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Form 990

## Return of Organization Exempt From Income Tax

2013

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

Open to Public Inspection

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

► Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

## A For the 2013 calendar year, or tax year beginning 07-01-2013, 2013, and ending 06-30-2014

|  |  |            |  |
|--|--|------------|--|
| B Check if applicable                        | C Name of organization<br>CARNEGIE INSTITUTION OF WASHINGTON   |            | D Employer identification number<br>53-0196523 |
| <input type="checkbox"/> Address change      | Doing Business As  |            |  |
| <input type="checkbox"/> Name change         |  |            |  |
| <input type="checkbox"/> Initial return      | Number and street (or P O box if mail is not delivered to street address)<br>1530 P St NW            | Room/suite | E Telephone number<br>(202) 387-6400           |
| <input type="checkbox"/> Terminated          |  |            |  |
| <input type="checkbox"/> Amended return      | City or town, state or province, country, and ZIP or foreign postal code<br>Washington, DC 200051910 |            |  |
| <input type="checkbox"/> Application pending |  |            | G Gross receipts \$ 443,930,214                |

F Name and address of principal officer  
Matthew Scott  
1530 P Street NW  
Washington, DC 20005

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

H(b) Are all subordinates included?  Yes  No

If "No," attach a list (see instructions)

H(c) Group exemption number ►

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

J Website: ► [WWW.CARNEGIESCIENCE.EDU](http://WWW.CARNEGIESCIENCE.EDU)

K Form of organization  Corporation  Trust  Association  Other ►

L Year of formation 1904

M State of legal domicile DC

## Part I Summary

1 Briefly describe the organization's mission or most significant activities  
The conduct of scientific discovery, research and education in the fields of plant biology, developmental biology, earth and planetary sciences, astronomy, and global ecology

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

|   |    |         |
|---|----|---------|
| 3 Number of voting members of the governing body (Part VI, line 1a)             | 3  | 22      |
| 4 Number of independent voting members of the governing body (Part VI, line 1b) | 4  | 22      |
| 5 Total number of individuals employed in calendar year 2013 (Part V, line 2a)  | 5  | 544     |
| 6 Total number of volunteers (estimate if necessary)                            | 6  | 0       |
| 7a Total unrelated business revenue from Part VIII, column (C), line 12         | 7a | 332,705 |
| b Net unrelated business taxable income from Form 990-T, line 34                | 7b | 125,601 |

|   | Prior Year  | Current Year |
|---|-------------|--------------|
| 8 Contributions and grants (Part VIII, line 1h)                                     | 43,260,635  | 40,889,619   |
| 9 Program service revenue (Part VIII, line 2g)                                      | 6,049,182   | 5,885,358    |
| 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)                    | 65,622,930  | 73,898,743   |
| 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)         | 729,296     | 6,020,801    |
| 12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) | 115,662,043 | 126,694,521  |

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|--|-------------|--------------|
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| 12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)  | 115,662,043 | 126,694,521  |
| 13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)                  | 4,756,456   | 5,167,594    |
| 14 Benefits paid to or for members (Part IX, column (A), line 4)                     | 0           | 0            |
| 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) | 48,929,828  | 49,760,937   |
| 16a Professional fundraising fees (Part IX, column (A), line 11e)                    | 0           | 0            |
| b Total fundraising expenses (Part IX, column (D), line 25) ► 1,401,195              |             |              |
| 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)                      | 44,456,031  | 42,731,056   |
| 18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)          | 98,142,315  | 97,659,587   |
| 19 Revenue less expenses Subtract line 18 from line 12                               | 17,519,728  | 29,034,934   |

|  | Beginning of Current Year | End of Year   |
|--|---------------------------|---------------|
| 20 Total assets (Part X, line 16)                            | 1,045,664,817             | 1,216,450,412 |
| 21 Total liabilities (Part X, line 26)                       | 125,763,163               | 178,440,442   |
| 22 Net assets or fund balances Subtract line 21 from line 20 | 919,901,654               | 1,038,009,970 |

## Part II Signature Block

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

|           |   |            |
|-----------|---|------------|
| Sign Here | Signature of officer                          | 2015-05-04 |
|           | Cynthia Allen Dir of Administration & Finance | Date       |
|           | Type or print name and title                  |            |

|                        |                            |                      |      |   |      |
|------------------------|----------------------------|----------------------|------|---|------|
| Paid Preparer Use Only | Print/Type preparer's name | Preparer's signature | Date | Check <input type="checkbox"/> if self-employed | PTIN |
|                        | Firm's name ►              | Firm's EIN ►         |      |   |      |
|                        | Firm's address ►           | Phone no             |      |   |      |

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

**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III **1 Briefly describe the organization's mission**

The mission of the Carnegie Institution of Washington, as set forth in its articles of incorporation under an Act of Congress in 1904, is "to encourage, in the broadest and most liberal manner, investigation, research, and discovery, and the application of knowledge to the improvement of mankind"

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

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

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

If "Yes," describe these changes on Schedule O

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

|   |  |
|---|--|
| <b>4a</b>   | (Code ) (Expenses \$ 74,860,241 including grants of \$ 0 ) (Revenue \$ 0 )                                 |
| Carnegie investigators are leaders in the fields of plant biology, developmental biology, earth and planetary sciences, astronomy and global ecology. Using molecular genetics and related methods, Carnegie biologists study the genes responsible for plant responses to light and the genetic controls over various growth and developmental processes including those that enable plants to survive disease and environmental stress. In addition, the department is a world leader in bioinformatics. It developed and now manages an online-integrated database, one of the most widely used biological databases in the world, that supplies all aspects of biological information on the most widely used model plant, <i>Arabidopsis</i> . Researchers in developmental biology address fundamental questions in animal development and genetics at the cellular and molecular levels. Some researchers investigate the genetic programming behind cellular processes as cells develop, while others explore the genes that control growth and obesity, stimulate stem cells to become specialized body parts, and perform many other functions. Other researchers examine the physics and chemistry of Earth's deep interior and (Continued on Schedule O, Statement 1) |  |
| <b>4b</b>   | (Code ) (Expenses \$ 9,328,499 including grants of \$ 5,109,306 ) (Revenue \$ 0 )                          |
| Education Carnegie, a non-degree granting entity, is an advanced study organization at which highly qualified graduate scientists are offered postgraduate and postdoctoral training for careers in education and research. Carnegie's postdoctoral scientific education is mostly conducted in the laboratory or in the field. The postdoctoral curriculum is heavily weighted toward training candidates to be capable researchers and teachers of research. The faculty consists of the professional staff of Carnegie, all of whom pursue their own research. Carnegie also offers certain training opportunities for predoctoral students who may pursue formal degrees at degree-granting institutions. Carnegie programs also train public elementary school teachers how to incorporate interactive science instruction into all aspects of the curriculum, helps improve the instruction of mathematics education of public school children by training individuals with mathematics or related degrees to become classroom instructors, introduces and trains high school students to career education pathways in the field of biotechnology, and makes information available concerning Carnegie's scientific research findings to students and the general public    |  |
| <b>4c</b>   | (Code ) (Expenses \$ 0 including grants of \$ 0 ) (Revenue \$ 0 )  |
| none  |  |
| <b>4d</b>   | Other program services (Describe in Schedule O ) (Expenses \$ 0 including grants of \$ 0 ) (Revenue \$ 0 ) |
| <b>4e</b>   | <b>Total program service expenses ► 84,188,740</b>   |

**Part IV Checklist of Required Schedules**

**1** Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A

**2** Is the organization required to complete Schedule B, *Schedule of Contributors* (see instructions)?

**3** Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I

**4** **Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II

**5** Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III

**6** Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I

**7** Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II

**8** Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III

**9** Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV

**10** Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V

**11** If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable

**a** Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI

**b** Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII

**c** Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII

**d** Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX

**e** Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X

**f** Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part XI

**12a** Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII

**b** Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional

**13** Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E

**14a** Did the organization maintain an office, employees, or agents outside of the United States?

**b** Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV

**15** Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV

**16** Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV

**17** Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions)

**18** Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II

**19** Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III

**20a** Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H

**b** If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?

|            | <b>Yes</b> | <b>No</b> |
|------------|------------|-----------|
| <b>1</b>   | Yes        |           |
| <b>2</b>   | Yes        |           |
| <b>3</b>   |            | No        |
| <b>4</b>   |            | No        |
| <b>5</b>   |            | No        |
| <b>6</b>   |            | No        |
| <b>7</b>   |            | No        |
| <b>8</b>   |            | No        |
| <b>9</b>   |            | No        |
| <b>10</b>  | Yes        |           |
| <b>11a</b> | Yes        |           |
| <b>11b</b> | Yes        |           |
| <b>11c</b> |            | No        |
| <b>11d</b> |            | No        |
| <b>11e</b> | Yes        |           |
| <b>11f</b> | Yes        |           |
| <b>12a</b> | Yes        |           |
| <b>12b</b> |            | No        |
| <b>13</b>  | Yes        |           |
| <b>14a</b> | Yes        |           |
| <b>14b</b> | Yes        |           |
| <b>15</b>  |            | No        |
| <b>16</b>  |            | No        |
| <b>17</b>  |            | No        |
| <b>18</b>  |            | No        |
| <b>19</b>  |            | No        |
| <b>20a</b> |            | No        |
| <b>20b</b> |            |           |

