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Form **990-PF**Department of the Treasury
Internal Revenue Service**Return of Private Foundation**
or Section 4947(a)(1) Trust Treated as Private Foundation

Do not enter Social Security numbers on this form as it may be made public.
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No. 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation THE ALEN FOUNDATION			A Employer identification number 95-4325051	
Number and street (or P.O. box number if mail is not delivered to street address) P.O. BOX 13390		Room/suite	B Telephone number (see instructions) (760) 341-5293	
City or town PALM DESERT	State CA	ZIP code 92255-3390		
Foreign country name		Foreign province/state/county	Foreign postal code	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change			D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 36,392,922		J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) MODIFIED CASH (Part I, column (d) must be on cash basis)		
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>				

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received (attach schedule)				
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch. B Interest on savings and temporary cash investments	399	399		
3	Dividends and interest from securities	1,163,519	1,163,519		
4	Gross rents				
5a	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	197,981			
b	Gross sales price for all assets on line 6a 25,986,662				
7	Capital gain net income (from Part IV, line 2)		159,981		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule) SEE SCH. (1)	253,415	198,458		
12	Total. Add lines 1 through 11	1,615,314	1,522,357		
13	Compensation of officers, directors, trustees, etc.				
14	Other employee salaries and wages	317,507			317,507
15	Pension plans, employee benefits	127,443			127,443
16a	Legal fees (attach schedule) SEE SCH. (2)	1,980	1,500		480
b	Accounting fees (attach schedule) SEE SCH. (3)	37,550			37,550
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see instructions) SEE SCH. (4)	1,460,133	1,401,033		
19	Depreciation (attach schedule) and depletion SEE SCH. (5)	27,752			
20	Occupancy	12,000	1,200		10,800
21	Travel, conferences, and meetings	3,335			3,335
22	Printing and publications				
23	Other expenses (attach schedule) SEE SCH. (6)	47,820	26,800		21,020
24	Total operating and administrative expenses. Add lines 13 through 23	2,035,520	1,430,533		518,135
25	Contributions, gifts, grants paid SEE SCH. (14)	463,000			463,000
26	Total expenses and disbursements. Add lines 24 and 25	2,498,520	1,430,533		981,135
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	-883,206			
b	Net investment income (if negative, enter -0-)		91,824		
c	Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

Form **990-PF** (2013)

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Operating and Administrative Expenses

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	1,243,613	2,430,701	2,430,701
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) :			
	7	Other notes and loans receivable (attach schedule) ▶ 120,559			
		Less: allowance for doubtful accounts ▶ SEE SCH. (7)	130,564	120,559	120,559
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U.S. and state government obligations (attach schedule) SEE SCH. (8)	709,927	562,471	548,198
	b	Investments—corporate stock (attach schedule) SEE SCH. (9)	10,629,828	10,719,565	10,921,896
	c	Investments—corporate bonds (attach schedule) SEE SCH. (10)	10,899,624	15,802,045	15,256,650
Liabilities	11	Investments—land, buildings, and equipment: basis ▶ 5,555,000			
		Less: accumulated depreciation (attach schedule) ▶ SEE SCH. (11)	5,555,000	5,555,000	5,555,000
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment: basis ▶ 228,659			
		Less: accumulated depreciation (attach schedule) ▶ SEE SCH. (11) 98,682	58,039	129,977	129,977
	15	Other assets (describe ▶ See Attached Statement SEE SCH. (12))	8,411,926	1,429,941	1,429,941
	16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	37,638,521	36,750,259	36,392,922
	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ Due to related entities)	45,848	40,792	
	23	Total liabilities (add lines 17 through 22)	45,848	40,792	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted	37,592,673	36,709,467	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	37,592,673	36,709,467	
	31	Total liabilities and net assets/fund balances (see instructions)	37,638,521	36,750,259	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	37,592,673
2	Enter amount from Part I, line 27a	2	-883,206
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	36,709,467
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	36,709,467

