III, LINE 5	5,520,072.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	10
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
TREASURY NOTES AND BONDS	X		3,650,746.	4,867,807.
TOTAL U.S. GOVERNMENT OBLIGATIONS			3,650,746.	4,867,807.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			3,650,746.	4,867,807.

FORM 990-PF	CORPORATE STOCK	STATEMENT	11
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
DIMENSIONAL FUND ADVISORS SMALL CO. FUND	130,198.	390,955.
TOTAL TO FORM 990-PF, PART II, LINE 10B	130,198.	390,955.

FORM 990-PF	CORPORATE BONDS	STATEMENT 12
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
BANK OF AMERICA SHORT-TERM BOND FUND	43,124,701.	43,736,292.
TOTAL TO FORM 990-PF, PART II, LINE 10C	43,124,701.	43,736,292.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT 13
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ABERDEEN EMERGING MARKETS INSTL FUND	COST	13,000,000.	13,000,000.
GMO TR INTL CORE EQUITY FUND	COST	0.	0.
GMO US QUALITY EQUITY FUND III	COST	23,176,433.	26,645,120.
JENSEN FUND I	COST	15,587,344.	22,459,568.
MORGAN STANLEY INTL EQUITY	COST	20,826,625.	26,234,132.
VAN ECK GLOBAL HARD ASSETS FUND	COST	11,776,878.	11,450,407.
VANGUARD EMERGING MARKETS STOCK INDEX FUND	COST	22,000,000.	19,732,980.
VANGUARD GROWTH INDEX FUND	COST	0.	0.
ISHARES TR S&P GSSI NAT RES FD	COST	6,083,585.	6,551,890.
PIMCO ALL ASSET FUND	COST	5,913,621.	5,807,849.
DODGE & COX INTL STOCK FUND	COST	17,000,000.	18,646,279.
FIRST EAGLE OVERSEAS FUND	COST	8,000,000.	7,849,687.
NUANCE COMMUNICATIONS INC	COST	111,011.	191,520.
MARKETO INC	COST	3,497.	19,462.
VANGUARD INSTL INDEX FUND	COST	20,000,000.	22,686,876.
TOTAL TO FORM 990-PF, PART II, LINE 13		163,478,994.	181,275,770.

FORM 990-PF	OTHER ASSETS	STATEMENT 14
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DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
AMERICAN SECURITIES CAPITAL PARTNERS VI	743,885.	684,455.	935,302.
ANCHORAGE CAPITAL PARTNERS OFFSHORE LTD.	2,000,000.	2,000,000.	1,613,496.
ANCHORAGE SHORT CREDIT OFFSHORE FUND LTD	4,500,000.	4,500,000.	3,699,394.
ARTIMAN VENTURES III, LP	291,540.	478,318.	478,724.

AURELIUS CAPITAL INTERNATIONAL, LTD	6,000,000.	6,000,000.	7,632,928.
AVALON VENTURES X, LP	121,729.	333,923.	337,989.
BC EUROPEAN CAPITAL IX	663,421.	880,753.	1,120,519.
BENSELL US FEEDER III, LP	1,468,878.	2,272,921.	2,548,427.
BERKSHIRE MULTIFAMILY VALUE FUND II, LP	22,800,952.	20,304,593.	24,527,721.
CERBERUS INSTITUTIONAL PARTNERS, L.P.-SERIES 3	1,167,404.	804,591.	621,719.
CERBERUS INSTITUTIONAL PARTNERS, L.P.-SERIES 4	4,228,362.	3,112,956.	3,106,035.
COLCHESTER GLOBAL BOND FUND	16,288,658.	16,260,094.	16,433,305.
CORNERSTONE REAL ESTATE FUND VIII	766,389.	1,442,754.	1,588,448.
DAVIDSON KEMPNER INSTITUTIONAL PARTNERS LP	7,667,083.	7,978,623.	8,729,955.
DOVER STREET VI	3,261,023.	2,725,523.	3,010,625.
ELLIOT INTERNATIONAL	12,000,000.	12,000,000.	20,259,312.
ENCAP ENERGY CAPITAL FUND VIII-B, LP	1,459,017.	2,406,965.	2,368,947.
ENCAP ENERGY CAPITAL FUND VIII			
CO-INVESTORS B LP	382,198.	877,892.	909,380.
ENCAP ENERGY CAPITAL FUND IX-C, LP	0.	266,583.	234,014.
ENCAP FLATROCK MIDSTREAM FUND II-C LP	111,799.	476,170.	420,825.
FORTRESS MACRO OFFSHORE FUND LP	3,500,000.	3,500,000.	4,881,150.
GENSTAR CAPITAL PARTNERS VI, LP	254,231.	280,357.	351,711.
GREAT HILL EQUITY PARTNERS IV, LP	2,059,378.	2,778,281.	3,206,183.
HOPLITE OFFSHORE FUND, LTD	5,000,000.	5,000,000.	6,493,824.
INSTITUTIONAL VENTURE PARTNERS, XIII, LP	727,875.	749,332.	947,145.
INTECH RISK MANAGED LARGE CAP GROWTH FUND, LLC	16,296,923.	0.	0.
JAT CAPITAL OFFSHORE LTD	5,000,000.	5,000,000.	5,302,057.
JP MORGAN US RE INC & GR FUND	376,934.	355,401.	483,349.
KINETIC VENTURES IX, LP	97,344.	172,209.	191,472.
KING STREET CAPITAL LTD CL A SERIES 1	5,500,000.	5,500,000.	9,139,183.
LIME ROCK PARTNERS V, LP	1,447,675.	1,455,247.	1,695,181.
LIME ROCK RESOURCES II-C, LP	2,315,595.	1,900,218.	2,601,089.
LOVELL MINNICK EQUITY PARTNERS III-A, LP	2,031,722.	1,568,018.	1,957,258.
MERCHANT'S GATE OFFSHORE FUND LTD	5,000,000.	5,000,000.	5,548,057.
NEWBURY SECONDARY FUND LP	9,938,667.	8,359,786.	12,799,167.
OAKTREE OPPORTUNITIES FUND VIII, L.P.	2,131,407.	1,505,187.	1,689,261.
OAKTREE OPPORTUNITIES FUND IX	0.	864,282.	879,830.
OCM OPPORTUNITIES FUND IV	7,301.	7,254.	11,504.
OCM OPPORTUNITIES FUND V	569,504.	490,646.	333,933.
OCM OPPORTUNITIES FUND VI	1,108,798.	753,793.	497,138.
OCM OPPORTUNITIES FUND VII, LP	1,141,657.	729,552.	734,158.
OCM OPPORTUNITIES FUND VIIB, LP	4,750,651.	3,092,700.	2,756,393.
OZ OVERSEAS FUND II LTD	6,000,000.	6,000,000.	9,604,467.
PRISA LP	3,664,044.	3,577,098.	5,203,276.