**Part IV Checklist of Required Schedules (continued)**

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

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

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

|  |            | Yes | No |
|--|------------|-----|----|
| <b>1a</b> Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . . .  | <b>1a</b>  | 378 |    |
| <b>b</b> Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable  | <b>1b</b>  | 0   |    |
| <b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . .  | <b>1c</b>  | Yes |    |
| <b>2a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . .  | <b>2a</b>  | 544 |    |
| <b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns?<br><b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)  | <b>2b</b>  | Yes |    |
| <b>3a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year? . . .  | <b>3a</b>  | Yes |    |
| <b>b</b> If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O . . .   | <b>3b</b>  | Yes |    |
| <b>4a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . .                           | <b>4a</b>  | Yes |    |
| <b>b</b> If "Yes," enter the name of the foreign country <b>CI</b><br>See instructions for filing requirements for Form TD F 90-22 1, Report of Foreign Bank and Financial Accounts  |            |     |    |
| <b>5a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . .  | <b>5a</b>  | No  |    |
| <b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?  | <b>5b</b>  | No  |    |
| <b>c</b> If "Yes," to line 5a or 5b, did the organization file Form 8886-T? . . .  | <b>5c</b>  |     |    |
| <b>6a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . .  | <b>6a</b>  | No  |    |
| <b>b</b> If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . .   | <b>6b</b>  |     |    |
| <b>7 Organizations that may receive deductible contributions under section 170(c).</b>   | <b>7a</b>  |     |    |
| <b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . .   | <b>7b</b>  |     |    |
| <b>b</b> If "Yes," did the organization notify the donor of the value of the goods or services provided? . . .   | <b>7c</b>  |     |    |
| <b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . .  | <b>7d</b>  |     |    |
| <b>d</b> If "Yes," indicate the number of Forms 8282 filed during the year . . .   | <b>7e</b>  |     |    |
| <b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . .   | <b>7f</b>  |     |    |
| <b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . .  | <b>7g</b>  |     |    |
| <b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . .  | <b>7h</b>  |     |    |
| <b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . .  | <b>8</b>   |     |    |
| <b>8 Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? . . . | <b>9a</b>  |     |    |
| <b>9 Sponsoring organizations maintaining donor advised funds.</b>   | <b>9b</b>  |     |    |
| <b>a</b> Did the organization make any taxable distributions under section 4966? . . .   |            |     |    |
| <b>b</b> Did the organization make a distribution to a donor, donor advisor, or related person? . . .  |            |     |    |
| <b>10 Section 501(c)(7) organizations.</b> Enter   | <b>10a</b> |     |    |
| <b>a</b> Initiation fees and capital contributions included on Part VIII, line 12 . . .  | <b>10b</b> |     |    |
| <b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities   |            |     |    |
| <b>11 Section 501(c)(12) organizations.</b> Enter  | <b>11a</b> |     |    |
| <b>a</b> Gross income from members or shareholders . . .   | <b>11b</b> |     |    |
| <b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them) . . .   |            |     |    |
| <b>12a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041? . . .  | <b>12a</b> |     |    |
| <b>b</b> If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . .   | <b>12b</b> |     |    |
| <b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>   | <b>13a</b> |     |    |
| <b>a</b> Is the organization licensed to issue qualified health plans in more than one state?<br><b>Note.</b> See the instructions for additional information the organization must report on Schedule O   | <b>13b</b> |     |    |
| <b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . .   | <b>13c</b> |     |    |
| <b>14a</b> Did the organization receive any payments for indoor tanning services during the tax year? . . .  | <b>14a</b> | No  |    |
| <b>b</b> If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . .   | <b>14b</b> |     |    |