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs, MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	Publicly Traded Securities - See Sch. 13	P	VARIOUS	VARIOUS
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a	25,948,662	25,788,681	159,981	
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
a			159,981	
b				
c				
d				
e				
2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		2	159,981
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?
If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.☐ Yes ☒ No**1** Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	860,347	28,618,977	0.030062
2011	908,363	27,653,120	0.032848
2010	871,875	22,659,832	0.038477
2009	1,396,360	18,409,776	0.075849
2008	902,230	22,585,767	0.039947
2	Total of line 1, column (d)		2 0.217183
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years		3 0.043437
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5		4 34,131,980
5	Multiply line 4 by line 3		5 1,482,591
6	Enter 1% of net investment income (1% of Part I, line 27b)		6 918
7	Add lines 5 and 6		7 1,483,509
8	Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions		8 1,080,825

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	1,836
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2	3	1,836
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,836
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	13,518
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	13,518
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	11,682
11	Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> 11,682 Refunded <input type="checkbox"/>	11	

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address ► N/A				
14	The books are in care of ► The Auen Foundation Telephone no. ► (760) 341-5293			
Located at ► 75-200 Classic Club Blvd, 2nd Floor, Palm Desert, CA USA ZIP+4 ► 92211				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here and enter the amount of tax-exempt interest received or accrued during the year	15	N/A	
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►				X

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

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

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☒ No N/A

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No **6b** X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No **7b**

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RONALD M. AUEN PO BOX 13390 P.DESERT, CA 92255-3390	Trustee 1 HOUR	NONE	NONE	NONE

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SHERRIE AUEN PO BOX 13390, PALM DESERT, CA 92255-3390	Dir. of Programs 40+ Hours	172,616	25,656	NONE
CATHARINE REED PO BOX 13390, PALM DESERT, CA 92255-3390	Asst. Dir -Programs 30+ Hours	128,103	17,778	NONE

Total number of other employees paid over \$50,000 NONE

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services ▶ NONE**Part IX-A Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments. See instructions	
3	
Total. Add lines 1 through 3 ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	24,223,085
b	Average of monthly cash balances	1b	3,378,715
c	Fair market value of all other assets (see instructions)	1c	7,049,956
d	Total (add lines 1a, b, and c)	1d	34,651,756
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	34,651,756
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	519,776
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	34,131,980
6	Minimum investment return. Enter 5% of line 5	6	1,706,599

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

1	Minimum investment return from Part X, line 6	1	1,706,599
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,836
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	8,843
c	Add lines 2a and 2b	2c	10,679
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,695,920
4	Recoveries of amounts treated as qualifying distributions	4	38,000
5	Add lines 3 and 4	5	1,733,920
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,733,920

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	981,135
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	99,690
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,080,825
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,080,825

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				1,733,920
2 Undistributed income, if any, as of the end of 2013.				
a Enter amount for 2012 only			29,625	
b Total for prior years. 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 1,080,825				
a Applied to 2012, but not more than line 2a			29,625	
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2013 distributable amount				1,051,200
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2013. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount—see instructions				
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount—see instructions				
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				682,720
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9.				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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

N/A

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

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

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years			(e) Total
(a) 2013	(b) 2012	(c) 2011	(d) 2010	
85% of line 2a				
Qualifying distributions from Part XII, line 4 for each year listed				
Amounts included in line 2c not used directly for active conduct of exempt activities				
Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c				
3 Complete 3a, b, or c for the alternative test relied upon.				
a "Assets" alternative test—enter:				
(1) Value of all assets				
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)				
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed				
c "Support" alternative test—enter:				
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)				
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)				
(3) Largest amount of support from an exempt organization				
(4) Gross investment income				

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)**1 Information Regarding Foundation Managers:**

- a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2))

NONE

- b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

- a** The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

N/A

- b** The form in which applications should be submitted and information and materials they should include:

N/A

- c** Any submission deadlines.

N/A

- d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

N/A

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE SCH. (14)				463,000
Total			3a	463,000
b Approved for future payment NONE				
Total			3b	

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990 PF, Dec. 31, 2013
Schedule (1), Part 1, Line 11

<u>DESCRIPTION</u>		NET INVESTMENT INCOME
OTHER INCOME:	PER BOOKS	
Interest - Notes	163,269	163,269
Income from LLC	90,101	35,144
Misc. Other Income	45	45
	<u>253,415</u>	<u>198,458</u>

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
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Schedule (2), Part 1, Line 16a

LEGAL FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Mitchell, Silberberg, & Knupp, LLC 11377 West Olympic Blvd. Los Angeles, CA 90064 Service: Legal	1,500	1,500	-
Rover Armstrong, A.P.C. 75100 Mediterranean Palm Desert, CA 92211 Service: Legal	480	-	480
Totals	1,980	1,500	480

The Auen Foundation
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2013
Schedule (3), Part 1, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Deloitte & Touche LLP 350 South Grand Avenue, Suite 200 Los Angeles, Ca 90071-3462 Service: Financial Reports and Tax Returns	<u>37,550</u>	<u>-</u>	<u>37,550</u>

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Schedule (4), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	7,000	-	-
Federal UBI Tax	28,000	-	-
California UBI Tax	12,100	-	-
Alabama UBI Tax	12,000	-	-
Property Taxes (Note*)	1,401,033	1,401,033	-
	<u>1,460,133</u>	<u>1,401,033</u>	<u>-</u>

Note * - Includes \$1,131,682 of delinquent property taxes on property acquired through foreclosure.

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Schedule (5), Part 1, Line 19

<u>DESCRIPTION</u>	<u>DEPRECIATION EXPENSE</u>
Per Books	27,752
Less, depreciation not for investment purposes	<u>27,752</u>
Column (b) - Net investment income	<u><u>-</u></u>

The Auen Foundation
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Schedule (6), Part I, Line 23

<u>DESCRIPTION</u>	<u>PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSE</u>
OTHER EXPENSES:			
Auto/Transportation Expenses	6,960	265	6,695
Employee Auto Reimbursement	(8,060)	-	(8,060)
Bank/Wire Charges	10	10	-
Corporate Fees	10	-	10
Insurance	9,664	961	8,703
Miscellaneous Charitable Expenses	6,097	-	6,097
Overhead Reimbursement	3,084	308	2,776
Office Supplies	1,665	125	1,540
Outside Services	24,943	24,746	197
Postage	9	9	-
Subscription	1,920	55	1,865
Property Taxes	321	321	-
Telephone	1,197	-	1,197
TOTALS	47,820	26,800	21,020

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Schedule (7), Part II, Line 7

OTHER NOTES AND LOANS RECEIVABLES

DESCRIPTION	Balance Due	Fair Market Value
Rusty Hamilton	<u>120,559</u>	<u>120,559</u>
TOTAL	<u>120,559</u>	<u>120,559</u>

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Schedule (8), Part II, Line 10a

<u>PURCHASE</u> <u>DATE</u>	<u>DESCRIPTION</u>	<u>ENDING</u> <u>COST</u>
<u>GOVERNMENT & AGENCY BONDS</u>		
03-10-11	FHLMC	111,114
12-03-12	FHLMC	121,571
03-14-11	FHLMC	114,035
04-13-10	FNMA	110,722
12-04-13	US TREASURY	105,029
TOTAL		<u><u>562,471</u></u>

The Auen Foundation
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Schedule (9), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>COMMON STOCKS</u>	
APOLLO RESIDENTIAL MTGE INC	89,000
AT&T INC	165,081
CALAMOS STRATEGIC TOTAL (CSQ)	144,813
CITIGROUP INC NEW	108,750
CLOUGH GLOBAL OPP FUND (GLO)	120,127
CVR PARTNERS	106,888
DELAWARE LCG (XXX-XX020-4)	314,749
FACEBOOK INC CL-A	57,000
FIRST EAGLE GLOBAL	581,084
GENERAL MOTORS	165,000
GS INTERNATIONAL REAL ESTATE SECURITIES (GIF	32,323
GS REAL ESTATE SECURITIES FUND (GIRIX)	32,573
INVESCO AIM	148,490
ISHARES MSCI EAFE INDEX FND ETF (EFA)	82,045
ISHARES MSCI EMERGING MKT FND (EEM)	100,984
ML/BLACKROCK GLOBAL ALLOC INV A	231,983
ML/BLACKROCK GLOBAL ALLOCATION C	970,344
PETROLOGISTICS LP	42,500
PHILLIP MORRIS INTL INC.	129,323
ROTHSCHILD	339,393
S&P TECHNOLOGY SELECT (XLK)	27,985
SANDRIDGE PERMIAN TRUST	59,250
SOUTHERNSUN	105,992
SPDR S&P 500 ETF TRUST (SPY)	154,944
THORNBURG	143,165
WELLS FARGO ASSET ALLOCATION "A"	151,922
WELLS FARGO ASSET ALLOCATION "C"	707,657
 SUB-TOTAL	 <u>5,313,365</u>

