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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](http://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 SHAW (U.S.) FOUNDATION

Number and street (or P.O. box number if mail is not delivered to street address)

C/O KKDLY, 745 FORT STREET, STE 2100

Room/suite

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

HONOLULU, HI 96813

A Employer identification number

99-0291105

B Telephone number

(808) 521-3962

C If exemption application is pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☒ Address change☐ Name change

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundation

I Fair market value of all assets at end of year

(from Part II, col (c), line 16)

\$ 48,186,595. (Part I, column (d) must be on cash basis.)

J Accounting method:

☐ Cash☒ Accrual☐ Other (specify)

## Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received

3,841,106.

2 Check ☐ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

40,406.

40,406.

STATEMENT 1

4 Dividends and interest from securities

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

b Gross sales price for all assets on line 6a

7 Capital gain net income (from Part IV, line 2)

0.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

892,739.

892,739.

0. STATEMENT 2

12 Total. Add lines 1 through 11

4,774,251.

933,145.

0.

13 Compensation of officers, directors, trustees, etc

0.

0.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 3

3,655.

0.

0.

c Other professional fees

17 Interest

18 Taxes

STMT 4

18,663.

0.

0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 5

1,206.

0.

0.

24 Total operating and administrative expenses. Add lines 13 through 23

23,524.

0.

0.

25 Contributions, gifts, grants paid

9,352,986.

9,352,986.

26 Total expenses and disbursements

Add lines 24 and 25

9,376,510.

0.

0.

9,357,847.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

&lt;4,602,259.&gt;

b Net investment income (if negative, enter -0-)

933,145.

c Adjusted net income (if negative, enter -0-)

0.

SCANNED NOV 24 2014

Rec in Revenue and Administrative Expenses NOV 20 2014

323501  
10-10-13

LHA For Paperwork Reduction Act Notice, see instructions.

12AE

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	5,662,702.	699,385.	699,385.
	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			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Liabilities	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 7	1,000.	1,000.	47,485,200.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ STATEMENT 8 )	10,619.	2,010.	2,010.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	5,674,321.	702,395.	48,186,595.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
Net Assets or Fund Balances	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ STATEMENT 9 )	840,130.	470,463.	
	23 Total liabilities (add lines 17 through 22)	840,130.	470,463.	
	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
Net Assets or Fund Balances	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
Net Assets or Fund Balances	29 Retained earnings, accumulated income, endowment, or other funds	4,834,191.	231,932.	STATEMENT 6
	30 Total net assets or fund balances	4,834,191.	231,932.	
	31 Total liabilities and net assets/fund balances	5,674,321.	702,395.	

## 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	4,834,191.
2 Enter amount from Part I, line 27a	2	<4,602,259.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	231,932.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	231,932.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b NONE				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a				
b				
c				
d				
e				

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

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	1,624,557.	30,027,788.	.054102
2011	3,222,203.	22,742,386.	.141683
2010	6,211,517.	22,700,019.	.273635
2009	19,124,024.	32,680,564.	.585180
2008	6,052,760.	42,553,539.	.142239
2 Total of line 1, column (d)			2 1.196839
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 .239368
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			4 52,331,046.
5 Multiply line 4 by line 3			5 12,526,378.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 9,331.
7 Add lines 5 and 6			7 12,535,709.
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 9,357,847.

**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)		1	18,663.
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		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	18,663.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	18,663.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a 19,055.	7	19,055.
b Exempt foreign organizations - tax withheld at source	6b	8	
c Tax paid with application for extension of time to file (Form 8868)	6c	9	
d Backup withholding erroneously withheld	6d	10	392.
7 Total credits and payments. Add lines 6a through 6d		11	0.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached			
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	392. Refunded		
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax			

**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)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		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?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		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? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>DE, HI</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

N/A

STMT 10

**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 **COLLIERS MONROE FRIEDLANDER** Telephone no. **808-521-2611**  
 Located at **220 S. KING ST #1800, HONOLULU, HI** ZIP+4 **96813**

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?

	Yes	No
16	X	

See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country **HONG KONG**

**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 type="checkbox"/> Yes <input checked="" 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	<b>N/A</b>	1b
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
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? If "Yes," list the years _____	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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.)	<b>N/A</b>	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. _____		
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)	<b>N/A</b>	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
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

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

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?

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

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?

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 11		0.	0.	0.

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

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

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

0

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

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

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

0

**Part IX-A Summary of Direct Charitable Activities**

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

	Expenses
1 NONE	
	0.
2	
3	
4	

**Part IX-B Summary of Program-Related Investments**

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

	Amount
1 NONE	
	0.
2	
All other program-related investments. See instructions.	
3 NONE	
	0.
	0.

Total. Add lines 1 through 3

Form 990-PF (2013)



**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	0.
b Average of monthly cash balances	1b	5,640,755.
c Fair market value of all other assets	1c	47,487,210.
d <b>Total</b> (add lines 1a, b, and c)	1d	53,127,965.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	53,127,965.
4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	796,919.
5 <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	52,331,046.
6 <b>Minimum investment return.</b> Enter 5% of line 5	6	2,616,552.