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

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

### Section A. Governing Body and Management

|    |   |    | Yes | No |
|----|---|----|-----|----|
| 1a | Enter the number of voting members of the governing body at the end of the tax year   | 1a | 22  |    |
|    | If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O    |    |     |    |
| 1b | Enter the number of voting members included in line 1a, above, who are independent  | 1b | 22  |    |
| 2  | Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?   | 2  |     | No |
| 3  | Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? | 3  |     | No |
| 4  | Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?  | 4  |     | No |
| 5  | Did the organization become aware during the year of a significant diversion of the organization's assets?  | 5  |     | No |
| 6  | Did the organization have members or stockholders?  | 6  |     | No |
| 7a | Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?  | 7a |     | No |
| b  | Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?   | 7b |     | No |
| 8  | Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following  | 8a | Yes |    |
| a  | The governing body?   | 8b | Yes |    |
| b  | Each committee with authority to act on behalf of the governing body?   | 9  |     | No |
| 9  | Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O        |    |     |    |

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

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

### Section C. Disclosure

- 17 List the States with which a copy of this Form 990 is required to be filed CA , DC , MD
- 18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c) (3)s only) available for public inspection. Indicate how you made these available. Check all that apply  
 Own website  Another's website  Upon request  Other (explain in Schedule O)
- 19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year
- 20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization  
 Cynthia Allen 1530 P St NW Washington, DC 200051910 (202) 387-6400

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

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

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

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

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

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

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

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

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

|  |   |           |   |        |
|--|---|-----------|---|--------|
| <b>1b Sub-Total . . . . .</b>  | ► |           |   |        |
| <b>c Total from continuation sheets to Part VII, Section A . . . . .</b> | ► |           |   |        |
| <b>d Total (add lines 1b and 1c) . . . . .</b>                           | ► | 4,743,324 | 0 | 971,90 |

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **104**

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

## **Section B. Independent Contractors**

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

| (A)<br>Name and business address  | (B)<br>Description of services | (C)<br>Compensation |
|---|--------------------------------|---------------------|
| Hitt Contracting Inc PO Boxs 602760 Charlotte NC 28260                    | Engineering Service            | 1,033,129           |
| Morgan Lewis Bockius LLP 1111 Pennsylvania Ave NW Washington DC 20004     | Legal                          | 724,099             |
| Wilmer Cutler Pickering Hale Dorr, PO Box 7247 8760 Philadelphia PA 19170 | Legal                          | 296,588             |
| Covington & Burling LLP 1201 Pennsylvania Avenue NW Washington DC 20004   | Legal                          | 260,831             |
| KPMG LLP 2001 M St NW Washington DC 20036                                 | Accounting                     | 233,855             |