REALTY ASSOCIATES FUND IX	7,790,357.	6,938,802.	9,646,675.
REALTY ASSOCIATES FUND X UTP, LP	0.	995,803.	985,121.
RESOURCE CAPITAL FUND V LP	671,229.	792,981.	536,471.
RHO VENTURES V, LP	1,921,569.	1,702,364.	1,865,314.
RIVERSIDE FUND V, LP	<22,831.>	415,499.	442,567.
SAIF PARTNERS IV LP	1,269,065.	1,388,894.	1,507,987.
SAVANNA REAL ESTATE FUND II, LP	1,488,586.	1,274,466.	1,602,615.
SAYBROOK CORPORATE OPPORTUNITY FUND II	404,867.	580,543.	575,370.
SECURITY DEPOSITS	2,992.	2,992.	2,992.
SENTINAL CAPITAL PARTNERS V	0.	<60.>	0.
SILVER LAKE PARTNERSHIP IV, LP	0.	100,719.	118,871.
SILVER POINT CAPITAL OFFSHORE FUND LTD	4,000,000.	4,000,000.	6,634,779.
STARK GLOBAL OPPORTUNITIES	1,961,595.	1,548,311.	411,622.
THOMAS WEISEL GLOBAL GROWTH PARTNERS IV (S), LP	2,229,643.	2,205,783.	2,942,510.
THOMPSON STREET CAPITAL III	311,890.	778,166.	895,970.
TIAA-CREF ASSET MANAGEMENT CORE PROPERTY	9,139,988.	9,169,639.	10,872,361.
TIGER ASIA	2,346,249.	1,642,722.	58,087.
VECTIS HEALTHCARE & LIFE SCIENCES FUND II, LP	6,216,210.	7,391,651.	8,802,243.
VECTIS LIFE SCIENCE FUND I	6,280,926.	5,601,919.	5,943,360.
WARBURG PINCUS PRIVATE EQUITY X, LP	9,187,087.	7,182,731.	10,264,897.
WARBURG PINCUS PRIVATE EQUITY XI, LP	517,255.	635,006.	719,110.
WEXFORD OFFSHORE SPECTRUM FUND	10,000,000.	10,000,000.	15,684,737.
WLR RECOVERY FUND V, LP	1,134,482.	1,621,030.	2,061,522.
TO FORM 990-PF, PART II, LINE 15	231,693,203.	210,416,436.	260,459,032.

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 15

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE		
			BEN	PLAN	EXPENSE
			CONTRIB	ACCOUNT	
JAMES S. MCDONNELL III 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR & SECRETARY 1.00		0.	0.	0.
JOHN F. MCDONNELL 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR & TREASURER 2.50		0.	0.	0.
JEFFREY M. MCDONNELL 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR & ASSISTANT SECRE 0.50		0.	0.	0.
HOLLY M. JAMES 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR 1.00		0.	0.	0.
JEANNE M. CHAMPER 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR 1.00		0.	0.	0.
MARCELLA M. STEVENS 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR 1.00		0.	0.	0.
ALICIA S. MCDONNELL 1034 S. BRENTWOOD, #1860 ST LOUIS, MO 63117-1229	DIRECTOR 1.00		0.	0.	0.
JOHN T. BRUER, PH.D. 1034 S. BRENTWOOD, #1850 ST LOUIS, MO 63117-1284	PRESIDENT 50.00		0.	0.	0.
SUSAN M. FITZPATRICK, PH.D. 1034 S. BRENTWOOD, #1850 ST LOUIS, MO 63117-1284	VICE PRESIDENT 50.00		0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII			0.	0.	0.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 16

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

DR. JOHN T. BRUER
1034 S. BRENTWOOD, #1850
ST LOUIS, MO 63117-1284

TELEPHONE NUMBER

(314) 721-1532

FORM AND CONTENT OF APPLICATIONS

REQUEST FOR PROPOSALS(RFP) SUBMISSION INFORMATION ON FUNDING PROGRAMS CAN
BE OBTAINED AT THE FOUNDATION'S WEBSITE ADDRESS: WWW.JSMF.ORG

ANY SUBMISSION DEADLINES

SEE 2.B. ABOVE AND THE FOUNDATION'S WEBSITE

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE