efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter Social Security numbers on this form as it may be made public By law, the IRS generally cannot redact the information on the form

▶ Information about Form 990 and its instructions is at *www.IRS.gov/form990*

OMB No 1545-0047

2013

Open to Public Inspection

A For the 2013 calendar year, or tax year beginning 01-01-2013 , 2013, and ending 12-31-2013

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

C Name of organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Doing Business As

Number and street (or P O box if mail is not delivered to street address) | Room/suite
445 N 5TH STREET SUITE 600
Suite

City or town, state or province, country, and ZIP or foreign postal code
PHOENIX, AZ 85004

D Employer identification number
75-3065445

E Telephone number
(602) 343-8423

G Gross receipts $ 72,397,237

F Name and address of principal officer
Jeffrey M Trent PhD
SAME AS C ABOVE
PHOENIX,AZ 85004

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

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

H(c) Group exemption number ▶

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

J Website: ▶ WWW TGEN ORG

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

L Year of formation 2002 **M** State of legal domicile AZ

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities
SEE SCHEDULE O

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

3	Number of voting members of the governing body (Part VI, line 1a)	3	13
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	10
5	Total number of individuals employed in calendar year 2013 (Part V, line 2a)	5	362
6	Total number of volunteers (estimate if necessary)	6	70
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0

			Prior Year	Current Year
Revenue	8	Contributions and grants (Part VIII, line 1h)	2,315,103	25,261,567
	9	Program service revenue (Part VIII, line 2g)	1,653,351	23,328,457
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	1,668	16,761,926
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	70,883	1,170,902
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	4,041,005	66,522,852
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	0	0
	14	Benefits paid to or for members (Part IX, column (A), line 4)	0	0
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	2,216,333	26,747,949
	16a	Professional fundraising fees (Part IX, column (A), line 11e)	0	0
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶0		
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	2,586,382	31,046,486
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	4,802,715	57,794,435
	19	Revenue less expenses Subtract line 18 from line 12	-761,710	8,728,417

			Beginning of Current Year	End of Year
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	41,840,671	48,515,458
	21	Total liabilities (Part X, line 26)	18,230,940	16,101,835
	22	Net assets or fund balances Subtract line 21 from line 20	23,609,731	32,413,623

Part II Signature Block

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

Sign Here

Signature of officer | Date 2014-11-12

Charles K Coleson CFO
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
BRENDA D GRIESEMER				P00264669

Firm's name ▶ ERNST & YOUNG US LLP | Firm's EIN ▶

Firm's address ▶ TWO NORTH CENTRAL AVENUE STE 2300
PHOENIX, AZ 85004 | Phone no

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

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission

SEE SCHEDULE O

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

If "Yes," describe these new services on Schedule O

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . ☑ **Yes** ☐ **No**

If "Yes," describe these changes on Schedule O

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a (Code) (Expenses $ 8,992,702 including grants of $ 0) (Revenue $ 4,254,593)

Integrated Cancer Genomics Division - SEE SCHEDULE O

4b (Code) (Expenses $ 6,175,279 including grants of $ 0) (Revenue $ 1,256,831)

Neurogenomics Division - SEE SCHEDULE O

4c (Code) (Expenses $ 15,483,586 including grants of $ 0) (Revenue $ 1,149,646)

Genotyping Technology Center - SEE SCHEDULE O

4d Other program services (Describe in Schedule O)

(Expenses $ 3,697,353 including grants of $ 0) (Revenue $ 17,838,289)

4e **Total program service expenses** ▶ 34,348,920

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	Yes	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)?	2	Yes	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		No
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4	Yes	
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		No
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		No
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7		No
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		No
9	Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		No
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? *If "Yes," complete Schedule D, Part V*	10	Yes	
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI.*	11a	Yes	
b	Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b		No
c	Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		No
d	Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d	Yes	
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	Yes	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f	Yes	
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a		No
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b	Yes	
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		No
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		No
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b	Yes	
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15		No
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16		No
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I (see instructions)*	17		No
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18		No
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		No
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		No
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		

Part IV Checklist of Required Schedules *(continued)*

21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	**21**		No
22	Did the organization report more than $5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	**22**		No
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	**23**	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a*	**24a**		No
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	**24b**		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	**24c**		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	**24d**		
25a	**Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	**25a**		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	**25b**		No
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? *If so, complete Schedule L, Part II*	**26**		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	**27**		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28a**		No
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28b**		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	**28c**	Yes	
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	**29**	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	**30**		No
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	**31**		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	**32**	Yes	
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301 7701-2 and 301 7701-3? *If "Yes," complete Schedule R, Part I*	**33**	Yes	
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	**34**	Yes	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	**35a**	Yes	
b	If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	**35b**	Yes	
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	**36**		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	**37**		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O	**38**	Yes	

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

Check if Schedule O contains a response or note to any line in this Part V . . . . ☐

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . .	**1a**	27		
b	Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable	**1b**	0		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?		**1c**	Yes	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	**2a**	362		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		**2b**	Yes	
3a	Did the organization have unrelated business gross income of $1,000 or more during the year? . . .		**3a**		No
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O* . . .		**3b**		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		**4a**		No
b	If "Yes," enter the name of the foreign country ▶ See instructions for filing requirements for Form TD F 90-22 1, Report of Foreign Bank and Financial Accounts				
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . .		**5a**		No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		**5b**		No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?		**5c**		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . .		**6a**		No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		**6b**		
7	**Organizations that may receive deductible contributions under section 170(c).**				
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?		**7a**		No
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		**7b**		
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		**7c**		No
d	If "Yes," indicate the number of Forms 8282 filed during the year	**7d**			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		**7e**		No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . .		**7f**		No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		**7g**		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		**7h**		
8	**Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?		**8**		
9	**Sponsoring organizations maintaining donor advised funds.**				
a	Did the organization make any taxable distributions under section 4966?		**9a**		
b	Did the organization make a distribution to a donor, donor advisor, or related person?		**9b**		
10	**Section 501(c)(7) organizations.** Enter				
a	Initiation fees and capital contributions included on Part VIII, line 12 . . .	**10a**			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	**10b**			
11	**Section 501(c)(12) organizations.** Enter				
a	Gross income from members or shareholders	**11a**			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	**11b**			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?		**12a**		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	**12b**			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**				
a	Is the organization licensed to issue qualified health plans in more than one state? **Note.** See the instructions for additional information the organization must report on Schedule O		**13a**		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	**13b**			
c	Enter the amount of reserves on hand	**13c**			
14a	Did the organization receive any payments for indoor tanning services during the tax year?		**14a**		No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . .		**14b**		

Part VI **Governance, Management, and Disclosure** *For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.*

Check if Schedule O contains a response or note to any line in this Part VI . . . ☑

Section A. Governing Body and Management

					Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	13			
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O					
b	Enter the number of voting members included in line 1a, above, who are independent	1b	10			
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?			2	Yes	
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?			3		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?			4		No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?			5		No
6	Did the organization have members or stockholders?			6		No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?			7a		No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?			7b		No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following					
a	The governing body?			8a	Yes	
b	Each committee with authority to act on behalf of the governing body?			8b	Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*			9		No

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

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

Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed ▶AZ

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection Indicate how you made these available Check all that apply

☐ Own website ☐ Another's website ☑ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization
▶CHARLES K COLESON 445 N 5TH STREET SUITE 600
Phoenix, AZ 85004 (602) 343-8599

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

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

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

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

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

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

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position: Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
1b Sub-Total ▶										
c Total from continuation sheets to Part VII, Section A ▶										
d Total (add lines 1b and 1c) ▶								5,913,382	0	550,319

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶59

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

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation
Cancer Research and Biostatistics, 1730 Minor Avenue Suite 1900 Seattle WA 981011468	Research Services	212,751
Polsinelli, PO Box 878681 KANSAS CITY MO 641878681	Legal Services	180,715
FirstStrategic, 300 W Clarendon Ave Suite 460 PHOENIX AZ 85013	Consulting Services	180,000
TECH66 LLC, 4557 E VIA LOS CABALLOS PHOENIX AZ 850286141	Consulting Services	176,314
Lockton Companies, PO Box 173850 Dept 999226 DENVER CO 802173850	insurance broker	156,240

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶5

Part VIII Statement of Revenue

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

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts						
1a	Federated campaigns . . 1a					
b	Membership dues 1b					
c	Fundraising events 1c	0				
d	Related organizations . . . 1d	6,708,330				
e	Government grants (contributions) 1e	8,145,167				
f	All other contributions, gifts, grants, and similar amounts not included above 1f	10,408,070				
g	Noncash contributions included in lines 1a-1f $	1,495,916				
h	**Total.** Add lines 1a-1f . . . . ▶		25,261,567			
Program Service Revenue		Business Code				
2a	Research Contracts	541711	23,328,457	23,328,457	0	0
b						
c						
d						
e						
f	All other program service revenue					
g	**Total.** Add lines 2a–2f . . . . ▶		23,328,457			
Other Revenue						
3	Investment income (including dividends, interest, and other similar amounts) . . . . ▶		175,334			175,334
4	Income from investment of tax-exempt bond proceeds . . ▶		0			
5	Royalties . . . . ▶		0			
		(i) Real / (ii) Personal				
6a	Gross rents					
b	Less rental expenses					
c	Rental income or (loss)	0 / 0				
d	Net rental income or (loss) . . . . ▶		0			
		(i) Securities / (ii) Other				
7a	Gross amount from sales of assets other than inventory	/ 22,469,917				
b	Less cost or other basis and sales expenses	/ 5,874,385				
c	Gain or (loss)	/ 16,595,532				
d	Net gain or (loss) . . . . ▶		16,586,592			16,586,592
8a	Gross income from fundraising events (not including $ ______ of contributions reported on line 1c) See Part IV, line 18 . . a					
b	Less direct expenses . . . b					
c	Net income or (loss) from fundraising events . . ▶		0			
9a	Gross income from gaming activities See Part IV, line 19 . . . a					
b	Less direct expenses . . . b					
c	Net income or (loss) from gaming activities . . ▶		0			
10a	Gross sales of inventory, less returns and allowances . a					
b	Less cost of goods sold . . b					
c	Net income or (loss) from sales of inventory . . ▶		0			
	Miscellaneous Revenue	Business Code				
11a	ALL OTHER REVENUE	900099	1,170,902	1,170,902	0	
b						
c						
d	All other revenue					
e	**Total.** Add lines 11a–11d . . . . ▶		1,170,902			
12	**Total revenue.** See Instructions . . . . . ▶		66,522,852	24,499,359	0	16,761,926

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns All other organizations must complete column (A)

Check if Schedule O contains a response or note to any line in this Part IX . . . . ☑

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	**(A)** Total expenses	**(B)** Program service expenses	**(C)** Management and general expenses	**(D)** Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States See Part IV, line 21	0	0		
2 Grants and other assistance to individuals in the United States See Part IV, line 22	0	0		
3 Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16	0	0		
4 Benefits paid to or for members	0	0		
5 Compensation of current officers, directors, trustees, and key employees	5,913,383	2,247,086	3,666,297	0
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	0	0	0	0
7 Other salaries and wages	17,092,528	8,546,264	8,546,264	0
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	646,373	310,259	336,114	0
9 Other employee benefits	1,501,370	720,658	780,712	0
10 Payroll taxes	1,594,295	765,262	829,033	0
11 Fees for services (non-employees)				
a Management	0	0	0	0
b Legal	724,476		724,476	0
c Accounting	382,300		382,300	0
d Lobbying	108,000	108,000	0	0
e Professional fundraising services See Part IV, line 17	0			0
f Investment management fees	0	0	0	0
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	7,395,096	5,894,477	1,500,619	0
12 Advertising and promotion	33,798		33,798	0
13 Office expenses	7,633,379	5,725,034	1,908,345	0
14 Information technology	1,286,769	643,384	643,385	0
15 Royalties . .	0	0	0	0
16 Occupancy	6,135,542	4,601,657	1,533,885	0
17 Travel	480,037	192,015	288,022	0
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0	0	0	0
19 Conferences, conventions, and meetings	207,355	82,942	124,413	0
20 Interest	167,130		167,130	0
21 Payments to affiliates	0	0	0	0
22 Depreciation, depletion, and amortization	5,819,751	4,364,813	1,454,938	0
23 Insurance	406,909	40,691	366,218	0
24 Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24e If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O)				
a Dues & Subscriptions	81,073	32,429	48,644	0
b SEMINARS & EDUCATION	60,813	24,325	36,488	
c RELOCATION	37,762	15,105	22,657	
d Recruitment	19,143	7,657	11,486	0
e All other expenses	67,153	26,862	40,291	
25 **Total functional expenses.** Add lines 1 through 24e	57,794,435	34,348,920	23,445,515	0
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)	0	0	0	0

Part X Balance Sheet

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

				(A) Beginning of year		(B) End of year
Assets	1	Cash–non-interest-bearing		17,087,280	1	18,269,231
	2	Savings and temporary cash investments		-2,213,697	2	5,387,283
	3	Pledges and grants receivable, net		13,504,619	3	3,724,063
	4	Accounts receivable, net		3,588	4	51,075
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L		0	5	0
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		0	6	0
	7	Notes and loans receivable, net		0	7	0
	8	Inventories for sale or use		0	8	0
	9	Prepaid expenses and deferred charges		839,166	9	680,217
	10a	Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a 40,242,216			
	b	Less accumulated depreciation	10b 30,060,454	10,842,550	10c	10,181,762
	11	Investments—publicly traded securities		0	11	0
	12	Investments—other securities See Part IV, line 11		0	12	0
	13	Investments—program-related See Part IV, line 11		0	13	1,971,302
	14	Intangible assets		0	14	0
	15	Other assets See Part IV, line 11		1,777,165	15	8,250,525
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)		41,840,671	16	48,515,458
Liabilities	17	Accounts payable and accrued expenses		1,450,998	17	4,449,211
	18	Grants payable		0	18	0
	19	Deferred revenue		10,376,856	19	9,541,785
	20	Tax-exempt bond liabilities		0	20	0
	21	Escrow or custodial account liability Complete Part IV of Schedule D		0	21	0
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L		0	22	0
	23	Secured mortgages and notes payable to unrelated third parties		5,768,636	23	1,221,227
	24	Unsecured notes and loans payable to unrelated third parties		0	24	0
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D		634,450	25	889,612
	26	**Total liabilities.** Add lines 17 through 25		18,230,940	26	16,101,835
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.**				
	27	Unrestricted net assets		13,829,727	27	21,497,379
	28	Temporarily restricted net assets		9,780,004	28	10,916,244
	29	Permanently restricted net assets		0	29	0
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.				
	30	Capital stock or trust principal, or current funds			30	
	31	Paid-in or capital surplus, or land, building or equipment fund			31	
	32	Retained earnings, endowment, accumulated income, or other funds			32	
	33	Total net assets or fund balances		23,609,731	33	32,413,623
	34	Total liabilities and net assets/fund balances		41,840,671	34	48,515,458

Part XI Reconcilliation of Net Assets

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

1	Total revenue (must equal Part VIII, column (A), line 12)	1	66,522,852
2	Total expenses (must equal Part IX, column (A), line 25)	2	57,794,435
3	Revenue less expenses Subtract line 2 from line 1	3	8,728,417
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	23,609,731
5	Net unrealized gains (losses) on investments	5	75,475
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	32,413,623

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . ☐

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

Additional Data

Software ID:
Software Version:
EIN: 75-3065445
Name: THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position: Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
Jerry Bisgrove Board Member (PART YEAR)	1 0 1 0	X						0	0	0
Richard L Boals Board Member	1 0 0 0	X						0	0	0
Governor Jan Brewer Board Member	1 0 0 0	X						0	0	0
Robert Bulla Board Member	1 0 0 0	X						0	0	0
Jose Cardenas Board Member (PART YEAR)	1 0 0 0	X						0	0	0
Bennett Dorrance Board Member/Secretary	1 0 1 0	X		X				0	0	0
Peter S Fine Board Member	1 0 0 0	X						0	0	0
Bert Getz Board Member	1 0 0 0	X						0	0	0
David J Gullen MD Board Member	1 0 0 0	X						0	0	0
Jeffrey Moorad Board Member	1 0 0 0	X						0	0	0
T Lon Owen PhD Board Member (PART YEAR)	1 0 0 0	X						0	0	0
Cindy Parseghian Board Member/Treasurer	1 0 0 0	X		X				0	0	0
William J Post Board Member/Chairman	1 0 1 0	X		X				0	0	0
Richard Silverman Board Member	1 0 0 0	X						0	0	0
The Honorable Greg Stanton Board Member	1 0 0 0	X						0	0	0
Jeffrey M Trent PhD Board Member/Pres/Science Dir	39 0 1 0	X		X				877,215	0	117,686
Teresa Burleson Chief Operating Officer	39 0 1 0			X				451,701	0	66,559
Charles K Coleson CFO (FROM 05/28/13)	29 0 1 0			X				124,189	0	8,792
Daniel Von Hoff Executive Vice President	40 0 0 0			X				666,497	0	64,858
Elizabeth Montemayor CFO (THRU 03/15/13)	39 0 1 0			X				273,937	0	5,347
Michael Berens Deputy Director of Research	40 0 0 0				X			394,169	0	17,918
John Carpten Deputy Director of Sciences	40 0 0 0				X			385,415	0	69,571
David Craig Deputy Director of Informatics	40 0 0 0				X			332,802	0	69,056
James Lowey Vice President, Technology	40 0 0 0				X			176,511	0	7,306
Patrick Smith VP, Corporate Development	40 0 0 0					X		265,033	0	6,947

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position: Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
Stephanie A McRae General Counsel	40 0 0 0					X		238,299	0	17,591
Johanna Distefano Professor	40 0 0 0					X		222,662	0	11,960
Michael Bittner Professor	40 0 0 0					X		203,321	0	15,137
Galen Perry VP, Marketing & Communications	40 0 0 0					X		185,860	0	16,763
David Duggan Associate Professor	40 0 0 0						X	212,524	0	19,403
James Harris Vice President, Business Dev	40 0 0 0						X	194,816	0	16,103
Spyro Mousses Vice President	40 0 0 0						X	569,124	0	19,322
Edward Suh Chief Information Officer	0 0 0 0						X	139,307	0	0

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE A
(Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

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

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

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

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

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

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

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

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

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

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

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

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

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

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

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

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

a ☐ Type I **b** ☐ Type II **c** ☐ Type III - Functionally integrated **d** ☐ Type III - Non-functionally integrated

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

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

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

		Yes	No
(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?	**11g(i)**		
(ii) A family member of a person described in (i) above?	**11g(ii)**		
(iii) A 35% controlled entity of a person described in (i) or (ii) above?	**11g(iii)**		

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

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

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ")	50,530,395	55,961,459	27,781,232	2,315,103	25,261,567	161,849,756
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0
4 **Total.** Add lines 1 through 3	50,530,395	55,961,459	27,781,232	2,315,103	25,261,567	161,849,756
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						34,107,712
6 **Public support.** Subtract line 5 from line 4						127,742,044

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
7 Amounts from line 4	50,530,395	55,961,459	27,781,232	2,315,103	25,261,567	161,849,756
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	56,756	329,668	20,014	1,668	175,334	583,440
9 Net income from unrelated business activities, whether or not the business is regularly carried on						0
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)						0
11 **Total support** (Add lines 7 through 10)						162,433,196

12 Gross receipts from related activities, etc (see instructions) | 12 | 98,932,264

13 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** . . . . . ▶☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f)) | 14 | 78 643 %

15 Public support percentage for 2012 Schedule A, Part II, line 14 | 15 | 83 266 %

16a **33 1/3% support test—2013.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☑

b **33 1/3% support test—2012.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

17a **10%-facts-and-circumstances test—2013.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶☐

b **10%-facts-and-circumstances test—2012.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶☐

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

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support** (Subtract line 7c from line 6)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
13 **Total support.** (Add lines 9, 10c, 11, and 12)						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** ▶☐

Section C. Computation of Public Support Percentage

15 Public support percentage for 2013 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2012 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2013** (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from **2012** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2013.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

b **33 1/3% support tests—2012.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶☐

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

Facts And Circumstances Test

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

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE C (Form 990 or 990-EZ)

Department of the Treasury Internal Revenue Service

Political Campaign and Lobbying Activities

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

▶ Complete if the organization is described below. ▶ Attach to Form 990 or Form 990-EZ.

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

OMB No 1545-0047

2013

Open to Public Inspection

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

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

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

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

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

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

Name of the organization	Employer identification number
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE	75-3065445

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

1 Provide a description of the organization's direct and indirect political campaign activities in Part IV

2 Political expenditures ▶ $

3 Volunteer hours

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

1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ $

2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ $

3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? ☐ Yes ☐ No

4a Was a correction made? ☐ Yes ☐ No

b If "Yes," describe in Part IV

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

1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ $

2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ $

3 Total exempt function expenditures Add lines 1 and 2 Enter here and on Form 1120-POL, line 17b ▶ $

4 Did the filing organization file **Form 1120-POL** for this year? ☐ Yes ☐ No

5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments For each organization listed, enter the amount paid from the filing organization's funds Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC) If additional space is needed, provide information in Part IV

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

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

A Check ▶ ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures)

B Check ▶ ☐ if the filing organization checked box A and "limited control" provisions apply

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)	**(a)** Filing organization's totals	**(b)** Affiliated group totals
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)		
b Total lobbying expenditures to influence a legislative body (direct lobbying)		
c Total lobbying expenditures (add lines 1a and 1b)		
d Other exempt purpose expenditures		
e Total exempt purpose expenditures (add lines 1c and 1d)		
f Lobbying nontaxable amount Enter the amount from the following table in both columns		

If the amount on line 1e, column (a) or (b) is:	**The lobbying nontaxable amount is:**
Not over $500,000	20% of the amount on line 1e
Over $500,000 but not over $1,000,000	$100,000 plus 15% of the excess over $500,000
Over $1,000,000 but not over $1,500,000	$175,000 plus 10% of the excess over $1,000,000
Over $1,500,000 but not over $17,000,000	$225,000 plus 5% of the excess over $1,500,000
Over $17,000,000	$1,000,000

g Grassroots nontaxable amount (enter 25% of line 1f)		
h Subtract line 1g from line 1a If zero or less, enter -0-		
i Subtract line 1f from line 1c If zero or less, enter -0-		

j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? ☐ **Yes** ☐ **No**

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

Lobbying Expenditures During 4-Year Averaging Period

Calendar year (or fiscal year beginning in)	**(a)** 2010	**(b)** 2011	**(c)** 2012	**(d)** 2013	**(e)** Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

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

For each "Yes" response to lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.		(a) Yes	(a) No	(b) Amount
1	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of			
a	Volunteers?		No	
b	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		No	
c	Media advertisements?		No	
d	Mailings to members, legislators, or the public?		No	
e	Publications, or published or broadcast statements?		No	
f	Grants to other organizations for lobbying purposes?		No	
g	Direct contact with legislators, their staffs, government officials, or a legislative body?		No	
h	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No	
i	Other activities?	Yes		108,000
j	Total Add lines 1c through 1i			108,000
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		No	
b	If "Yes," enter the amount of any tax incurred under section 4912			
c	If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

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

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

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

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

Part IV Supplemental Information

Provide the descriptions required for Part I-A, line 1, Part I-B, line 4, Part I-C, line 5, Part II-A (affiliated group list), Part II-A, line 2, and Part II-B, line 1 Also, complete this part for any additional information

Return Reference	Explanation
SCHEDULE C, PART II-B, LINE 1I	THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE (TGEN) USES A THIRD PARTY COMMUNICATIONS AND PUBLIC AFFAIRS FIRM TO COORDINATE LOBBYING EFFORTS ON BEHALF OF TGEN THROUGH COMMUNICATION TO LOCAL GOVERNMENT, LEGISLATIVE AND FEDERAL OFFICIALS AND COMMUNITY LEADERS ON TGEN ACTIVITIES

Part IV **Supplemental Information *(continued)***

Return Reference	Explanation

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b
▶ Attach to Form 990. ▶ See separate instructions. ▶ Information about Schedule D (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

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

		(a) Donor advised funds	**(b)** Funds and other accounts
1	Total number at end of year		
2	Aggregate contributions to (during year)		
3	Aggregate grants from (during year)		
4	Aggregate value at end of year		

5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? ☐ Yes ☐ No

6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? ☐ Yes ☐ No

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

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

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

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

			Held at the End of the Year
a	Total number of conservation easements	2a	
b	Total acreage restricted by conservation easements	2b	
c	Number of conservation easements on a certified historic structure included in (a)	2c	
d	Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d	

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶________

4 Number of states where property subject to conservation easement is located ▶________

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

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

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

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

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

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

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

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

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

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items

a Revenues included in Form 990, Part VIII, line 1 ▶ $ ________

b Assets included in Form 990, Part X ▶ $ ________

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

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

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

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

5 During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

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

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

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

			Amount
c	Beginning balance	1c	
d	Additions during the year	1d	
e	Distributions during the year	1e	
f	Ending balance	1f	

2a Did the organization include an amount on Form 990, Part X, line 21? ☐ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII Check here if the explanation has been provided in Part XIII . . . . ☐

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

		(a) Current year	(b) Prior year	b (c) Two years back	(d) Three years back	(e) Four years back
1a	Beginning of year balance	6,571,997	6,553,530	6,331,923	6,676,003	6,373,964
b	Contributions					
c	Net investment earnings, gains, and losses	456,554	53,629	643,547	550,880	786,808
d	Grants or scholarships					
e	Other expenditures for facilities and programs	536,604	35,162	421,940	894,960	484,769
f	Administrative expenses					
g	End of year balance	6,491,947	6,571,997	6,553,530	6,331,923	6,676,003

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as

a Board designated or quasi-endowment ▶

b Permanent endowment ▶

c Temporarily restricted endowment ▶ 100 000 %

The percentages in lines 2a, 2b, and 2c should equal 100%

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

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

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

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

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		5,343,943	2,172,637	3,171,306
d Equipment		31,730,418	25,262,557	6,467,861
e Other		3,167,855	2,625,260	542,595
Total. Add lines 1a through 1e *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶				10,181,762

Part VII **Investments—Other Securities.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
Other		
Total. *(Column (b) must equal Form 990, Part X, col (B) line 12)* ▶		

Part VIII **Investments—Program Related.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

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

Part IX **Other Assets.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11d See Form 990, Part X, line 15

(a) Description	(b) Book value
(1) DUE FROM FOUNDATION	5,336,704
(2) IN-KIND CONSIGNMENT ASSETS	2,089,743
(3) INVESTMENT IN 457(B) PLAN	824,078
Total. *(Column (b) must equal Form 990, Part X, col.(B) line 15.)* . . . . ▶	8,250,525

Part X **Other Liabilities.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1 (a) Description of liability	(b) Book value
Federal income taxes	0
DUE TO EMPLOYEE 457(B) PLAN	824,078
Capital Lease Obligation	65,534
Total. *(Column (b) must equal Form 990, Part X, col (B) line 25)* ▶	889,612

2. Liability for uncertain tax positions In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740) Check here if the text of the footnote has been provided in Part XIII ☑

Part XI **Reconciliation of Revenue per Audited Financial Statements With Revenue per Return** Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

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

Part XII **Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

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

Part XIII **Supplemental Information**

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

Return Reference	Explanation
Schedule D, Part V, Line 4	TGen's policy for appropriating the distribution of its summer internship program endowment has been designed to support a specific number of summer interns each year for the next 25 years The Institute considered the long-term expected return on its endowment
Schedule D, Part X, Line 2	Management is of the opinion that substantially all of TGens and the Foundations activities are related to their exempt purposes, and no material uncertain tax positions have been identified or recorded in the accompanying consolidated financial statements at December 31, 2013 TGen and the Foundation file Forms 990 in the U S federal jurisdiction and comparable forms in the state of Arizona

Part XIII Supplemental Information *(continued)*

Return Reference	Explanation

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE F (Form 990)

Department of the Treasury
Internal Revenue Service

Statement of Activities Outside the United States

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

▶ Attach to Form 990. ▶ See separate instructions.

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

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

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

1 **For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . ☐ Yes ☐ No

2 **For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

3 Activites per Region (The following Part I, line 3 table can be duplicated if additional space is needed)

(a) Region	**(b)** Number of offices in the region	**(c)** Number of employees, agents, and independent contractors in region	**(d)** Activities conducted in region (by type) (e g , fundraising, program services, investments, grants to recipients located in the region)	**(e)** If activity listed in (d) is a program service, describe specific type of service(s) in region	**(f)** Total expenditures for and investments in region
(1) East Asia and the Pacific			Program Services	Research Services	90,796
(2) East Asia and the Pacific			Program Services	SOFTWARE SERVICES	1,890
(3) South Asia			Program Services	SOFTWARE SERVICES	77,522
(4) North America			Program Services	RESEARCH SERVICES	38,167
(5) Europe (Including Iceland and Greenland)			Program Services	RESEARCH SERVICES	48,428
3a Sub-total					256,803
b Total from continuation sheets to Part I					
c Totals (add lines 3a and 3b)					256,803

Part II **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than $5,000. Part II can be duplicated if additional space is needed.

1 (a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)								
(2)								
(3)								
(4)								

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . ▶

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

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

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

Part IV Foreign Forms

1 Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes,"the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)* ☐ Yes ☑ No

2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A)* ☐ Yes ☑ No

3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)* ☐ Yes ☑ No

4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)* ☐ Yes ☑ No

5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships. (see Instructions for Form 8865)* ☐ Yes ☑ No

6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to file Form 5713, International Boycott Report (see Instructions for Form 5713).* ☐ Yes ☑ No

Part V Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information (see instructions).

990 Schedule F, Supplemental Information

Return Reference	Explanation
PART I, LINE 3, COLUMN (F)	THE AMOUNTS REPORTED IN COLUMN (F) ARE DETERMINED BASED ON THE ACCRUAL METHOD OF ACCOUNTING

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93493316049794

Schedule J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.
▶ Attach to Form 990. ▶ See separate instructions.
▶ Information about Schedule J (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

Part I Questions Regarding Compensation

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

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

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

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

(A) Name and Title		**(B)** Breakdown of W-2 and/or 1099-MISC compensation			**(C)** Retirement and other deferred compensation	**(D)** Nontaxable benefits	**(E)** Total of columns (B)(i)-(D)	**(F)** Compensation reported as deferred in prior Form 990
		(i) Base compensation	**(ii)** Bonus & incentive compensation	**(iii)** Other reportable compensation				
See Additional Data Table								

Part III Supplemental Information

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

Return Reference	Explanation
Schedule J, Part I, Line 1a	First class travel is permitted by executive staff only and must, per TGen policy, be pre-approved by the Chief Operating Officer TGen does provide membership for Dr Trent at the Paradise Valley Country Club This expense was pre-approved by the Chief Operating Officer These expenses were not considered as taxable compensation to the recipient The country club membership reimbursement is for business purposes only
Schedule J, Part I, Line 4a	The following individuals received severance payments in 2013, which have been included in Schedule J, Part II, Column (B)(III) Elizabeth Montemayor $204,878 Spyro Mousses $286,380 Edward Suh $139,307
Schedule J, Part I, Line 7	Some of the persons listed in Form 990, Part VII were paid bonuses which were based on accomplishments of specific milestones and/or performance bases
Schedule J, Part II	Deferred compensation includes retention agreements for the President and Chief Scientific Officer (Dr Jeffrey Trent), the Chief Operating Officer (Teresa Burleson), Executive Vice President (Daniel Von Hoff) and two Deputy Directors (John Carpten and David Craig) DR TRENT IS ELIGIBLE TO RECEIVE $500,000 ON 03/12/2017, TERESA BURLESON IS ELIGIBLE TO RECEIVE $250,000 ON 11/30/2017, DANIEL VON HOFF IS ELIGIBLE TO RECEIVE $150,000 ON 11/30/2015, AND THE DEPUTY DIRECTORS ARE ELIGIBLE TO RECEIVE $192,000 EACH ON 11/30/2015 PAYABLE BY TGEN Amounts accrued by TGen during calendar year 2013 under these agreements have been reported in Schedule J, Part II, Column (C) as deferred compensation as follows Jeffery M Trent, Ph D $100,000 Teresa Burleson $50,000 Daniel Von Hoff $50,000 John Carpten $50,000 David Craig $50,000

Additional Data

Software ID:
Software Version:
EIN: 75-3065445
Name: THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

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

(A) Name		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported in prior Form 990 or Form 990-EZ
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other compensation				
Jeffrey M Trent PhD Board Member/Pres/Science Dir	(i)	842,418	0	34,797	108,303	9,383	994,901	0
	(ii)	0	0	0	0	0	0	0
Teresa Burleson Chief Operating Officer	(i)	391,326	59,565	810	60,184	6,375	518,260	0
	(ii)	0	0	0	0	0	0	0
Daniel Von Hoff Executive Vice President	(i)	598,645	60,466	7,386	58,924	5,934	731,355	0
	(ii)	0	0	0	0	0	0	0
Michael Berens Deputy Director of Research	(i)	291,751	80,737	21,681	10,184	7,734	412,087	0
	(ii)	0	0	0	0	0	0	0
John Carpten Deputy Director of Sciences	(i)	300,615	83,850	950	60,183	9,388	454,986	0
	(ii)	0	0	0	0	0	0	0
David Craig Deputy Director of Informatics	(i)	259,562	72,670	570	60,181	8,875	401,858	0
	(ii)	0	0	0	0	0	0	0
James Lowey Vice President, Technology	(i)	175,875	0	636	6,156	1,150	183,817	0
	(ii)	0	0	0	0	0	0	0
Patrick Smith VP, Corporate Development	(i)	231,034	27,500	6,499	0	6,947	271,980	0
	(ii)	0	0	0	0	0	0	0
Stephanie A McRae General Counsel	(i)	219,892	0	18,407	9,784	7,807	255,890	0
	(ii)	0	0	0	0	0	0	0
Johanna Distefano Professor	(i)	221,845	0	817	8,969	2,991	234,622	0
	(ii)	0	0	0	0	0	0	0
Michael Bittner Professor	(i)	200,451	0	2,870	8,246	6,891	218,458	0
	(ii)	0	0	0	0	0	0	0
Galen Perry VP, Marketing & Communications	(i)	184,747	0	1,113	7,710	9,053	202,623	0
	(ii)	0	0	0	0	0	0	0
David Duggan Associate Professor	(i)	211,717	0	807	8,816	10,587	231,927	0
	(ii)	0	0	0	0	0	0	0
James Harris Vice President, Business Dev	(i)	174,091	0	20,725	7,670	8,433	210,919	0
	(ii)	0	0	0	0	0	0	0
Elizabeth Montemayor CFO (THRU 03/15/13)	(i)	54,841	0	219,096	2,829	2,518	279,284	0
	(ii)	0	0	0	0	0	0	0
Spyro Mousses Vice President	(i)	269,579	0	299,545	10,178	9,144	588,446	0
	(ii)	0	0	0	0	0	0	0
Edward Suh Chief Information Officer	(i)	0	0	139,307	0	0	139,307	0
	(ii)	0	0	0	0	0	0	0

Schedule L
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Transactions with Interested Persons

▶ Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.
▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.
▶Information about Schedule L (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

Part I Excess Benefit Transactions (section 501(c)(3) and section 501(c)(4) organizations only).
Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b

1 (a) Name of disqualified person	(b) Relationship between disqualified person and organization	(c) Description of transaction	(d) Corrected? Yes	No

2 Enter the amount of tax incurred by organization managers or disqualified persons during the year under section 4958 . . . ▶ $

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . ▶ $

Part II Loans to and/or From Interested Persons.
Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26, or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22

(a) Name of interested person	(b) Relationship with organization	(c) Purpose of loan	(d) Loan to or from the organization? To	From	(e) Original principal amount	(f) Balance due	(g) In default? Yes	No	(h) Approved by board or committee? Yes	No	(i) Written agreement? Yes	No
Total		▶ $										

Part III Grants or Assistance Benefitting Interested Persons.
Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of assistance	(d) Type of assistance	(e) Purpose of assistance

Part IV Business Transactions Involving Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

(a) Name of interested person	**(b)** Relationship between interested person and the organization	**(c)** Amount of transaction	**(d)** Description of transaction	**(e)** Sharing of organization's revenues? Yes	No
(1) Blue Cross Blue Shield of AZ	Richard Boals/Pres & CEO	1,765,916	Employee Health Insurance		No
(2) Blue Cross Blue Shield of AZ	Robert Bulla/Director	1,765,916	Employee Health Insurance		No
(3) Tech66 LLC William Burleson	Spouse of Officer	176,314	Consulting Services		No

Part V Supplemental Information

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

Return Reference	Explanation

SCHEDULE M
(Form 990)

Department of the Treasury
Internal Revenue Service

Noncash Contributions

▶Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.
▶Information about Schedule M (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art				
2 Art—Historical treasures				
3 Art—Fractional interests				
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles				
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded				
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles				
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts				
23 Scientific specimens				
24 Archeological artifacts				
25 Other ▶ (Computer Equipment)	X	1	1,495,916	COST OR SALES PRICE
26 Other ▶( )				
27 Other ▶( )				
28 Other ▶ ( )				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . | 29 |

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

Part II **Supplemental Information.** Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Return Reference	Explanation
SCHEDULE M, PART I, COLUMN (B)	THIS ORGANIZATION IS REPORTING IN PART I, COLUMN (B) THE NUMBER OF CONTRIBUTIONS RECEIVED

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE N (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Liquidation, Termination, Dissolution, or Significant Disposition of Assets

▶ Complete if the organization answered "Yes" to Form 990, Part IV, lines 31 or 32; or Form 990-EZ, line 36.
▶ Attach certified copies of any articles of dissolution, resolutions, or plans.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule N (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

Part I **Liquidation, Termination, or Dissolution.** Complete this part if the organization answered "Yes" to Form 990, Part IV, line 31, or Form 990-EZ, line 36. Part I can be duplicated if additional space is needed. ☐

1 (a) Description of asset(s) distributed or transaction expenses paid	(b) Date of distribution	(c) Fair market value of asset(s) distributed or amount of transaction expenses	(d) Method of determining FMV for asset(s) distributed or transaction expenses	(e) EIN of recipient	(f) Name and address of recipient	(g) IRC section of recipient(s) (if tax-exempt) or type of entity

			Yes	No
2	Did or will any officer, director, trustee, or key employee of the organization			
a	Become a director or trustee of a successor or transferee organization?	2a		
b	Become an employee of, or independent contractor for, a successor or transferee organization?	2b		
c	Become a direct or indirect owner of a successor or transferee organization?	2c		
d	Receive, or become entitled to, compensation or other similar payments as a result of the organization's liquidation, termination, or dissolution?	2d		
e	If the organization answered "Yes" to any of the questions on lines 2a through 2d, provide the name of the person involved and explain in Part III ▶			

Part I Liquidation, Termination, or Dissolution *(continued)*

Note. If the organization distributed all of its assets during the tax year, then Form 990, Part X, column (B), line 16 (Total assets), and line 26 (Total liabilities), should equal -0-

			Yes	No
3	Did the organization distribute its assets in accordance with its governing instrument(s)? If "No," describe in Part III	3		
4a	Is the organization required to notify the attorney general or other appropriate state official of its intent to dissolve, liquidate, or terminate?	4a		
b	If "Yes," did the organization provide such notice?	4b		
5	Did the organization discharge or pay all of its liabilities in accordance with state laws?	5		
6a	Did the organization have any tax-exempt bonds outstanding during the year?	6a		
b	Did the organization discharge or defease all of its tax-exempt bond liabilities during the tax year in accordance with the Internal Revenue Code and state laws?	6b		
c	If "Yes" to line 6b, describe in Part III how the organization defeased or otherwise settled these liabilities If "No," explain in Part III			

Part II Sale, Exchange, Disposition, or Other Transfer of More Than 25% of the Organization's Assets. Complete this part if the organization answered "Yes" to Form 990, Part IV, line 32, or Form 990-EZ, line 36. Part II can be duplicated if additional space is needed.

1 (a) Description of asset(s) distributed or transaction expenses paid	(b) Date of distribution	(c) Fair market value of asset(s) distributed or amount of transaction expenses	(d) Method of determining FMV for asset(s) distributed or transaction expenses	(e) EIN of recipient	(f) Name and address of recipient	(g) IRC section of recipient(s) (if tax-exempt) or type of entity
Membership units in TD2, LLC	11-21-2013	7,912,181	SALE PRICE	32-0422710	OHLS Acquisition Company LLC 1717 Main ST STE 1100 Dallas,TX 75201	LLC

			Yes	No
2	Did or will any officer, director, trustee, or key employee of the organization			
a	Become a director or trustee of a successor or transferee organization?	2a		No
b	Become an employee of, or independent contractor for, a successor or transferee organization?	2b		No
c	Become a direct or indirect owner of a successor or transferee organization?	2c		No
d	Receive, or become entitled to, compensation or other similar payments as a result of the organization's significant disposition of assets?	2d		No
e	If the organization answered "Yes" to any of the questions on lines 2a through 2d, provide the name of the person involved and explain in Part III ▶			

Part III Supplemental Information. Provide the information required by Part I, lines 2e and 6c, and Part II, line 2e. Also complete this part to provide any additional information.

Return Reference	Explanation
SCHEDULE N, PART II	On 11/21/13, one of Translational Genomic Research Institute's single-member LLCs, The Center for Translational Drug Development LLC, contributed all of its assets and operations ($21,912,181 value) into the newly formed Translational Drug Development LLC (TD2 LLC) in exchange for LLC membership units This transaction exceeds 25% of Translational Genomics Research Institute's net assets In accordance with the form instructions for Schedule N, a significant disposition of net assets includes contribution of assets to establish a joint venture if the contribution exceeds 25% of net assets at the beginning of the year Subsequently, an unrelated party purchased TD2 LLC units from The Center for Translational Drug Development LLC for $14M In accordance with the form instructions for Schedule N, this transaction is also required to be reported as a sale of >25% of Translational Genomics Research Institute's net assets Schedule N, Part II, line 1 reflects the net activity of these two transactions Contribution of Assets $ 21,912,181 Sale of Td2 LLC Units (14,000,000) ------------ Total $ 7,912,181 ============

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93493316049794

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization	Employer identification number
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE	75-3065445

Return Reference	Explanation
Form 990, Part I, Line 1, and Part III, Line 1	The Translational Genomics Research Institute (TGen) is a nonprofit biomedical research institute focused on developing earlier diagnostics and smarter treatments by employing innovative advances arising from the human genome project and applying them to the development of diagnostics, prognostics and therapies for cancer, neurological disorders, diabetes and other complex diseases FORM 990, PART III, LINE 2 IN 2013, The Translational Genomics Research Institute (TGEN) UNDERTOOK THE FOLLOWING NEW ACTIVITIES (1) TGEN CREATED TGEN HEALTH VENTURES, LLC (TGEN HEALTH VENTURES), AN ARIZONA LIMITED LIABILITY COMPANY, FOR THE PURPOSE OF HEALTH CARE COMMERCIALIZATION OPPORTUNITIES (2) TGEN CREATED PET CANCER DIAGNOSTICS, LLC (PET CANCER DIAGNOSTICS), AN ARIZONA LIMITED LIABILITY COMPANY, FOR THE PURPOSE OF ANIMAL DIAGNOSTICS (3) TGEN CREATED PMED MANAGEMENT, LLC (PMED) AND PERSONALIZED MEDICINE PARTNERS, LLC (PMP), BOTH DELAWARE LIMITED LIABILITY COMPANIES, AND PERSONALIZED MEDICINE CAPITAL, LLP (PMC), A DELAWARE LIMITED LIABILITY PARTNERSHIP, TO ASSIST IN THE DEPLOYMENT OF PERSONALIZED MEDICINE FOR THE BENEFIT OF PATIENTS LOCALLY, NATIONALLY AND INTERNATIONALLY BY COMMERCIALIZING PERSONALIZED MEDICINE (4) TGen launched the Center for Rare Childhood Disorders (C4RCD) In C4RCD, TGen's faculty will apply the latest tools of genomic medicine to provide answers for parents wanting to identify the disease or disorder affecting their child FORM 990, PART III, LINE 3 IN 2013, The Translational Genomics Research Institute (TGEN) SOLD A MAJORITY INTEREST OF TRANSLATIONAL DRUG DEVELOPMENT, LLC (TD2, LLC), A CONTRACT RESEARCH ORGANIZATION THAT FOCUSES ON THE EARLY-STAGE DEVELOPMENT AND CONSULTATION OF CLINICAL TRIALS AND DRUG DEVELOPMENT TGEN RETAINED A 29 4% MINORITY INTEREST OF TD2, LLC, WHICH IS RECORDED AS A PROGRAM RELATED INVESTMENT ON FORM 990, PART X, LINE 13 TGEN RECOGNIZED A $16 0 MILLION GAIN ON THE SALE OF ITS MAJORITY INTEREST THIS GAIN IS REPORTED ON FORM 990, PART VIII, LINE 7 FORM 990, PART III, LINE 4A TGen's Integrated Cancer Genomics Division brings together bioinformatics, cutting-edge technologies and basic research to create a comprehensive attack on cancer with the ultimate goal of developing new diagnostics and treatments Specific areas of focus include prostate cancer, melanoma, familial breast cancer, colon cancer, multiple myeloma and renal tumor research Keeping in line with TGen's mission of developing earlier diagnostics and smarter treatments, we hope this integrated approach to cancer genome research will help to uncover important inherited and tumor derived alterations, which are associated with cancer susceptibility and important tumor characteristics such as progression and response to therapy FORM 990, PART III, LINE 4B The Neurogenomics Division has two goals, both of which derive from the overarching mission of the Translational Genomics Research Institute (TGen) It is common knowledge that early intervention and treatment saves lives when it comes to neurological diseases Therefore, our first goal is to improve the ability to diagnose neurological disease before it strikes Because these diseases impact so many lives around the world either directly (by having a disease), or indirectly (by caring for a loved one with a disease), the second goal centers on the development of new 'smart-drug' therapies There are five labs within the division, encompassing the entire breadth of neurological disease FORM 990, PART III, LINE 4c TGen's Genotyping Technology Center analyzes bits of DNA called single nucleotide polymorphisms (SNPS) which give researchers the power to identify disease-causing genes, associations, and DNA signatures, all of which have profound implications for detection, prognosis and therapeutic intervention The SNP Genotyping Center offers innovative solutions that address the requirements for flexibility, simplicity, throughput, economy and accuracy and accuracy