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **19**

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

|   |  |                      | (A)<br>Total revenue | (B)<br>Related or<br>exempt<br>function<br>revenue | (C)<br>Unrelated<br>business<br>revenue | (D)<br>Revenue<br>excluded from<br>tax under<br>sections<br>512-514 |
|---|--|----------------------|----------------------|--|---|---|
|   |  |                      |                      |  |   |   |
| <b>Contributions, Gifts, Grants<br/>and Other Similar Amounts</b> |  |                      |                      |  |   |   |
| <b>1a</b>   | Federated campaigns . . .  | <b>1a</b>            | 0                    |  |   |   |
| <b>b</b>  | Membership dues . . .  | <b>1b</b>            | 0                    |  |   |   |
| <b>c</b>  | Fundraising events . . .   | <b>1c</b>            | 0                    |  |   |   |
| <b>d</b>  | Related organizations . . .  | <b>1d</b>            | 0                    |  |   |   |
| <b>e</b>  | Government grants (contributions)  | <b>1e</b>            | 30,782,959           |  |   |   |
| <b>f</b>  | All other contributions, gifts, grants, and<br>similar amounts not included above                                    | <b>1f</b>            | 10,106,660           |  |   |   |
| <b>g</b>  | Noncash contributions included in lines<br>1a-1f \$  |                      | 622,851              |  |   |   |
| <b>h</b>  | <b>Total.</b> Add lines 1a-1f . . .  |                      |                      | 40,889,619   |   |   |
| <b>Program Service Revenue</b>                                    |  | <b>Business Code</b> |                      |  |   |   |
| <b>2a</b>   | Magellan Telescope Program   | 541700               | 4,023,848            | 4,023,848  | 0                                       | 0   |
| <b>b</b>  | GMT Challenge Program  | 541700               | 848,219              | 848,219  | 0                                       | 0   |
| <b>c</b>  | Australian Astronomy Program   | 541700               | 345,000              | 345,000  | 0                                       | 0   |
| <b>d</b>  | CLASlite on-line System  | 541700               | 119,298              | 119,298  | 0                                       | 0   |
| <b>e</b>  | Implementation of the EarthAudit<br>Agricultural   | 541700               | 85,478               | 85,478   | 0                                       | 0   |
| <b>f</b>  | All other program service revenue  |                      | 463,515              | 463,515  | 0                                       | 0   |
| <b>g</b>  | <b>Total.</b> Add lines 2a-2f . . .  |                      |                      | 5,885,358  |   |   |
| <b>Other Revenue</b>  |  |                      |                      |  |   |   |
| <b>3</b>  | Investment income (including dividends, interest,<br>and other similar amounts) . . .                                |                      | 6,161,921            | 0  | 130,580                                 | 6,031,341   |
| <b>4</b>  | Income from investment of tax-exempt bond proceeds . . .   |                      | 0                    | 0  | 0                                       | 0   |
| <b>5</b>  | Royalties . . .  |                      | 1,124,911            | 1,124,911  | 0                                       | 0   |
| <b>6a</b>   | Gross rents  | (I) Real             | 1,458,426            | 0  |   |   |
| <b>b</b>  | Less rental expenses   | (II) Personal        | 1,246,364            | 0  |   |   |
| <b>c</b>  | Rental income or (loss)  |                      | 212,062              |  |   |   |
| <b>d</b>  | Net rental income or (loss) . . .  |                      |                      | 212,062  | 0                                       | 0   |
| <b>7a</b>   | Gross amount from sales of assets other than inventory   | (I) Securities       | 383,726,151          | 0  |   |   |
| <b>b</b>  | Less cost or other basis and sales expenses  | (II) Other           | 315,989,329          | 0  |   |   |
| <b>c</b>  | Gain or (loss)   |                      | 67,736,822           |  |   |   |
| <b>d</b>  | Net gain or (loss) . . .   |                      |                      | 67,736,822   | 0                                       | 202,125   |
| <b>8a</b>   | Gross income from fundraising events (not including<br>of contributions reported on line 1c)<br>See Part IV, line 18 | a                    | 0                    |  |   |   |
| <b>b</b>  | Less direct expenses . . .   | b                    | 0                    |  |   |   |
| <b>c</b>  | Net income or (loss) from fundraising events . . .   |                      | 0                    |  | 0                                       | 0   |
| <b>9a</b>   | Gross income from gaming activities<br>See Part IV, line 19  | a                    | 0                    |  |   |   |
| <b>b</b>  | Less direct expenses . . .   | b                    | 0                    |  |   |   |
| <b>c</b>  | Net income or (loss) from gaming activities . . .  |                      | 0                    | 0  | 0                                       | 0   |
| <b>10a</b>  | Gross sales of inventory, less<br>returns and allowances .   | a                    | 0                    |  |   |   |
| <b>b</b>  | Less cost of goods sold . . .  | b                    | 0                    |  |   |   |
| <b>c</b>  | Net income or (loss) from sales of inventory . . .   |                      | 0                    | 0  | 0                                       | 0   |
|   | <b>Miscellaneous Revenue</b>   | <b>Business Code</b> |                      |  |   |   |
| <b>11a</b>  | Loss on swap transaction   | 900099               | -1,148,064           | -1,148,064   | 0                                       | 0   |
| <b>b</b>  | Realized gain on currency transactions   | 900099               | 98,777               | 98,777   | 0                                       | 0   |
| <b>c</b>  | Capital gain on mutual funds   | 900099               | 5,482,338            | 5,482,338  | 0                                       | 0   |
| <b>d</b>  | All other revenue . . .  |                      | 250,777              | 250,777  | 0                                       | 0   |
| <b>e</b>  | <b>Total.</b> Add lines 11a-11d . . .  |                      |                      | 4,683,828  |   |   |
| <b>12</b>   | <b>Total revenue.</b> See Instructions . . .   |                      |                      | 126,694,521  | 11,906,159                              | 332,705   |
|   |  |                      |                      |  |   | 73,566,038  |