**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	2,616,552.
2a Tax on investment income for 2013 from Part VI, line 5	2a	18,663.
b Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c Add lines 2a and 2b	2c	18,663.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	2,597,889.
4 Recoveries of amounts treated as qualifying distributions	4	0.
5 Add lines 3 and 4	5	2,597,889.
6 Deduction from distributable amount (see instructions)	6	0.
7 <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	2,597,889.

**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	9,357,847.
b Program-related investments - total from Part IX-B	1b	0.
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3a	
b Cash distribution test (attach the required schedule)	3b	
4 <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	9,357,847.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6 <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	9,357,847.

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7				2,597,889.
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only			0.	
<b>b</b> Total for prior years:		0.		
<b>3</b> Excess distributions carryover, if any, to 2013:				
<b>a</b> From 2008	4,253,801.			
<b>b</b> From 2009	17,518,070.			
<b>c</b> From 2010	5,105,112.			
<b>d</b> From 2011	2,114,166.			
<b>e</b> From 2012	147,421.			
<b>f</b> Total of lines 3a through e	29,138,570.			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4: ► \$	9,357,847.			
<b>a</b> Applied to 2012, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2013 distributable amount				2,597,889.
<b>e</b> Remaining amount distributed out of corpus	6,759,958.			
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
<b>6</b> Enter the net total of each column as indicated below:	35,898,528.			
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5				
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b		0.		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
<b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7	4,253,801.			
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	31,644,727.			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2009	17,518,070.			
<b>b</b> Excess from 2010	5,105,112.			
<b>c</b> Excess from 2011	2,114,166.			
<b>d</b> Excess from 2012	147,421.			
<b>e</b> Excess from 2013	6,759,958.			

N/A

- ☐ 4942(1)(3) or ☐ 4942(1)(5)

- [illegible]

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

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

<div>Recipient</div> <div>Name and address (home or business)</div>	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
<b>a Paid during the year</b>				
CHIZHOU UNIVERSITY CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	322,310.
JILIN INSTITUTE OF ARCHITECTURE AND CIVIL ENGINEERING CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	322,310.
TAIYUAN UNIVERSITY OF TECHNOLOGY CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	322,310.
TONGREN UNIVERSITY CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	322,310.
XIAN UNIVERSITY OF POSTS AND TELECOMMUNICATIONS CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	322,310.
<b>Total</b>	<b>SEE CONTINUATION SHEET(S)</b>			<b>9,352,986.</b>
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>				<b>0.</b>

**Part XVI-A Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated.

	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	40,406.	
4 Dividends and interest from securities					
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			14	892,739.	
8 Gain or (loss) from sales of assets other than inventory					
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		933,145.	0.
13 Total. Add line 12, columns (b), (d), and (e)				13 933,145.	

(See worksheet in line 13 instructions to verify calculations.)

**Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes**

Line No. Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).

N/A

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

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

[illegible]

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

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

**Sign  
Here**

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 taxpayer) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

Date \_\_\_\_\_

Title

May the IRS discuss this return with the preparer shown below (see instr)?

☐ Yes ☒ No

**Paid  
Preparer  
Use Only**

---

Print/Type preparer's name

Preparer's signature

Date \_\_\_\_\_

Check ☒ if self-employed

PTIN

JON M. YASUDA

~~11/08/14~~

P00167025

Firm's name ► KOBAYASHI

A Firm's EIN ► 99-0292355

Firm's address ► 745 FORT ST STE 2100  
HONOLULU, HI 96813

Phone no. 808-521-3962

**Part XV Supplementary Information****3 Grants and Contributions Paid During the Year (Continuation)**

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
ZHEJIANG UNIVERSITY EDUCATION FOUNDATION CHINA SEE ATTACHMENT CHINA		EDUCATION ORGANIZATION	OPERATING FUNDS	7,741,436.
<b>Total from continuation sheets</b>				7,741,436.

**Schedule B**(Form 990, 990-EZ,  
or 990-PF)Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.  
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and  
its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Name of the organization

Employer identification number

**THE SHAW (U.S.) FOUNDATION****99-0291105**

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

- ☐ 501(c)( ) (enter number) organization
- ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- ☐ 527 political organization

Form 990-PF

- ☒ 501(c)(3) exempt private foundation
- ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
- ☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)



Name of organization

Employer identification number

**THE SHAW (U.S.) FOUNDATION****99-0291105****Part I Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<b>1</b>	<b>MANDARIN THEATERS CORPORATION</b> <b>2525 KA'ANAPALI PARKWAY</b> <b>LAHAINA, HI 96761</b>	\$ <b>3,841,106.</b>	Person <input checked="checked" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization

Employer identification number

**THE SHAW (U.S.) FOUNDATION****99-0291105****Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

**THE SHAW (U.S.) FOUNDATION****99-0291105****Part III**

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once) ▶ \$

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

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

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SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
INTEREST INCOME	40,406.	40,406.	0.
TOTAL TO PART I, LINE 3	40,406.	40,406.	0.