The Auen Foundation
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EIN: 95-4325051
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Schedule (9), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>PREFERRED STOCKS</u>	
AMTRUST FINANCIAL	100,000
AXIS CAPITAL HLDGS LTD	125,000
BANK NEW YORK MELLON	4,550
BB&T CORPORATION	150,000
BOSTON PROPERTIES	50,000
CAPSTEAD MTGE CORP	100,000
CITIGROUP INC	200,000
COBANK ACB	200,000
COMMONWEALTH REIT	125,000
DIGITAL REALTY TR INC	150,000
DOUBLELINE INCOME SOLUTION	250,000
ENTERGY LA LLC	450
EVERBANK FINANCIAL CORP	125,000
FIFTH THIRD BANCORP	50,000
FIRST REPUBLIC BK	100,000
FIRST REPUBLIC BK/SF	90,250
GENERAL GROWTH PROP	100,000
GOODRICH PETROLEUM	125,000
ING GROEP NV	250,000
INTEGRYS ENERGY	100,000
KAYNE ANDERSON	100,000
KAYNE ANDERSON	100,000
MFA FINANCIAL INC	100,000
MORGAN STANLEY	150,000
NATIONAL RETAIL PROP	150,000
NEXTERA	123,725
PITNEY BOWES	138,000
PPLUS TR SERIES RRD-1 CLASS A	100,000
PRUDENTIAL FINL	167,500
PS-BUSINESS PARKS INC	100,000
PS BUSINESS PARKS INC-S	197,100
PUBLIC STORAGE	100,000
QWEST CORPORATION	200,000
RENAISSANCERE HOLDINGS	196,775
ROYAL BK SCOTLAND GRP	100,000

The Auen Foundation
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Schedule (9), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>PREFERRED STOCKS (continued)</u>	
SENIOR HSG TRST	100,000
STATE STREET	11,225
TAUBMAN	51,625
TCF FINANCIAL CORP	100,000
TELE DATA	125,000
TEXAS CAP BANCSHARES	100,000
VORNADO REALTY	150,000
W.R. BERKLEY CORP	100,000
WELLS FARGO	150,000
WELLS FARGO	100,000
SUB-TOTAL	<u>5,406,200</u>
TOTAL	<u><u>10,719,565</u></u>

The Auen Foundation
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EIN: 95-4325051
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Schedule (10), Part II, Line 10c

DESCRIPTION	COST
<u>BOND MUTUAL FUND</u>	
ADVENT CLAYMORE ENHANCED G&I	259,420
GS HIGH YIELD FLOATING RATE FUND	60,000
GS LOCAL EMERGING MKTS DEBT FD	77,662
HIGH YIELD INSTL MUTUAL FUND	94,636
INVESCO VAN KAMP DYN CRDT OPP	100,000
MS EMERGING MKTS DOMESTIC DEBT	153,750
PIMCO DYNAMIC CREDIT INC FD	156,700
SUB-TOTAL	902,168
<u>CORPORATE BONDS</u>	
ABN AMRO BANK NV	220,000
ALLY FINANCIAL	807,444
AMERICAN GREETING	298,125
ANHEUSER-BUSCH	101,726
ANNALY CAP MGMT	103,500
ARCELORMITTAL	207,500
BALL CORP	401,012
BARCLAYS BANK PLC	258,375
BURLINGTON NORTH	201,920
CENTURYTEL INC	230,625
CITI GROUP INC	259,688
CITIGROUP INC	206,500
CITIGROUP INC	202,500
CITIZENS COMM CO	366,698
COMSTOCK RESOURCES	210,000
DOMTAR CORP	200,476
E TRADE FINANCIAL	418,875
ENERGIZER HOLDINGS	205,308
FORD MOTOR CREDIT	415,250
FOREST OIL CORP	215,513
FRONTIER COMMUNICATION	406,500
GECC	101,221
GENERAL ELEC CAP	309,000
HCA INC.	311,250
HEWLETT PACKARD	206,500
HEWLETT PACKARD	207,600
ICAHN ENTERPRISES	210,569
JEFFERIES GROUP	50,444
JP MORGAN CHASE	191,000
KINDRED HEALTHCARE	317,000
LEAR CORPORATION	122,375