**Part IX Statement of Functional Expenses**

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

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

| <b>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</b>  | <b>(A)<br/>Total expenses</b> | <b>(B)<br/>Program service<br/>expenses</b> | <b>(C)<br/>Management and<br/>general expenses</b> | <b>(D)<br/>Fundraising<br/>expenses</b> |
|--|-------------------------------|---|--|---|
| 1 Grants and other assistance to governments and organizations in the United States See Part IV, line 21   | 1,180,224                     | 1,180,224                                   |  |   |
| 2 Grants and other assistance to individuals in the United States See Part IV, line 22   | 3,987,370                     | 3,987,370                                   |  |   |
| 3 Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16  | 0                             | 0   |  |   |
| 4 Benefits paid to or for members  |                               |   |  |   |
| 5 Compensation of current officers, directors, trustees, and key employees . . .   | 2,830,343                     | 1,030,925                                   | 1,518,239  | 281,179                                 |
| 6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . .  |                               |   |  |   |
| 7 Other salaries and wages   | 31,832,896                    | 29,838,527                                  | 1,425,135  | 569,234                                 |
| 8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) . . .   | 7,030,439                     | 6,451,219                                   | 416,991  | 162,229                                 |
| 9 Other employee benefits . . .  | 5,835,130                     | 4,164,172                                   | 1,619,235  | 51,723                                  |
| 10 Payroll taxes . . .   | 2,232,129                     | 2,003,918                                   | 170,597  | 57,614                                  |
| 11 Fees for services (non-employees)   |                               |   |  |   |
| a Management . . .   |                               |   |  |   |
| b Legal . . .  | 1,420,961                     | 0   | 1,420,961  | 0                                       |
| c Accounting . . .   | 247,396                       | 0   | 247,396  | 0                                       |
| d Lobbying . . .   |                               |   |  |   |
| e Professional fundraising services See Part IV, line 17   |                               |   |  |   |
| f Investment management fees . . .   |                               |   |  |   |
| g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O) . . .   | 899,562                       | 361,592                                     | 474,733  | 63,237                                  |
| 12 Advertising and promotion . . .   |                               |   |  |   |
| 13 Office expenses . . .   | 1,108,985                     | 781,242                                     | 265,394  | 62,349                                  |
| 14 Information technology . . .  | 1,451,205                     | 1,154,521                                   | 296,585  | 99                                      |
| 15 Royalties . .   |                               |   |  |   |
| 16 Occupancy . . .   | 3,833,736                     | 3,535,951                                   | 280,934  | 16,851                                  |
| 17 Travel . . .  | 2,360,706                     | 2,266,210                                   | 68,940   | 25,556                                  |
| 18 Payments of travel or entertainment expenses for any federal, state, or local public officials . . .  |                               |   |  |   |
| 19 Conferences, conventions, and meetings . . .  | 983,888                       | 785,389                                     | 136,285  | 62,214                                  |
| 20 Interest . . .  | 2,591,349                     | 0   | 2,591,349  | 0                                       |
| 21 Payments to affiliates . . .  |                               |   |  |   |
| 22 Depreciation, depletion, and amortization . . .   | 10,279,040                    | 10,034,080                                  | 234,484  | 10,476                                  |
| 23 Insurance . . .   | 793,611                       | 260,377                                     | 532,234  | 1,000                                   |
| 24 Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24e If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O )                       |                               |   |  |   |
| a Contracts & subawards  | 9,146,291                     | 9,120,875                                   | 7,612  | 17,804                                  |
| b Research Education expense   | 6,027,502                     | 5,953,591                                   | 72,104   | 1,807                                   |
| c Exchange rate (gain) loss  | 615,594                       | 238,612                                     | 376,982  | 0                                       |
| d Bond Admin & Other Maintenance expens  | 170,831                       | 85,540                                      | 84,193   | 1,098                                   |
| e All other expenses   | 800,399                       | 954,405                                     | -170,731   | 16,725                                  |
| <b>25 Total functional expenses.</b> Add lines 1 through 24e   | 97,659,587                    | 84,188,740                                  | 12,069,652   | 1,401,195                               |
| <b>26 Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation Check here ► if following SOP 98-2 (ASC 958-720) |                               |   |  |   |