Return Reference	Explanation	
	FORM 990, PART III, LINE 4D	Introduction Year-over-year, TGen adds value to Arizona's biomedical sector through scient ific and medical advances, educating the next generation of scholars, and economic stimulu s A key to this success has been our State-funded support In FY13, our 11th year of oper ations, w e announced among other initiatives, the launch of the TGen Center for Rare Child hood Disorders (C4RCD), w here our faculty w ill apply the latest tools of genomic medicine to provide answ ers for parents w anting to identify the disease or disorder affecting their child And, thanks to Stand Up To Cancer, The Ben & Catherine Ivy Foundation, the Melanom a Research Alliance, the State's universities, multiple local health care providers and ot hers, w e initiated research projects and clinical trials in the study of melanoma and brai n tumors, w ith the goal of delivering the latest in effective new treatments to patients a s quickly as possible In the area of Alzheimer's disease research, MindCrow d (w w w mindcro w d org) is a unique internet-based project designed to identify the genetic markers linked to learning and memory MindCrow d harnesses the pow er of the Internet to study the human brain by engaging the w orld and seeking 1 million on-line participants We have all met so meone w ho can run faster or jump higher than us When it comes to learning and remembering , the same is true Our individual genetic blueprint - made up of billions of letters - de termine, at least in part, these differences Today, more than ever before, many patients facing cancer and other serious illnesses are hearing about TGen's patient-focused researc h and how it has begun to change the w ay w e think about the practice of medicine In a fro nt-page New York Times article, the search for precision therapy brought San Diego-based m olecular biologist Dr Tim McDaniel to TGen w hen his ow n mother faced a rare but deadly ca ncer Know ing of their patient-focused approach to research, Dr McDaniel selected TGen sc ientists to help connect the best available science to his mother's treatment plan By w or king together to analyze the billions of data points in her genome, they identified a uniq ue genetic change and matched it w ith a therapy that improved his mother's quality of life long enough for her to celebrate her 50th w edding anniversary TGen's patient-focused app roach also enabled TGen to be selected by Stand Up To Cancer and the Melanoma Research All iance to co-lead a national dream team of scientists and physicians in an unprecedented th ree-year study of the most deadly form of skin cancer They w ill investigate possible new individualized approaches to patients based on the specific genomic changes in their cance rs A common thread to all of these stories is TGen's ability to sift through the billions of genetic data points generated through the sequencing of each individual genome Advanc es in medicine and scientific know ledge about disease have created a ripe environment for medical advances Nevertheless, identifying the right treatment to target cancer and other complex diseases is still difficult and cost prohibitive The development of w hole genome sequencing and advanced proteomic technologies, both occurring at TGen, addresses these c hallenges TGen's application of these technologies, coupled w ith next-generation sequenci ng methods, allow s our faculty to sequence an individual's entire genome more quickly and cost effectively than ever before This has unlocked the biology of disease in entirely ne w w ays Sequencing pinpoints clinically actionable targets for difficult-to-treat cancers by identifying all the genetic mutations in a human genome This creates more opportunitie s for clinical collaborations betw een TGen and its research partners and allow s TGen to es tablish a niche for itself in clinical applications of next-generation sequencing technolo gy Patients benefit from access to personalized data that identifies familial genetic ris ks and allow s them to make informed healthcare decisions To facilitate diagnosis and info rm treatment in a timely manner, TGen successfully established a federally certified clini cal services laboratory Know n as CLIA certification, this designation provides clinicians the ability to treat immediately based upon TGen's genetic findings, a process that other w ise w ould require outsourcing and could take several w eeks or longer, time many patients simply cannot afford The Next Decade and Beyond While TGen and its scientists have made g reat progress in the past decade, the opportunity to create a w atershed moment in precisio n medicine is now TGen leads through its mission of transforming the standard of care pat ients receive today and in the future TGen participation in patient care results in a dis tinct clinical practice that connects cutting-edge technology to discern the individual pa tient's genome coupled w ith molecular know ledge Working together, the patient's doctor an d TGen scientists can arrive at an individual trea

Return Reference	Explanation	
	FORM 990, PART III, LINE 4D	tment plan After its initial decade of work, TGen stands poised to - Enhance and grow the talent and technology - the scientists and the equipment - required to move toward our vision for transforming today's standard-of-care, where local research benefits local patients first - Solve the emerging challenges by intently moving along the trajectory of continuing success, confident of the plan and the goal, but keenly aware that there must be improvements through iterative learning TGen's work fills a special void that other organizations often cannot undertake we discover and conquer new directions and solutions for diagnosis and treatment of the most difficult and often unique health issues that have never been accomplished before - Deliver because TGen's vision is to solve unmet healthcare issues on a personalized level, our direction and progress positions our focus in a space where pioneering steps lead our scientists to untested terrain Where many research and translational clinical programs talk and plan about new approaches to treatment and care, TGen delivers progress by creating new paradigms - Press for continuous improvement encompass and analyze larger datasets, learn from each patient to create better outcomes and accelerate clinical impact toward a better standard of care for all patients Disrupting the status quo is the very nature of innovation and at TGen, our faculty draw inspiration from challenging the status quo TGen has realized great progress in its initial 10-year growth and re-investment will bring still greater impact and results, maintenance of the current status is not adequate if we are to ensure that greater results are available to improve patient care and save lives In addition, the following overview provides a snapshot of recent progress in scientific publications, grants, contracts, philanthropy, education and outreach, media and community recognition

Return Reference	Explanation	
	Peer-Reviewed Laboratory Research Publications and Presentations	The main focus of TGen's biomedical research has always been the patient, whether seeking a greater understanding of the biology underlying a particular disease, or using that know ledge to develop diagnostic platforms or render more precise treatment options Driven by technology, but powered by TGen's outstanding scientific and clinical investigators, the Institute is equal to the strengths and capabilities of any of today's leading research and clinical institutes Nowhere is this more evident than with TGen's whole genome sequencin g capabilities Whole genome sequencing allows us to dig deeper into the genome than ever before by providing more information and increasing our probability of identifying somethi ng significant The long-term hope is that doctors will leverage this information to infor m decisions about patient care The results from these research studies appear in a number of leading scientific and medical journals and add to the growing knowledge base of molec ular research and medicine In FY13, TGen researchers published their research results in numerous scholarly peer-reviewed academic journals and through presentations at leading na tional and international conferences These include publication in leading scientific jour nals such as Nature, Nature Genetics, Cancer, Genome Medicine, PLos One, Human Genetics, B lood, Science Translational Medicine, and a host of other disease-associated publications FY13 Select Highlights 1 Isolation and characterization of muscle fatigue substance with anti-tumor activities Munoz RM, Han H, Tegeler T, Petritis K, Von Hoff DD, Hoffman SA J Cancer 2013 May 9,4(4) 343-9 Print 2013 2 Cancer of the ampulla of Vater analysis of the whole genome sequence exposes a potential therapeutic vulnerability Demeure MJ, Crai g DW, Sinari S, Moses TM, Christoforides A, Dinh J, Izatt T, Aldrich J, Decker A, Baker A, Cherni I, Watanabe A, Koep L, Lake D, Hostetter G, Trent JM, Von Hoff DD, Carpten JD Gen ome Med 2012 Jul 4,4(7) 56 [Epub ahead of print] 3 Reciprocal Activation of Transcripti on Factors Underlies the Dichotomy between Proliferation and Invasion of Glioma Cells Dhr uv HD, McDonough Winslow WS, Armstrong B, Tuncali S, Eschbacher J, Kislin K, Loftus JC, Tr an NL, Berens ME PLoS One 2013, 8(8) e72134 4 HOXB13 is a susceptibility gene for pros tate cancer results from the International Consortium for Prostate Cancer Genetics (ICPCG) Xu J, Lange EM, Lu L, Zheng SL, Wang Z, Thibodeau SN, Cannon-Albright LA, Teerlink CC, Camp NJ, Johnson AM, Zuhlke KA, Stanford JL, Ostrander EA, Wiley KE, Isaacs SD, Walsh PC, Maier C, Luedeke M, Vogel W, Schleutker J, Wahlfors T, Tammela T, Schaid D, McDonnell SK, DeRycke MS, Cancel- Tassin G, Cussenot O, Wiklund F, Grnberg H, Eeles R, Easton D, Kote-Ja rai Z, Whittemore AS, Hsieh CL, Giles GG, Hopper JL, Severi G, Catalona WJ, Mandal D, Lede t E, Foulkes WD, Hamel N, Mahle L, Moller P, Powell I, Bailey-Wilson JE, Carpten JD, Semin ara D, Cooney KA, Isaacs WB, International Consortium for Prostate Cancer Genetics Hum Ge net 2013 Jan, 132(1) 5-14 Epub 2012 Oct 12 5 Detection of chromosomal alterations in t he circulation of cancer patients with whole- genome sequencing Leary RJ, Sausen M, Kinde I, Papadopoulos N, Carpten JD, Craig D, O'Shaughnessy J, Kinzler KW, Parmigiani G, Vogels tein B, Diaz LA Jr, Velculescu VE Sci Transl Med 2012 Nov 28, 4(162) 162ra154 6 Geneti c relationship between five psychiatric disorders estimated from genome-wide SNPs Cross-D isorder Group of the Psychiatric Genomics Consortium, Lee SH, Ripke S, Neale BM, Faraone S V, Purcell SM, Perlis RH, Mowry BJ, Thapar A, Goddard ME, Witte JS, Absher D, Agartz I, Ak il H, Amin F, Andreassen OA, Anjorin A, Anney R, Anttila V, Arking DE, Asherson P, Azevedo MH, Backlund L, Badner JA, Bailey AJ, Banaschewski T, et al Nat Genet 2013 Aug 28, 45(9) 984-?94 Epub 2013 Aug 11 7 An integrated map of genetic variation from 1,092 human g enomes 1000 Genomes Project Consortium, Abecasis GR, Auton A, Brooks LD, DePristo MA, Dur bin RM, Handsaker RE, Kang HM, Marth GT, McVean GA Nature 2012 Nov 1, 491(7422) 56-65 8 Multicenter phase I trial of the mitogen-activated protein kinase 1/2 inhibitor BAY 86-9 766 in patients with advanced cancer Weekes CD, Von Hoff DD, Adjei AA, Leffingwell DP, Ec khardt SG, Gore L, Lewis KD, Weiss GJ, Ramanathan RK, Dy GK, Ma WW, Sheedy B, Iverson C, M iner JN, Shen Z, Yeh LT, Dubowy RL, Jeffers M, Rajagopalan P, Clendeninn NJ Clin Cancer R es 2013 Mar 1, 19(5) 1232-43 Epub 2013 Feb 22 Clinical Research / Clinical Trials At TG en, the concept of pairing a treatment strategy with an individual's unique molecular prof ile with the goal of improving patient outcomes is a process we commonly refer to as preci sion medicine Initially, TGen is applying this new method to many aggressive cancers and rare diseases for patients who are resistant to traditional treatments The long-term hope is that doctors will leverage this information an