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FORM 990-PF OTHER INCOME STATEMENT 2

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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
OTHER DIVIDEND INCOME	892,739.	892,739.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	892,739.	892,739.	0.

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FORM 990-PF ACCOUNTING FEES STATEMENT 3

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	3,655.	0.	0.	3,655.
TO FORM 990-PF, PG 1, LN 16B	3,655.	0.	0.	3,655.

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FORM 990-PF TAXES STATEMENT 4

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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	18,663.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	18,663.	0.	0.	0.

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FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
SECRETARIAL FEE	1,014.	0.	0.	1,014.	
BANK CHARGES	32.	0.	0.	32.	
SUNDRY EXPENSES	160.	0.	0.	160.	
TO FORM 990-PF, PG 1, LN 23	1,206.	0.	0.	1,206.	

FORM 990-PF	OTHER FUNDS		STATEMENT	6
DESCRIPTION	(A) BEGINNING OF YEAR	(B) END OF YEAR		
DONATION FUND	4,834,191.	231,932.		
TOTAL TO FORM 990-PF, PART II, LINE 29	4,834,191.	231,932.		

FORM 990-PF	OTHER INVESTMENTS		STATEMENT	7
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
SHAW FDN PROPERTIES CORP	COST	1,000.	47,485,200.	
TOTAL TO FORM 990-PF, PART II, LINE 13		1,000.	47,485,200.	

FORM 990-PF	OTHER ASSETS		STATEMENT	8
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE	
INTEREST RECEIVABLE	9,968.	1,618.	1,618.	
EXCISE TAX	651.	392.	392.	
TO FORM 990-PF, PART II, LINE 15	10,619.	2,010.	2,010.	

FORM 990-PF	OTHER LIABILITIES	STATEMENT	9
DESCRIPTION	BOY AMOUNT	EOY AMOUNT	
DUE TO SHAW FOUND PROP CORP	840,130.	470,463.	
TOTAL TO FORM 990-PF, PART II, LINE 22	840,130.	470,463.	

FORM 990-PF	LIST OF SUBSTANTIAL CONTRIBUTORS PART VII-A, LINE 10	STATEMENT	10
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NAME OF CONTRIBUTOR	ADDRESS
KAPIOLANI PROPERTIES CORPORATION	220 S. KING STREET HONOLULU, HI 96813

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	11
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
MONA FONG LOT 230, AH KUNG WAN, CLEARWATER BAY ROAD KOWLOON, HONG KONG	DIRECTOR 1.00	0.	0.	0.
CHOY MEAGE LOT 230, AH KUNG WAN, CLEARWATER BAY ROAD KOWLOON, HONG KONG	DIRECTOR 1.00	0.	0.	0.
CHOY VENUS FLAT H, 47/F, BLOCK 2, CHUNG WA ROAD, EAST POINT CITY, TSEUNG KWAN O KOWLOON, HONG KONG	DIRECTOR 1.00	0.	0.	0.
LI KIT YEE JENNY 6B TWIN BAY VILLAS, CLEARWATER BAY ROAD KOWLOON, HONG KONG	DIRECTOR 1.00	0.	0.	0.

THE SHAW (U.S.) FOUNDATION

99-0291105

ROGER EPSTEIN  
1000 BISHOP STREET  
HONOLULU, HI 96813

SECRETARY  
1.00

0. 0. 0.

JERRY RAJAKULENDRAN  
LOT 220, CLEARWATER BAY ROAD  
KOWLOON, HONG KONG

TREASURER  
1.00

0. 0. 0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

0. 0. 0.

# 公 证 书

中华人民共和国安徽省池州市九华公证处



## AFFIDAVIT

.....He Genhai....., being first duly sworn on oath, deposes and says:

1. I am the President of the grantee organisation.
2. The grantee organisation was created by the Chinese Government in Chizhou..., and is operated exclusively for (check applicable boxes):
  - ( ) charitable
  - ( ) religious
  - ( ) scientific
  - ( ) literary
  - ( X ) educational
  - ( ) fostering national or international amateur sports competition, or
  - ( ) prevention of cruelty to children or animalspurposes under the laws of China.
3. The activities of the grantee organisation have included academic, cultural and extracurricular activities for students and will include activities to be developed along the same line.
4. Copies of the charter, bylaws, and other documents pursuant to which the grantee organisation is governed are attached.
5. The laws and customs applicable to the grantee organisation do not permit any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable organisation other than pursuant to the conduct of the grantee organisation's charitable activities, or as payment of reasonable compensation for services rendered or as payment representing the fair market value of property which the grantee organisation has purchased.
6. The grantee organisation has no shareholders or members who have a proprietary interest in the income or assets of the organisation.
7. In the event that the grantee organisation were to be liquidated or dissolved, under the laws and customs applicable, or under the governing instruments, all its assets would be distributed to another not-for-profit organisation for charitable, religious, scientific, literary, or educational purposes, or to a government instrumentality. A copy of the relevant statutory law or provisions in the governing instruments controlling the distribution of the organisation's assets on liquidation is attached.

8. The laws and customs applicable to the grantee organisation do not permit the organisation, other than as an insubstantial part of its activities,
- (a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes; or
  - (b) to attempt to influence legislation, by propaganda or otherwise.
9. The laws and customs applicable to the grantee organisation do not permit the organisation directly to participate or intervene in any political campaign on behalf of, or in opposition to, any candidate for public office.
10. The grantee organisation is not controlled by or operated in connection with any organisation other than as follows:

*the Chinese Government*

11. The grantee organisation (check one):

- ( X ) is a public school, or
- ( ) is a private school,

that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs (a) through (f) as follows:-

- (a) The school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially non-discriminatory policy as to students;
- (b) The school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships, and in its advertising to prospective students;
- (c) The school makes its racially non-discriminatory policy known to all segments of the general community served by the school;
- (d) The school is able to demonstrate that all of its programs and facilities are operated

## 公 证 书

(2013)皖池九公证字第 1433 号

申请人：池州学院，地址：池州市建设西路 169 号。

法人代表人：何根海，男，一九六三年十月二十五日出生，  
公民身份号码：342830196310255818。

公证事项：签名

兹证明池州学院的法定代表人何根海于二〇一三年三月十八日来到我处，在本公证员的面前，在前面的《AFFIDAVIT》上签名。

中华人民共和国安徽省池州市九华公证处

公证员

二〇一三年三月十九日

公 证 处

# 公 证 书

中华人民共和国吉林省长春市国安公证处

AFFIDAVIT

Dai Xin 戴昕

....., being first duly sworn on oath, deposes and says:

1 I am the President of the grantee organisation

changchun

2 The grantee organisation was created by the Chinese Government in ....., and is operated exclusively for (check applicable boxes):

- ( ) charitable
- ( ) religious
- ( ) scientific
- ( ) literary
- ( X ) educational
- ( ) fostering national or international amateur sports competition, or
- ( ) prevention of cruelty to children or animals

purposes under the laws of China.

- 3. The activities of the grantee organisation have included academic, cultural and extracurricular activities for students and will include activities to be developed along the same line.
- 4. Copies of the charter, bylaws, and other documents pursuant to which the grantee organisation is governed are attached.
- 5 The laws and customs applicable to the grantee organisation do not permit any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable organisation other than pursuant to the conduct of the grantee organisation's charitable activities, or as payment of reasonable compensation for services rendered or as payment representing the fair market value of property which the grantee organisation has purchased.
- 6 The grantee organisation has no shareholders or members who have a proprietary interest in the income or assets of the organisation
- 7. In the event that the grantee organisation were to be liquidated or dissolved, under the laws and customs applicable, or under the governing instruments, all its assets would be distributed to another not-for-profit organisation for charitable, religious, scientific, literary, or educational purposes, or to a government instrumentality. A copy of the relevant statutory law or provisions in the governing instruments controlling the distribution of the organisation's assets on liquidation is attached.

8. The laws and customs applicable to the grantee organisation do not permit the organisation, other than as an insubstantial part of its activities.

(a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes; or

(b) to attempt to influence legislation, by propaganda or otherwise.

9. The laws and customs applicable to the grantee organisation do not permit the organisation directly to participate or intervene in any political campaign on behalf of, or in opposition to, any candidate for public office

10 The grantee organisation is not controlled by or operated in connection with any organisation other than as follows:

.....

11. The grantee organisation (check one)

( ☒ ) is a public school, or

( ☐ ) is a private school,

that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs (a) through (f) as follows:-

(a) The school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially non-discriminatory policy as to students,

(b) The school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships, and in its advertising to prospective students;

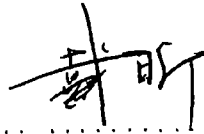
(c) The school makes its racially non-discriminatory policy known to all segments of the general community served by the school;

(d) The school is able to demonstrate that all of its programs and facilities are operated

in a racially non-discriminatory manner;

- (e) The school offers scholarship or other comparable benefits on a racially non-discriminatory basis;
- (f) The school does not racially discriminate in employment of faculty and administrative staff.

Further affiant sayeth not.



.....  
The President  
Jilin Institute of Architecture & Civil  
Engineering

Subscribed and sworn to before me

this .. .... day of ....., 2013.

\_\_\_\_\_  
Notary Public

My commission expires. .. .. .

# 公 证 书

(2013) 吉长国安证民字第 5899 号

申请人: 戴昕, 男, 一九六二年五月二十八日出生, 公民身份号码: 220104196205283833。

公证事项: 签名

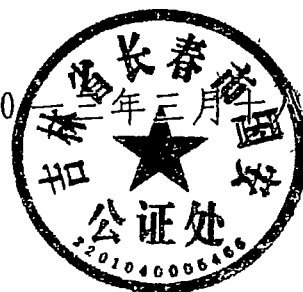
兹证明戴昕于二〇一三年三月十八日来到我处, 在本公证员的面前, 在前面英文本的《宣誓书》上签名。

中华人民共和国吉林省长春市国安公证处

公证员



二〇一三年三月十八日





# 公 证 书

中华人民共和国山西省太原市城西公证处

AFFIDAVIT

Zhang Werdong, being first duly sworn on oath, deposes and says:

- 1 I am the President of the grantee organisation.
2. The grantee organisation was created by the Chinese Government in . . . . . ,  
and is operated exclusively for (check applicable boxes):
  - ( ) charitable
  - ( ) religious
  - ( ) scientific
  - ( ) literary
  - ( X ) educational
  - ( ) fostering national or international amateur sports competition, or
  - ( ) prevention of cruelty to children or animalspurposes under the laws of China.
3. The activities of the grantee organisation have included academic, cultural and extracurricular activities for students and will include activities to be developed along the same line.
4. Copies of the charter, bylaws, and other documents pursuant to which the grantee organisation is governed are attached.
5. The laws and customs applicable to the grantee organisation do not permit any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable organisation other than pursuant to the conduct of the grantee organisation's charitable activities, or as payment of reasonable compensation for services rendered or as payment representing the fair market value of property which the grantee organisation has purchased.
6. The grantee organisation has no shareholders or members who have a proprietary interest in the income or assets of the organisation.
7. In the event that the grantee organisation were to be liquidated or dissolved, under the laws and customs applicable, or under the governing instruments, all its assets would be distributed to another not-for-profit organisation for charitable, religious, scientific, literary, or educational purposes, or to a government instrumentality. A copy of the relevant statutory law or provisions in the governing instruments controlling the distribution of the organisation's assets on liquidation is attached.

8. The laws and customs applicable to the grantee organisation do not permit the organisation, other than as an insubstantial part of its activities,
- (a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes; or
  - (b) to attempt to influence legislation, by propaganda or otherwise.
9. The laws and customs applicable to the grantee organisation do not permit the organisation directly to participate or intervene in any political campaign on behalf of, or in opposition to, any candidate for public office.
10. The grantee organisation is not controlled by or operated in connection with any organisation other than as follows:

*The Department of Education of Shanxi Province*

11. The grantee organisation (check one):

- ( X ) is a public school, or
- ( ) is a private school,


that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs (a) through (f) as follows:-

- (a) The school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially non-discriminatory policy as to students;
- (b) The school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships, and in its advertising to prospective students;
- (c) The school makes its racially non-discriminatory policy known to all segments of the general community served by the school;
- (d) The school is able to demonstrate that all of its programs and facilities are operated

in a racially non-discriminatory manner;

- (e) The school offers scholarship or other comparable benefits on a racially non-discriminatory basis;
- (f) The school does not racially discriminate in employment of faculty and administrative staff.

Further affiant sayeth not.

  
..... Zhang Wending .....  
The President  
Taiyuan University of Technology

Subscribed and sworn to before me

this 18th day of March, 2013.

\_\_\_\_\_  
Notary Public  
My commission expires: .....

# 公 证 书

(2013) 并西证字第 1033 号

申请人：太原理工大学

住所：太原市迎泽西大街 79 号

法定代表人：张文栋，男，一九六二年九月八日出生，  
公民身份号码：140103196209086312。

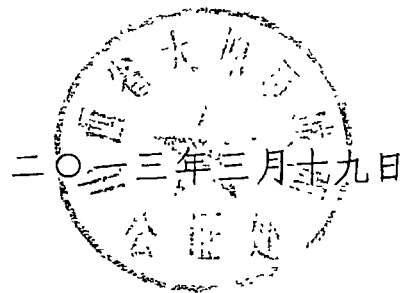
公证事项：签名

兹证明太原理工大学的法定代表人张文栋于二〇一三年三月十八日在太原理工大学，在本公证员和公证人员贺利珍的面前，在前面的《AFFIDAVIT》上签名。

中华人民共和国山西省太原市城西公证处

公证员

陈秀峰



1167003998

# 公 证 书

中华人民共和国贵州省铜仁市立信公证处

### 宣誓书

本人王大忠郑重宣誓：

1. 我是受益单位铜仁学院的法人代表。
2. 本受益单位受中国法律保护，是中国政府 2006 年创建并专门从事教育工作的事业单位。
3. 本受益单位的活动组织包括学术、文化和学生课外活动以及其他同一类型的活动。
4. 本受益单位必须遵守有关的章程，规则以及其他相关文件。
5. 相关法律条款严禁受益单位将受益收入或资产分配或申请个体利益人；或进行除了受益单位组织以外的其他非慈善活动；或支付其他形式的有偿服务；或用米支付受益单位已经购买的其他形式的市场价值财产。
6. 本受益单位没有持有股票或其他财产利息收入。
7. 如果本受益单位被清算或解散，根据适用法律条款，它所有的受益资金将被分配给其他非营利组织或者政府机构来进行慈善、宗教、科学、文学、教育等活动。
8. 相关法律条款规定受益单位不得作为一个实体组织，
  - (a) 从事参与不以宗教、慈善、科学、文学或教育目的活动，或
  - (b) 通过宣传影响立法或者进行其他活动。
9. 本受益单位遵从相关法律条款规定，不以单位名义组织直接参与或干预任何政治运动，或反对任何公职候选人。
10. 本受益单位没有被任何非法组织所控制，或涉嫌与任何非法组织有关联。
11. 本受益单位是一所公立学校并承诺提供给任何种族学生在校期间享有平等权利参加各种活动。无基于种族歧视的教育政策、招生政策、奖学金发放、贷款项目、体育和其他学校的管理项目。我们将遵循以下从(a)到(f)的指导方针条款：
  - (a) 学校的章程，管理条例，或主管机构的决议，都包含声明本学校对学生无种族歧视；
  - (b) 学校的非歧视性政策声明应包括在对外宣传册、招生目录、计划，和奖学金和招生宣传；
  - (c) 学校的非歧视性政策声明应告知学校内所有的社会团体；
  - (d) 学校能够证明它的所有项目和设施操作是以种族平等对待的方式进行；
  - (e) 学校提供的奖学金或其他相当收益是基于种族平等的基础；
  - (f) 学校在雇佣就业的教师和行政人员时我去种族歧视政策。