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

|                                    |   | <b>(A)</b><br>Beginning of year | <b>(B)</b><br>End of year |
|------------------------------------|---|---------------------------------|---------------------------|
| <b>Assets</b>                      | <b>1</b> Cash—non-interest-bearing  | 0                               | <b>1</b> 0                |
|                                    | <b>2</b> Savings and temporary cash investments   | 2,147,126                       | <b>2</b> 53,507,631       |
|                                    | <b>3</b> Pledges and grants receivable, net   | 22,340,712                      | <b>3</b> 18,412,555       |
|                                    | <b>4</b> Accounts receivable, net   | 294,289                         | <b>4</b> 96,109           |
|                                    | <b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L   | 0                               | <b>5</b> 0                |
|                                    | <b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L | 0                               | <b>6</b> 0                |
|                                    | <b>7</b> Notes and loans receivable, net  | 2,483,055                       | <b>7</b> 2,419,141        |
|                                    | <b>8</b> Inventories for sale or use  | 0                               | <b>8</b> 0                |
|                                    | <b>9</b> Prepaid expenses and deferred charges  | 15,080,955                      | <b>9</b> 19,570,726       |
|                                    | <b>10a</b> Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D  | <b>10a</b> 259,901,230          |                           |
|                                    | <b>b</b> Less accumulated depreciation  | <b>10b</b> 119,747,315          | <b>10c</b> 140,153,915    |
|                                    | <b>11</b> Investments—publicly traded securities  | 381,113,104                     | <b>11</b> 472,121,935     |
|                                    | <b>12</b> Investments—other securities See Part IV, line 11   | 474,927,224                     | <b>12</b> 510,168,400     |
|                                    | <b>13</b> Investments—program-related See Part IV, line 11  | 0                               | <b>13</b>                 |
|                                    | <b>14</b> Intangible assets   | 0                               | <b>14</b>                 |
|                                    | <b>15</b> Other assets See Part IV, line 11   | 0                               | <b>15</b>                 |
|                                    | <b>16 Total assets.</b> Add lines 1 through 15 (must equal line 34)   | 1,045,664,817                   | <b>16</b> 1,216,450,412   |
| <b>Liabilities</b>                 | <b>17</b> Accounts payable and accrued expenses   | 12,065,756                      | <b>17</b> 11,721,401      |
|                                    | <b>18</b> Grants payable  | 0                               | <b>18</b> 0               |
|                                    | <b>19</b> Deferred revenue  | 28,235,748                      | <b>19</b> 28,055,413      |
|                                    | <b>20</b> Tax-exempt bond liabilities   | 65,105,000                      | <b>20</b> 65,105,000      |
|                                    | <b>21</b> Escrow or custodial account liability Complete Part IV of Schedule D  | 0                               | <b>21</b> 0               |
|                                    | <b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L   | 0                               | <b>22</b> 0               |
|                                    | <b>23</b> Secured mortgages and notes payable to unrelated third parties  | 0                               | <b>23</b> 0               |
|                                    | <b>24</b> Unsecured notes and loans payable to unrelated third parties  | 0                               | <b>24</b> 0               |
|                                    | <b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D  | 20,356,659                      | <b>25</b> 73,558,628      |
|                                    | <b>26 Total liabilities.</b> Add lines 17 through 25  | 125,763,163                     | <b>26</b> 178,440,442     |
| <b>Net Assets or Fund Balances</b> | <b>Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>  |                                 |                           |
|                                    | <b>27</b> Unrestricted net assets   | 272,816,713                     | <b>27</b> 306,532,576     |
|                                    | <b>28</b> Temporarily restricted net assets   | 592,058,025                     | <b>28</b> 676,424,152     |
|                                    | <b>29</b> Permanently restricted net assets   | 55,026,916                      | <b>29</b> 55,053,242      |
|                                    | <b>Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.</b>   |                                 |                           |
|                                    | <b>30</b> Capital stock or trust principal, or current funds  | 30                              |                           |
|                                    | <b>31</b> Paid-in or capital surplus, or land, building or equipment fund   | 31                              |                           |
|                                    | <b>32</b> Retained earnings, endowment, accumulated income, or other funds  | 32                              |                           |
|                                    | <b>33 Total net assets or fund balances</b>   | 919,901,654                     | <b>33</b> 1,038,009,970   |
|                                    | <b>34 Total liabilities and net assets/fund balances</b>  | 1,045,664,817                   | <b>34</b> 1,216,450,412   |

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI 

|    |   |    |               |
|----|---|----|---------------|
| 1  | Total revenue (must equal Part VIII, column (A), line 12)   | 1  | 126,694,521   |
| 2  | Total expenses (must equal Part IX, column (A), line 25)  | 2  | 97,659,587    |
| 3  | Revenue less expenses Subtract line 2 from line 1   | 3  | 29,034,934    |
| 4  | Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))                     | 4  | 919,901,654   |
| 5  | Net unrealized gains (losses) on investments  | 5  | 92,120,917    |
| 6  | Donated services and use of facilities  | 6  | 331,401       |
| 7  | Investment expenses   | 7  | -938,488      |
| 8  | Prior period adjustments  | 8  | 0             |
| 9  | Other changes in net assets or fund balances (explain in Schedule O)  | 9  | -2,440,448    |
| 10 | Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B)) | 10 | 1,038,009,970 |

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII 

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

## Additional Data

**Software ID:** 13000241  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

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

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

**SCHEDULE A**  
(Form 990 or 990EZ)**Public Charity Status and Public Support**

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

**2013****Open to Public  
Inspection**Department of the  
Treasury  
Internal Revenue Service

► Attach to Form 990 or Form 990-EZ. ► See separate instructions.