Return Reference	Explanation	
	Peer-Reviewed Laboratory Research Publications and Presentations	d use it routinely to make informed decisions about patient care By identifying molecular targets before treating disease, medicine becomes more rational, more personalized, and drives down (not layers on) costs Matching the right patient with the right therapy appropriate to the underlying genetics of their specific disease will mean that a higher proportion of patients will benefit There will be more durable responses and longer survival times There will be less unnecessary toxicity, expense, and time wasted on ineffective therapies Established in 2006, The Virginia G Piper Cancer Center (VGPCC) Clinical Trials Program at Scottsdale Healthcare, a strategic alliance between TGen and Scottsdale Healthcare (SHC), provides a direct clinical research site for TGen Dr Daniel Von Hoff, TGen's Physician-in-Chief, serves as Chief Scientific Officer Program clinicians' focus on clinical trials with targeted agents and genomics-based individualized therapy The VGPCC Clinical Trials Program allows the unique opportunity for TGen to transition its laboratory-based research to patient care centered on individualized therapy In FY13, program staff managed nearly 50 Phase I-III clinical trials for advanced or rare cancers Patient participation in clinical trials include - Over 300 visits per month - Nearly 40 new patients per month - Over 400 patient samples collected per month

Return Reference	Explanation	
	FY13 Highlights	1 In August 2012, a Phase I/II, multi-center trial designed to test the safety and preliminary efficacy of a first-in-class cancer treatment opened worldwide at the Virginia G Piper Cancer Center Clinical Trials at Scottsdale Healthcare PR610 is designed to activate in tissues with low levels of oxygen, which is characteristic of many cancers This "targeted" approach should deliver more active drug to cancer tissue and less active drug to normal tissue The two-part trial, would first determine acceptable dose levels of PR610 in patients with various types of advanced cancer After determining acceptable dose levels, the study would then evaluate the safety and efficacy of PR610 when given to patients with non-small cell lung cancer whose tumors contain a certain genetic mutation 2 In November 2012, a new cancer drug combination demonstrated significant improvement in overall survival of late-stage pancreatic cancer patients compared to those receiving standard treatment, according to results of a Phase III clinical trial SHC/TGen Physicians were first to design a clinical trial to determine the safety, tolerability and effectiveness of nab-paclitaxel (Abraxane) in combination with the standard drug gemcitabine in patients with advanced pancreatic cancer Results of that multicenter study chaired by Dr Daniel Von Hoff were encouraging enough that it led to one of the largest international studies ever done in pancreatic cancer, with 861 patients 3 In March 2013, The FDA has approved a thyroid cancer drug successfully tested at Virginia G Piper Cancer Center Clinical Trials, a partnership of Scottsdale Healthcare and the Translational Genomics Research Institute (TGen) The U S Food and Drug Administration approved Cabozantinib for the treatment of progressive, metastatic medullary thyroid cancer (MTC), a rare endocrine gland cancer affecting the thyroid Previously, MTC patients had limited treatment options 4 In April 2013, TGen and SHC reported the safety and preliminary efficacy of a new class of tumor fighting drugs Early results from the phase I, first in-human study of an RNA interference (RNAi) drug were announced during the American Association for Cancer Research (AACR) Annual Meeting 2013, April 6-10, in Washington, D C Tekmira Pharmaceuticals developed TKM-080301 (also known as TKM-PLK1) The study was conducted at Virginia G Piper Cancer Center Clinical Trials at Scottsdale Healthcare, a partnership with TGen It found that the RNAi drug acts by silencing the PLK1 gene involved in tumor growth and can be safely administered in humans Most patients tolerated the drug well, some showed therapeutic benefit Grant Support In addition to philanthropic donations and research contracts, grant funding is an important funding source for research In FY2013, TGen investigators submitted 117 grants totaling $9 8M TGen was awarded 12 grants, totaling $10 5M, with an additional 26 grants pending and in reviews totaling $14M Additionally, TGen received $5 4M from 2010 and 2011 pending grants, bringing the awarded total for 2012 to $15 9 TGen's success rate currently rests at 22 percent of total grants submitted, placing the Institute nearly 4 percent higher than the national average (NIH overall success rate) FY13 Highlights 1 Three-year grant from the National Institutes of Health (NIH) totaling $1,207,367 to Dr Nhan Tran to develop small molecule chemical probes against the TWEAK-Fn14 signaling pathway to treat glioma invasion 2 Five-year grant from the National Institutes of Health (NIH) totaling $1,515,154 to Drs Haiyong Han and Daniel Von Hoff to study targeted stromal collagen in pancreatic cancer 3 Four-year grant from the National Institutes of Health (NIH) totaling $1,800,094 to Dr Lance Price to study the rapid emergence of Livestock-associated methicillin-resistant Staphylococcus aureus (MRSA) ST398 4 Five-year subcontracted grant to MRIGlobal from the Virginia Contracting Agency totaling $757,834 to Dr Paul Keim to provide microbial forensics support 5 Two-year grant under subcontract with the Barrow Neurological Institute/St Joseph's Hospital and Medical Center from the National Institutes of Health (NIH) totaling $202,880 to Dr Holly Yin for the development of high-throughput assays for testing non-nicotine components in tobacco products 6 Two-year grant from National Institutes of Health totaling $472,035 to Drs Matthew Huentelman and Kendall Jensen to identify a biomarker to predict complications of brain injury under the NIH Common Fund Extracellular RNA Communication Consortium 7 One-year grant from the Adenoid Cystic Carcinoma Foundation totaling $106,066 to Dr Michael Barrett to study the determinants of therapeutic benefit for adenoid cystic carcinomas (ACC) patients 8 Eighteen-month fellowship from the NCF/ Merck Science Initiative totaling $92,000 to Dr Troy McEachron to investigate the molecular and cellular biology that underlies chemo-resis

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

Return Reference	Explanation	
	Enterprise Efforts, Collaboration, Spin offs & Job Creation	In FY13, TGen launched 2 initiatives to leverage internal discoveries and developments in genomics research and informatics tools These are 1 TGen Animal Health A research and development project with a local Arizona firm to evaluate the portability of human diagnos tic tools in the treatment of canine cancer TGen is one of the early adopters of the cani ne model as a vehicle to accelerate human research 2 Translational Systems, LLC Transla tional Systems, LLC was created to facilitate the commercialization of a suite of informat ics tools used in the creation, analysis and interaction of data from a variety of sources including patient samples and genomic data Invention Disclosures TGen filed 28 invention disclosures in FY13 based on discoveries stemming from TGen-led research, and 26 provisio nal patent applications Contracts and Collaborations TGen signed a total of 440 contracts in FY13, broken down as follows a 113 CDAs b 70 MTAs c 40 Research Collaborations d 38 Consulting Agreements e 79 Professional Service Agreements f 4 Commercialization Lice nses g 96 agreements covering miscellaneous activities A sample of the universities, inst itutes, medical centers and corporations that TGen worked with include Veterinary Neurolo gical Center, Texas Engineering Experiment Station (TEES), Hills Pet Nutrition, Mayo Clini c, Illumina, Pathogene, Phoenix Children's Hospital, Spectrum Health Hospitals, Geisinger Clinic, Michigan State University, AztraZeneca Pharmaceuticals, Onyx Pharmaceuticals, Nova rtis Horsham Research Centre, Dignity Health, MMRC, Hoffmann- LaRoche, FDA/AZ Dept of Heal th Services, and Ventana Medical Systems Job Creation Sixteen new full-time equivalent po sitions were created in 2013 with salaries and benefits totaling $1,213,836 Salaries for temporary positions (those positions created for a finite period of time) totaled $93,600 and student salaries were just over $340,000, bringing the overall total to $1,647,436 Ei ghty-eight percent of full-time TGen staff holds a college degree and fifty percent holds an advanced degree FY13 full-time positions filled (new and replacements) included - Acc ountant II - Assistant Professor - Bioinformatician, Associate - Business Analyst - Chief Financial Officer - Clinical Research Coordinator - Sr Engineer, High-Performance Computi ng - Histotechnologist - IT Administrator - Manager, Physician In Chief's Office - Post-Do c Fellow - Research Associate - Research Associate II - Research Associate III - SharePoin t Developer - Education and Outreach Specialist - Sr Data Base Administrator - Staff Scie ntist - Vice President, Corporate Development Education and Public Outreach TGen gears its science education and community outreach toward the development of a talented bioscience workforce in Arizona and increased public fluency in genomic science and translational med icine Education FY13 saw 45 Arizona students - selected from nearly 500 Arizona applicant s - participate in TGen's flagship, paid summer internship program, Helios Scholars at TGe n Nearly every TGen division hosted interns for hands-on experiences grants and research administration, environmental health and safety, cancer, neurological disease, diabetes a nd infectious disease Cohort demographics 73 percent attended public colleges or univers ities in Arizona, 24 percent self-identified as races/ethnicities underrepresented in the biosciences, 22 percent were in high school, 69 percent in college and 9 percent in gradua te or medical school TGen re-engaged the nearly 250 Helios Scholars alumni for the second annual alumni networking reception in July Intern alumni from every Helios Scholars' cla ss (2007-2013) attended the reception to expand their Arizona bioscience networks Alumni also provide guidance to each new summer intern class, sit on the selection committee and act as ambassadors for the biosciences within their social and professional networks The Ben and Catherine Ivy Foundation awarded TGen funding for an expanded second year of the I vy Neurological Sciences Internship Program, a summer and fall paid internship program now supporting two high school students, four undergraduates and one medical school candidate annually for neurological disease research and a clinical training module For a second y ear, TGen partnered with Duke University to bring two Duke undergraduates interested in bi oinformatics and genomics to TGen for a 10-week internship This broadened awareness of TG en nationally and potentially set the stage for future faculty collaborations Outside of these programs, TGen hosted approximately 15 summer interns, and 50+ academic year interns throughout all TGen research divisions including laboratory and clinical research, resear ch administration, and mathematics and computational biology research Public Outreach In FY13 TGen hosted over 50 public tours (~500 attendees) for students, teachers, community o rganizations and the general public New this year