铜仁学院院长：

丁 2013 年 3 月 18 日 宣誓

公证人：

# 公 证 书

(2013) 黔铜立信公外字第 032 号

申请人：铜仁学院，地址：贵州省铜仁市清水南路 17、18 号。

法定代表人：王大忠，任院长。

公证事项：宣誓书

兹证明铜仁学院的法定代表人王大忠于二 0 一三年三月十八日来到我处，在本公证员的面前，在前面的《宣誓书》上签名、盖章属实。

中华人民共和国贵州省铜仁市立信公证处

公证员

魏业兰

二 0 一 三 年





# 铜仁学院

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## Affidavit

Mr. Wang dazhong,(王大忠), being first sworn on oath, deposes and say:

1. I am the President of Tongren University.
2. Tongren University was created by the Chinese Government in 2006, and is operated exclusively for educational purposes under the laws of China.
3. The activities of Tongren University have included academic, cultural and extracurricular activities for students and will include activities to be developed along the same line.
4. Copies of the charter, bylaws, and other documents pursuant to which Tongren University is governed are attached.
5. The laws and customs applicable to Tongren University do not permit any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable organization other than pursuant to the conduct of Tongren University charitable activities, or as payment of reasonable compensation for services rendered or as payment representing the fair market value or property which Tongren University has purchased.
6. Tongren University has no shareholders or members who have a proprietary interest in the income or assets of the organization.
7. In the event that Tongren University were to be liquidated or dissolved, under the laws and customs applicable, or under the governing instruments, all its assets would be distributed to another not-for-profit organization for charitable, religious, scientific, literary, or educational purposes, or to a government instrumentality. A copy of the relevant statutory law or provisions in the governing instruments controlling the distribution of the organization's assets on liquidation is attached.
8. The laws and customs applicable to Tongren University do not permit the organization, other than as an insubstantial part of its activities,
  - a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes, or
  - b) to attempt to influence legislation, by propaganda or otherwise.

9. The laws and customs applicable to Tongren University do not permit the organization directly to participate or intervene in any political campaign on behalf of , or in opposition to, any candidate for public office.
10. Tongren University is not controlled by or operated in connection with any illegal organization.
11. Tongren University is a public school, that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs (a) through (f) as follows:
  - (a) the school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially non-discriminatory policy as to students;
  - (b) the school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships and in its advertising to prospective students;
  - (c) the school makes its racially non-discriminatory policy known to all segments of the general community served by the school;
  - (d) the school is able to demonstrate that all of its programs and facilities as operated in a racially non-discriminatory manner;
  - (e) the school offers scholarship or other comparable benefits on a racially non-discriminatory basis;
  - (f) the school does not racially discriminate in employment of faculty and administrative staff.

Further affiant sayeth not.

The president Wang Dazhong  
Tongren University

Subscribed and sworn to before me

2013-03-18

Notary Public

My commission expires:.....

## Notarial Certificate

(2013) Q. T. L. X. G. W. Zi. No. 032

Applicant: Tongren University, address: No. 17 and No. 18, South  
Qingshui Road, Tongren City, Guizhou Province.

Legal Representative: Wang Dazhong, the President.

Issue under notarization: Affidavit

This is to certify that Wang Dazhong, Legal Representative of  
Tongren University, came to our notary public office, signed and affixed  
the seal on the foregoing *Affidavit* before me, the notary public, on  
March 18, 2013.

Notary: Wei Yalan

Tongren Lixin Notary Public Office

Guizhou Province

The People's Republic of China

March 18, 2013

# 公 证 书

中 华 人 民 共 和 国  
陕 西 省 西 安 市 公 证 处

## 宣誓书

....., 首先正式发誓、作证和叙说:

1 我是承批人机构的校长

2 承批人机构由中国政府在 1959年 创建, 在遵守中国法律的前提下, 专门从事以下工作项目 (选择可适用的选框):