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Schedule (10), Part II, Line 10c

DESCRIPTION	COST
<u>CORPORATE BONDS</u> (continued)	-
LEUCADIA NATL	304,963
LINN ENERGY LLC	410,750
LLOYDS TSB GROUP	185,000
MBIA INC	332,500
MORGAN STANLEY	101,270
PNC FINC SERVICES	264,375
POST HOLDINGS	267,500
PRUDENTIAL FINL	102,000
PRUDENTIAL FINL	100,986
RIO TINTO FIN USA	221,718
ROYAL BK SCOTLAND	370,631
ROYAL CARRIBBEAN	302,250
SANDRIDGE ENERGY	107,500
SANDRIDGE ENERGY	350,381
SIMON PROPERTY	200,800
SLM CORP	95,506
SLM CORP	298,500
STANLEY BLACK&DECKER	100,710
SYNOVUS FINL CORP	350,338
TESORO CORP	253,750
TOLL BROS FIN CORP	306,000
UNITED CNTNTLHLD	401,625
UNITED CNTNTLHLD	179,000
UNITED CNTNTLHLD	85,256
WALMART STORES INC.	99,811
WALT DISNEY CO	105,393
WINDSTREAM CORP	291,750
ZIONS BANCORP	443,123
ZIONS BANCORP	301,997
 SUB-TOTAL	 <u>14,899,877</u>
 TOTAL	 <u>15,802,045</u>

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EIN: 95-4325051
Form 990-PF, Dec. 31, 2013
Schedule (11), Part II, Line 14

DESCRIPTION	BOOK VALUE	ACCUM. DEPRECIATION	NET BOOK VALUE	TOTAL FAIR MARKET VALUE
<u>Real Properties</u>				
Vacant Land	5,555,000		5,555,000	5,555,000
<u>Fixed Assets:</u>				
Transportation and Equipment	228,659	98,682	129,977	129,977
Total	5,783,659	98,682	5,684,977	5,684,977

Depreciation - The cost of property and equipment is depreciated using the alternative modified accelerated cost recovery system. The useful lives used in the computation of depreciation are as follows:

Equipment	5 - 10 years
Transportation equipment	5 years

The Auen Foundation
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EIN: 95-4325051
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Schedule (12), Part II, Line 15

DESCRIPTION	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
OTHER ASSETS:		
Investment in LLC	1,367,830	1,367,830
Purchased Interest	<u>62,111</u>	<u>62,111</u>
TOTAL AMOUNT	<u>1,429,941</u>	<u>1,429,941</u>

The Auen Foundation
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EIN: 95-4325051
Form 990PF, Dec. 31, 2013
Schedule (13), Part IV

ACQUIRED BY PURCHASE

GOVERNMENT & AGENCY - BONDS

CORPORATE BONDS

STOCKS

TOTAL

Sales Price	Adjusted Cost	Gain or (loss)
1,016,399	1,058,671	(42,272)
13,626,986	13,771,091	(144,105)
11,305,277	10,958,919	346,358
25,948,662	25,788,681	159,981