Return Reference	Explanation	
	Enterprise Efforts, Collaboration, Spin offs & Job Creation	is TGen's participation in the Lesson2Life teacher-training program offered by the Arizon a K12 Center Eight local teachers visited the Institute for a genomics and biotechnology update, a laboratory tour and interaction with a panel of high school and undergraduate in terns In February 2013, TGen hosted an in-depth laboratory tour and networking reception exclusively for local STEM educators, "Teacher Night at TGen," with nearly 50 attendees in support of the Arizona SciTech Festival At the reception, teachers had the opportunity t o network with each other and TGen scientists In March 2013, TGen supported three local h igh school students from the Be a Leader Foundation for the annual Shadow a Professional D ay Over 20 TGen scientists served as project judges for the 2013 Intel International Scie nce and Engineering Fair (ISEF) TGen faculty and staff also assisted with ISEF Education and Outreach Day for area middle schools and will expand participation in the 2016 and 201 9 Fair rotations TGen believes it has a responsibility to offer workforce knowledge and e xpertise to our education community partners In this spirit, TGen is represented on sever al boards and working groups including but not limited to Arizona Science Center Pathways Grant Advisory Board, Paradise Valley Unified School District Center for Research in Engi neering, Science and Technology (CREST) Advisory Board, Phoenix Healthcare Sector Partners hip, Scottsdale Chamber of Commerce Workforce Development Committee, Arizona Bioindustry A ssociation Workforce Initiative, Intel ISEF Phoenix Local Arrangements Committee (LAC), Ce nter for the Future of Arizona STEM Diploma Project Advisory Committee Media/On-line TGe n remains active in pursing positive earned media exposure for the Institute's research an d philanthropic activities Media exposure raises awareness and brings added credibility t o the Institute and the state In total, TGen received nearly 1,000 media mentions in FY13 in various trade and public media locally, nationally and internationally While citing TGen specifically, these articles and news briefs help build a greater presence for the co ntinuously expanding biomedical science initiatives occurring in Arizona Media outlets in clude ABC News, Arizona Daily Sun, The Arizona Republic, The Boston Herald, Chicago Tribu ne, CNN, Dow Jones, Flagstaff Today, Forbes, New York Times, National Public Radio, Phoeni x Business Journal, Phoenix Magazine, and more As TGen enters its second decade, we do so with a new logo and website that more succinctly reflects TGen's research environment and mission and the rapidly changing technologies that have accelerated our pace of discovery over the past decade The new logo reflects TGen's continued focus on the patient, partic ularly in the areas of cancer, neurology and rare childhood disorders These changes have altered the public view of how genomics can positively impact society in terms of medical care and so many additional facets of life TGen has redefined our online presence allows our varied stakeholders to stay up-to-date on the latest research findings, patient advanc es, public events and initiatives Our new identity retains the qualities of our brand pro mise but reflects our evolution over the past decade in becoming leaders in the area of pe rsonalized medicine

Return Reference	Explanation
Form 990, Part VI, Line 2	RICHARD BOALS AND ROBERT BULLA HAVE A BUSINESS RELATIONSHIP JERRY BISGROVE AND BERT GETZ HAVE A BUSINESS RELATIONSHIP Form 990, Part VI, Line 11b The form 990 is prepared by an outside accounting firm based on information provided by the TGen Finance department The form 990 is then reviewed by the Finance department and other members of management The form 990 is posted on the Board website for Board review prior to filing with the IRS

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

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

Return Reference	Explanation
Form 990, Part VI, Line 19	The Organization's governing documents, conflict of interest policy, and financial statements are provided to the general public upon request

Return Reference	Explanation
Part VII, Section A, Line 1a	TGen has a Board of Governors that is comprised of current voting Directors and some former Directors that remain affiliated with TGen in an advisory role The current nonvoting advisory Governors not listed as Directors in Part VII, Section A include Betsy Bayless Susan Clark-Johnson The Honorable Diane Enos John D Haeger, Ph D Ann Weaver Hart, Ph D Sethuraman Panchanathan, Ph D The Honorable Jim Slattery Victor Trastek, M D

Return Reference	Explanation
FORM 990 PART IX LINE 11G	DESCRIPTION CONSORTIUM/CONTRACTUAL TOTAL FEES 5182007

Return Reference	Explanation
FORM 990 PART IX LINE 11G	DESCRIPTION OUTSIDE RESEARCH SERVICES TOTAL FEES 1437179

Return Reference	Explanation
FORM 990 PART IX LINE 11G	DESCRIPTION CONSULTING TOTAL FEES 659265

Return Reference	Explanation
FORM 990 PART IX LINE 11G	DESCRIPTION TEMPORARY SERVICES TOTAL FEES 116645

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493316049794

SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

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

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Employer identification number
75-3065445

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

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

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity? Yes	No
(1) TGEN RESEARCH INSTITUTE FOUNDATION 445 n 5th Street Suite 600 Phoenix, AZ 85004 33-1092191	Fundraising	AZ	501(c)(3)	7	TGEN	Yes	

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

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

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

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512 (b)(13) controlled entity? Yes	(i) No

Part V **Transactions With Related Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule		Yes	No
1 During the tax year, did the orgranization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?			
a Receipt of **(i)** interest **(ii)** annuities **(iii)** royalties or **(iv)** rent from a controlled entity	1a		No
b Gift, grant, or capital contribution to related organization(s)	1b		No
c Gift, grant, or capital contribution from related organization(s)	1c	Yes	
d Loans or loan guarantees to or for related organization(s)	1d		No
e Loans or loan guarantees by related organization(s)	1e		No
f Dividends from related organization(s)	1f		No
g Sale of assets to related organization(s)	1g		No
h Purchase of assets from related organization(s)	1h		No
i Exchange of assets with related organization(s)	1i		No
j Lease of facilities, equipment, or other assets to related organization(s)	1j		No
k Lease of facilities, equipment, or other assets from related organization(s)	1k		No
l Performance of services or membership or fundraising solicitations for related organization(s)	1l		No
m Performance of services or membership or fundraising solicitations by related organization(s)	1m	Yes	
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n	Yes	
o Sharing of paid employees with related organization(s)	1o	Yes	
p Reimbursement paid to related organization(s) for expenses	1p	Yes	
q Reimbursement paid by related organization(s) for expenses	1q		No
r Other transfer of cash or property to related organization(s)	1r		No
s Other transfer of cash or property from related organization(s)	1s		No

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

(a) Name of related organization	**(b)** Transaction type (a-s)	**(c)** Amount involved	**(d)** Method of determining amount involved
(1) TGEN RESEARCH INSTITUTE FOUNDATION	c	6,708,330	Actual Cost
(2) TGEN RESEARCH INSTITUTE FOUNDATION	m	7,830,838	Actual Cost
(3) TGEN RESEARCH INSTITUTE FOUNDATION	n	84,000	Actual Cost
(4) TGEN RESEARCH INSTITUTE FOUNDATION	o	176,526	Actual Cost
(5) TGEN RESEARCH INSTITUTE FOUNDATION	p	534,104	Actual Cost

Part VI **Unrelated Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

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

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(e) Are all partners section 501(c)(3) organizations?		(f) Share of total income	(g) Share of end-of-year assets	(h) Disproprtionate allocations?		(i) Code V?UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
				Yes	No			Yes	No		Yes	No	

Part VII Supplemental Information

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

Return Reference	Explanation

Additional Data

Software ID:
Software Version:
EIN: 75-3065445
Name: THE TRANSLATIONAL GENOMICS RESEARCH INSTITUTE

Form 990, Schedule R, Part I - Identification of Disregarded Entities

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary Activity	(c) Legal Domicile (State or Foreign Country)	(d) Total income	(e) End-of-year assets	(f) Direct Controlling Entity
(1) TGEN ACCELERATOR MANAGEMENT LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 75-3065445	GENOMICS	AZ	0	0	TGEN
(1) INT'L BIOSCIENCES COMMERCIALIZATION LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 27-2987735	LICENSING	AZ	0	0	TGAM LLC
(2) THE CENTER FOR TRANSLATIONAL DRUG DEV 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 43-2047329	DRUG DEVEL	AZ	0	0	TGAM LLC
(3) TRANSLATIONAL DRUG DEV LLC(THRU 1113) 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 46-4150915	DRUG DEVEL	DE	-274,344	0	CTR TD2 LLC
(4) TRANSLATIONAL SYSTEMS LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 46-1309498	ADV RESEARCH	AZ	0	0	TGEN
(5) PET CANCER DIAGNOSTICS LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004	ANIMAL DIAG	AZ	0	0	TGEN
(6) TGEN HEALTH VENTURES LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 46-4520712	HEALTH CARE	AZ	0	0	TGEN
(7) ASHION PMED MANAGEMENT LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 38-3922888	PERSONAL MED	DE	0	0	TGHV LLC
(8) ASHION ANALYTICS LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 45-4587602	GENO ANALYSIS	AZ	0	0	PMED LLC
(9) ASHION ADVANCED INDIVIDUAL MEDICINE LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 46-4706761	PERSONAL MED	DE	0	0	PMED LLC
(10) PERSONALIZED MEDICINE PARTNERS LLC 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 37-1751435	PERSONAL MED	DE	0	0	TGHV LLC
(11) PERSONALIZED MEDICINE CAPITAL LP 445 N 5TH STREET SUITE 600 PHOENIX, AZ 85004 46-5070366	PERSONAL MED	DE	0	0	PMP LLC