( ) 慈善

( ) 宗教

( ) 科学

( ) 文学

(X) 教育

( ) 促进国内或国际业余体育比赛, 或是

( ) 预防虐待儿童和动物

3 承批人机构的活动包括以学生为中心的学术活动、文化活动和课外活动, 还将会包括同该领域内其他有待发展的活动。

4 承批人机构在款项使用上要遵循的章程、规章和其他文件的副本已经被附加上。

5 适用于承批人机构的法律和关税不允许它的任何收益和资产分配给私人或非慈善机构, 或是申请这种利益, 除非依照承批人机构慈善活动的行动, 或是为提供服务支出的合理赔偿金, 或是为表现公平的房产市场价值的付款, 这是承批人机构要收购。

6 承批人机构不持有其他公司股份或是也无在机构的收益和资产中拥有业主权益的成员。

7 假如承批人机构被清算或是被解散，在国家相关法律规定下，所有的资产需要分发给另一个非营利机构，该机构进行慈善、宗教和科学活动。在清算中，用来控制机构资产分发的文件中必须注明有关法律条款及规定说明。

8 适用于承批人机构的法律和关税不允许机构从事以下活动（除非是机构活动的非实质性部分）：

- (a) 进行与宗教、慈善、科学、文学和教育无关的活动；或是
- (b) 试图通过宣传或其他方式来影响立法

9 适用于承批人机构的法律和关税不允许机构直接参与或是干涉任何支持或反对任何公职候选人的政治活动。

.....

10 承批人机构不受任何有关组织机构的控制或操作，除了以下：

.....

11 承批人机构（选择一个）：

(X) 是一个公办学校，或是

( ) 是一个私立学校，

录取任何民族的学生，确保他们享有平等的权利，使所有在校学生参加的活动总体一致，不能在教育管理政策上、招生政策上、奖学金和贷款项目上、体育运动项目其他学校管理项目上出现种族歧视。我们要满足以下小段 a 到 f 的指导方针：

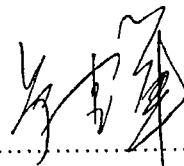
- (a) 学校的章程制度或其他管理条例，或管理部门的决议，包括学校展示给学生的有关非种族歧视政策的声明；
- (b) 学校将关于非种族政策的声明列入到相关的手册中，并在其中注明招生政策、活动项目和奖学金方案，以此向欲申请的学生宣传和告知。
- (c) 学校要将非种族歧视政策告知所有有学校负责的各个大的社区。
- (d) 学生能够展示证明所有的项目活动，所有的设备器材也要以非种族歧

视性的方式运行和经营。

(e) 学校要在非种族歧视的基础上提供奖学金和其他类似福利。

(f) 学校在教职工和行政人员的雇佣上不能含有种族歧视。

宣誓者再无他言。



西安邮电大学 校长

在我面前签署和宣誓

2013 年 3 月 25 日

公证人

我的委任到期: .....

8. The laws and customs applicable to the grantee organisation do not permit the organisation, other than as an insubstantial part of its activities,
- (a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes; or
  - (b) to attempt to influence legislation, by propaganda or otherwise.
9. The laws and customs applicable to the grantee organisation do not permit the organisation directly to participate or intervene in any political campaign on behalf of, or in opposition to, any candidate for public office.
10. The grantee organisation is not controlled by or operated in connection with any organisation other than as follows:

.....

11. The grantee organisation (check one):

- ( X ) is a public school, or
- (   ) is a private school,

that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs (a) through (f) as follows:-

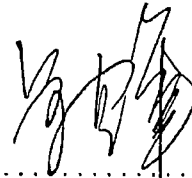
- (a) The school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially non-discriminatory policy as to students;
- (b) The school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships, and in its advertising to prospective students;
- (c) The school makes its racially non-discriminatory policy known to all segments of the general community served by the school;
- (d) The school is able to demonstrate that all of its programs and facilities are operated



in a racially non-discriminatory manner;

- (e) The school offers scholarship or other comparable benefits on a racially non-discriminatory basis;
- (f) The school does not racially discriminate in employment of faculty and administrative staff.

Further affiant sayeth not.



Sugiangun

.....  
The President  
Xi'an University of Posts &  
Telecommunications

Subscribed and sworn to before me

this 25<sup>th</sup> day of 3, 2013.

\_\_\_\_\_  
Notary Public  
My commission expires: .....

# 公 证 书

(2013)西证字第4188号

申请人：卢建军，男，一九六二年七月一日出生，公民身份  
号码：610113196207010117，现住陕西省西安市雁塔区雁塔路南  
段二号南17号楼3单元7层2号。

公证事项：宣誓书

兹证明卢建军于二〇一三年三月二十五日来到我处，在本公  
证员的面前，在前面的《宣誓书》上签名。

中华人民共和国陕西省西安市公证处

公证员：

刘 非

二〇一三年三月二十五日



1126802387

## NOTARIAL CERTIFICATE

(2013)Xi Zheng Zi No.4188

Applicant: Lu Jianjun, male, was born on July 1, 1962, ID Card No.610113196207010117, now resides at No.2, Floor 7, Unit 3, South Building 17, No.2 of South Section of Yanta Road, Yanta District, Xi'an City, Shaanxi Province.

Notarial Item: Affidavit

This is to certify that Lu Jianjun came to my office on March 25, 2013 and signed in the presence of the notary on the Affidavit attached hereto.