The Auen Foundation

EIN: 95-4325051, Form 990PF, December 2013

Schedule (14), Part XV Line 3a, Grants Paid During Year and Part I Line 25

18 August 2014

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
January 2013					
The Desert Symphony, Inc. operating expenses	A 13-02	1/7/2013 CK# 3294	\$500.00	953871126	72925 Fred Waring Dr., Suite 101 Palm Desert, CA 92260
Total January 2013 (1 item)			<u>\$500.00</u>		
February 2013					
Opera Arts underwriting for 2013 Festival of Opera	A 13-12	2/26/2013 CK# 3302	\$5,000.00	300540629	PO Box 5433 Palm Springs, CA 92263
Riverside County Foundation on Aging sponsorship for Senior Inspiration Awards	A 13-09	2/14/2013 CK# 3299	\$2,000.00	201813339	6296 Rivercrest Drive, Suite K Riverside, CA 92507
Coronado Promenade Concerts sponsorship of 2013 Summer Concert Series	A 13-13	2/26/2013 CK# 3301	\$2,500.00	271045525	PO Box 182072 Coronado, CA 92178
Coachella Valley Symphony expenses for the Intergenerational / Mentoring Education Program	A 13-08	2/12/2013 CK# 3298	\$5,000.00	33041383	PO Box 10727 Palm Desert, CA 92255
Chapman University - School of Law support for the Alana Cortese Senior Law Center	A 13-05	2/6/2013 CK# 3295	\$25,000.00		One University Drive Orange, CA 92866
Desert Aids Project Membership to 100 women, support and services to women and children affected by aids.	A 13-11	2/26/2013 CK# 3300	\$3,000.00	330068583	1695 North Sunrise Way PO Box 2890 Palm Springs, CA 92263-2890
Salk Institute for Biological Studies support for Dr. John Young's research	A 13-04	2/6/2013 CK# 3296	\$20,000.00	952160097	10010 N. Torrey Pines Road La Jolla, CA 92037-1002

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Desert Aids Project <i>support mental health services for long-term AIDS survivors</i>	A 13-01	2/6/2013 CK# 3297	\$25,000.00	330068583	1695 North Sunrise Way PO Box 2890 Palm Springs, CA 92263-2890
Total February 2013 (8 items)			<u>\$87,500.00</u>		
March 2013					
The Ranch Recovery Centers, Inc. <i>funding for elderly treatment programs</i>	A13-14	3/19/2013 CK# 3306	\$15,000.00	237365064	7885 Annandale Avenue Desert Hot Springs, CA 92240
AIDS Assistance Program <i>Support for Food Voucher Program</i>	A13-15	3/19/2013 CK# 3304	\$15,000.00	330566442	1276 N. Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263
American Cancer Society, Inc. (Desert Palms Area) <i>addressing the needs of an aging population</i>	A 13-07	3/19/2013 CK# 3305	\$10,000.00		73-161 Fred Waring Drive Suite 100 Palm Desert, CA 92260
Pegasus Riding Academy for the Handicapped <i>support for Senior Therapy Program</i>	A 13-10	3/11/2013 CK# 3303	\$6,000.00	953774003	35-450-B Pegasus Court Palm Desert, CA 92211
Joslyn Senior Center <i>contribution to Center's programs and services</i>	A13-16	3/20/2013 CK# 3307	\$10,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
Palm Desert High School Foundation <i>graduation support</i>	A13-18	3/20/2013 CK# 3308	\$3,000.00	330149817	PO Box 1083 Palm Desert, CA 92261
Palm Springs Cultural Center <i>support for Dementia Treatment Documentary</i>	A13-19	3/26/2013 CK# 3309	\$5,000.00	55-0914693	2100 Tahquitz Canyon Way Palm Springs, CA 92262
Total March 2013 (7 items)			<u>\$64,000.00</u>		