Notary:Liu Fei

Xi'an Notary Public Office

Shaanxi Province

The People's Republic of China

March 25, 2013

1126802388

# 公 证 书

中华人民共和国浙江省杭州市国立公证处

## AFFIDAVIT

Jin Deshui, being first duly sworn on oath, deposes and says:

1. I am the President of the grantee organisation.
2. The grantee organisation was created by the Chinese Government in 2006,  
and is operated exclusively for (check applicable boxes):
  - (X) charitable
  - ( ) religious
  - ( ) scientific
  - ( ) literary
  - (X) educational
  - ( ) fostering national or international amateur sports competition, or
  - ( ) prevention of cruelty to children or animalspurposes under the laws of China.
3. The activities of the grantee organisation have included academic, cultural and extracurricular activities for students and will include activities to be developed along the same line.
4. Copies of the charter, bylaws, and other documents pursuant to which the grantee organisation is governed are attached.
5. The laws and customs applicable to the grantee organisation do not permit any of its income or assets to be distributed to, or applied for the benefit of, a private person or non-charitable organization other than pursuant to the conduct of the grantee organisation's charitable activities, or as payment of reasonable compensation for services rendered or as payment representing the fair market value of property which the grantee organisation has purchased.
6. The grantee organisation has no shareholders or members who have a proprietary interest in the income or assets of the organisation.

7. In the event that the grantee organisation were to be liquidated or dissolved, under the laws and customs applicable, or under the governing instruments, all its assets would be distributed to another not-for-profit organisation for charitable, religious, scientific, literary, or educational purposes, or to a government instrumentality. A copy of the relevant statutory law or provisions in the governing instruments controlling the distribution of the organisation's assets on liquidation is attached.

8. The laws and customs applicable to the grantee organisation do not permit the organisation, other than as an insubstantial part of its activities,

(a) to engage in activities that are not for religious, charitable, scientific, literary, or educational purposes; or

(b) to attempt to influence legislation, by propaganda or otherwise.

9. The laws and customs applicable to the grantee organisation do not permit the organisation directly to participate or intervene in any political campaign on behalf of, or in opposition to, any candidate for public office.

10. The grantee organisation is not controlled by or operated in connection with any organisation other than as follows: .....

11. Zhejiang University (check one)

( X ) is a public school, or

( ) is a private school,

that admits the students of any race to all the rights, privileges, programs, and activities generally accorded or made available to students at school, and that does not discriminate on the basis of race in administration of its educational policies, admissions policies, scholarship and loan programs, and athletic and other school-administered programs. We meet the guidelines described in subparagraphs(a) through(f) as follows:

(a) The school's charter, bylaws, or other governing instruction, or a resolution of its governing body, included a statement that the school has a racially

non-discriminatory policy as to students;

- (b) The school includes a statement of its racially non-discriminatory policy as to students in its brochures and catalogues dealing with student admissions, programs, and scholarships, and in its advertising to prospective students;
- (c) The school makes its racially non-discriminatory policy known to all segments of the general community served by the school;
- (d) The school is able to demonstrate that all of its programs and facilities are operated in a racially non-discriminatory manner;
- (e) The school offers scholarship or other comparable benefits on a racially non-discriminatory basis;
- (f) The school does not racially discriminate in employment of faculty and administrative staff.

Further affiant sayeth not.



The President

Zhejiang University Education Foundation

# 公 证 书

(2014) 杭证字第 10173 号

申请人：浙江大学教育基金会，住所：浙江省杭州市余杭塘路 866 号浙江大学紫金港校区内。

法定代表人：金德水，男，一九五一年五月十八日出生，公民身份号码：330719195105180018。

公证事项：签名

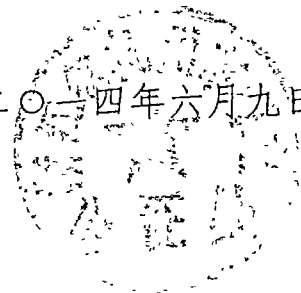
兹证明浙江大学教育基金会的法定代表人金德水于二〇一四年六月六日在杭州，在本公证员的面前，在前面的 Affidavit 上签名。

中华人民共和国浙江省杭州市国立公证处

公证员

崔海英

二〇一四年六月九日





NOTARIAL CERTIFICATE

(Translation)

(2014)HZ. Zi, No. 10173

Applicant: Zhejiang University Education Foundation, Domicile:  
Zijingang Campus, Zhejiang University, No. 866, Yuhangtang Road,  
Hangzhou City, Zhejiang Province.

Legal Representative: Jin Deshui, male, was born on May 18, 1951,  
ID Card No. 330719195105180018.

Notarial Item: Signature

This is to certify that Jin Deshui, the legal representative of  
Zhejiang University Education Foundation affixed his signature in  
Hangzhou on June 6, 2014, on the Affidavit attached hereto in the  
presence of me, the notary.

Notary: Cui Hairong (Signature)

Hangzhou National Notary Public Office

Zhejiang Province (Seal)

The People's Republic of China

June 9, 2014

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