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
April 2013					
A.C.T. for Multiple Sclerosis programs and services for individuals affected by MS	A13-06	4/9/2013 CK# 3310	\$10,000.00	330035866	73-710 Fred Waring Drive Ste. 118 Palm Desert, CA 92260
Total April 2013 (1 item)			<u>\$10,000.00</u>		
May 2013					
Fight with Grace honoring Rhonda LaRue Smith	A13-17	5/6/2013 CK# 3311	\$5,000.00	33-0700550	PO Box 2877 Orange, CA 92859
WLF - Women Leaders Forum of Coachella Valley operation program support	A13-22	5/13/2013 CK# 3312	\$5,000.00	91-2152686	74-923 HWY 111, PMB 129 Indian Wells, CA 92210
Total May 2013 (2 items)			<u>\$10,000.00</u>		
June 2013					
USC - Davis School of Gerontology for the purchase of two pieces of medical equipment - Real Time PCR & Cell Culture Incubator	A13-24	6/18/2013 CK# 3319	\$50,000.00		Attn: Tracy Arcuri 3715 McClintock Ave., Room 103 Los Angeles, CA 90089
HARC - Health Assessment Resource Center Operational support for programs and health services for the senior population in the Coachella Valley	A13-20	6/6/2013 CK# 3314	\$10,000.00		73-710 Fred Waring Drive Palm Desert, CA 92260
American Heart Association \$20,000 to be used for two new facilities for seniors for American Heart Association in Indio & Coachella. \$2,000 to be tagged for "Go Red for Women" membership for Catharine Reed and Sherrie Auen	A13-03	6/6/2013 CK# 3313	\$22,000.00	135613797	74-020 Alessandro, Suite A Palm Desert, CA 92260
Mizell Senior Center Mizell and Joey English Senior Program	A 13-26	6/17/2013 CK# 3315	\$5,000.00	953464835	480 S. Sunrise Way Palm Springs, CA 92262

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
International Classical Concerts of the Desert <i>to support the 2013 - 14 Season</i>	A13-27	6/17/2013 CK# 3316	\$2,000.00	061775531	PO Box 1227 La Quinta, CA 92253
Desert Samaritans For Seniors <i>match to funds raised at event for "The Furry Friends" program</i>	A13-25	6/17/2013 CK# 3317	\$12,000.00	330762300	75-105 Merle Street Suite 500 PO Box 10967 Palm Desert, CA 92255
USC - University of Southern California, Athletics Department <i>Scholarship fund for aging & health relations</i>	A13-23	6/18/2013 CK# 3318	\$30,000.00	951642394	Heritage Hall 203A 3501 Watt Way Los Angeles, CA 90089-0602
Total June 2013 (7 items)			<u>\$131,000.00</u>		
July 2013					
Mizell Senior Center <i>Fall Prevention Program</i>	A13-30	7/16/2013 CK# 3321	\$15,000.00	953464835	480 S. Sunrise Way Palm Springs, CA 92262
Palm Desert Chamber of Commerce <i>Funding for 2013 Golf Cart Parade - 49th Annual</i>	A13-29	7/16/2013 CK# 3322	\$15,000.00		72559 Highway 111 Palm Desert, CA 92260
DFDD - Desert Friends of the Developmentally Disabled <i>support for lab needs of seniors</i>	A13-28	7/8/2013 CK# 3320	\$5,000.00	264763443	6 Queens Court, Suit 200 Rancho Mirage, CA 92270
Operation Provider <i>support for a statue to be created to honor San Bernardino County Sheriff's Detective Jeremiah MacKay, fallen hero</i>	A13-31	7/31/2013 CK# 3323	\$12,500.00	522243409	PO Box 26 Twin Peaks, CA 92391
Total July 2013 (4 items)			<u>\$47,500.00</u>		
August 2013					
The Episcopal Refugee Network <i>intergenerational program support</i>	A13-34	8/20/2013 CK# 3324	\$3,000.00	208999776	4305 University Avenue, Suite 630 San Diego, CA 92105

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Coachella Valley Symphony <i>funding for public relations work from August 2013 through April 2014</i>	A 13-32	8/21/2013 CK# 3325	\$10,000.00	33041383	PO Box 10727 Palm Desert, CA 92255
Total August 2013 (2 items)			<u>\$13,000.00</u>		
September 2013					
Alzheimer's Association - California Southland Chapter <i>to underwrite Alzheimer's Awareness Month and the September 26th event</i>	A13-36	9/3/2013 CK# 3326	\$5,000.00		Coachella Valley Regional Office 69-730 Highway 111, Suite 202 Rancho Mirage, CA 92270
Gilda's Club of the Desert <i>to support programs held at Gilda's Club Desert Cities.</i>	A13-35	9/11/2013 CK# 3328	\$20,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260
Foundation for Palm Springs Unified School District - The Pinnacle Fund <i>Matching Commitment with the Regional Access Project Foundation to support RISE (Reading Inspires Student Excellence) Intergenerational Program.</i>	A13-33	9/4/2013 CK# 3327	\$15,000.00	261265520	980 East Tahquitz Canyon Way, Suite 202 Palm Springs, CA 92262
Total September 2013 (3 items)			<u>\$40,000.00</u>		
October 2013					
Parkinson's Resource Organization <i>program support</i>	A13-41	10/31/2013 CK# 3332	\$3,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
Pegasus Riding Academy for the Handicapped <i>support for the three marked items on your underwriting needs list</i>	A13-37	10/30/2013 CK# 3330	\$2,500.00	953774003	35-450-B Pegasus Court Palm Desert, CA 92211
Keep a Child Alive <i>operating funds</i>	A13-39	10/22/2013 CK# 3329	\$3,000.00	731682844	One World Trade Center, Suite 800 Long Beach, CA 90831
Total October 2013 (3 items)			<u>\$8,500.00</u>		

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
November 2013					
Stroke Recovery Center <i>funding for core rehabilitation services and to enhance self-confidence and mobility</i>	A13-38	11/4/2013 CK# 3334	\$5,000.00	953402464	Foundation Office 2800 East Alejo Road Palm Springs, CA 92262-6253
Hospice of Morongo Basin <i>support for Holiday Grief Counseling</i>	A13-42	11/4/2013 CK# 3331	\$3,000.00	953759200	61675 29 Palms HWY Joshua Tree, CA 92252
Total November 2013 (2 items)			<u>\$8,000.00</u>		
December 2013					
Friends of Vista Hill Foundation <i>funding for new project at the Kearny Mesa Adult program site</i>	A13-40	12/2/2013 CK# 3335	\$5,000.00	330174451	8910 Clairemont Mesa Ave. San Diego, CA 92123-1104
Sacred Heart School <i>funding for Sacred Heart Scholarship Fund, in memory of JoAnn Douglas</i>	A13-46	12/5/2013 CK# 3338	\$5,000.00		43-775 Deep Canyon Rd. Palm Desert, CA 92260
Galilee Center <i>support to enrich senior programs</i>	A13-44	12/18/2013 CK# 3342	\$10,000.00	273133601	PO Box 297 Thermal, CA 92274
Well in the Desert <i>support to enrich the senior programs</i>	A13-43	12/4/2013 CK# 3336	\$15,000.00	330694580	PO Box 5312 Palm Springs, CA 92263
The Ranch Recovery Centers, Inc. <i>support for elderly substance abuse treatment</i>	A 13-48	12/16/2013 CK# 3340	\$6,000.00	237365064	7885 Annandale Avenue Desert Hot Springs, CA 92240
Opera Arts <i>operational support</i>	A 13-47	12/12/2013 CK# 3339	\$2,000.00	300540629	PO Box 5433 Palm Springs, CA 92263
Total December 2013 (6 items)			<u>\$43,000.00</u>		
Grand Totals			<u>\$463,000.00</u>		

The Auen Foundation
P.O. Box 13390
Palm Desert, California 92255-3390

EIN: 95-4325051
Form 990 PF, Dec. 31, 2013
Schedule (15), Part XVII, Line 1b(4)

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

<u>Line No.</u>	<u>Amount Involved</u>	<u>Name of Non-Charitable Exempt Organization</u>	<u>Description</u>
b(4)	\$ 389,133	The Fairfield Homes Title Holding Co., Inc. {exempt IRC 501 (c)(2)}	Is the paymaster of the Foundation as authorized by Employment Tax Reg. 31.3121(s) - 1(a) and (b). Accounting services and other administrative expenses provided to the Foundation at allocated cost in accordance with an overhead sharing agreement.