► Information about Schedule A (Form 990 or 990-EZ) and its instructions is at  
[www.irs.gov/form990](http://www.irs.gov/form990).**Name of the organization**  
CARNEGIE INSTITUTION OF WASHINGTON**Employer identification number**

53-0196523

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?

(ii) A family member of a person described in (i) above?

(iii) A 35% controlled entity of a person described in (i) or (ii) above?

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

|          | Yes | No |
|----------|-----|----|
| 11g(i)   |     |    |
| 11g(ii)  |     |    |
| 11g(iii) |     |    |

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

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

| Calendar year (or fiscal year beginning in) ►   | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (f) Total |
|---|----------|----------|----------|----------|----------|-----------|
| 1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants")  |          |          |          |          |          |           |
| 2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf   |          |          |          |          |          |           |
| 3 The value of services or facilities furnished by a governmental unit to the organization without charge   |          |          |          |          |          |           |
| <b>4 Total.</b> Add lines 1 through 3   |          |          |          |          |          |           |
| 5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) |          |          |          |          |          |           |
| <b>6 Public support.</b> Subtract line 5 from line 4  |          |          |          |          |          |           |

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►  | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013  | (f) Total |
|--|----------|----------|----------|----------|-----------|-----------|
| 7 Amounts from line 4  |          |          |          |          |           |           |
| 8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources   |          |          |          |          |           |           |
| 9 Net income from unrelated business activities, whether or not the business is regularly carried on   |          |          |          |          |           |           |
| 10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)   |          |          |          |          |           |           |
| <b>11 Total support</b> (Add lines 7 through 10)   |          |          |          |          |           |           |
| 12 Gross receipts from related activities, etc (see instructions)  |          |          |          |          | <b>12</b> |           |
| <b>13 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ► |          |          |          |          |           |           |

**Section C. Computation of Public Support Percentage**

|   |           |  |
|---|-----------|--|
| 14 Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f))   | <b>14</b> |  |
| 15 Public support percentage for 2012 Schedule A, Part II, line 14  | <b>15</b> |  |
| <b>16a 33 1/3% support test—2013.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization ►   |           |  |
| <b>b 33 1/3% support test—2012.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization ►  |           |  |
| <b>17a 10%-facts-and-circumstances test—2013.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here</b> . Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ►    |           |  |
| <b>b 10%-facts-and-circumstances test—2012.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here</b> . Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ► |           |  |
| <b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ►  |           |  |

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

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

**Section B. Total Support**

| Calendar year (or fiscal year beginning in) ►  | (a) 2009 | (b) 2010 | (c) 2011 | (d) 2012 | (e) 2013 | (f) Total |
|--|----------|----------|----------|----------|----------|-----------|
| 9 Amounts from line 6  |          |          |          |          |          |           |
| <b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources  |          |          |          |          |          |           |
| <b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975   |          |          |          |          |          |           |
| <b>c</b> Add lines 10a and 10b   |          |          |          |          |          |           |
| <b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on  |          |          |          |          |          |           |
| <b>12</b> Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV )   |          |          |          |          |          |           |
| <b>13 Total support.</b> (Add lines 9, 10c, 11, and 12 )   |          |          |          |          |          |           |
| <b>14 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and <b>stop here</b> ► |          |          |          |          |          |           |

**Section C. Computation of Public Support Percentage**

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

**Section D. Computation of Investment Income Percentage**

|   |    |
|---|----|
| 17 Investment income percentage for 2013 (line 10c, column (f) divided by line 13, column (f))  | 17 |
| 18 Investment income percentage from 2012 Schedule A, Part III, line 17   | 18 |
| <b>19a 33 1/3% support tests—2013.</b> If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization ►        |    |
| <b>b 33 1/3% support tests—2012.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization ► |    |
| <b>20 Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ►  |    |

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

Return Reference

Explanation

2013

Open to Public  
Inspection**SCHEDULE D**  
(Form 990)**Supplemental Financial Statements**► Complete if the organization answered "Yes," to Form 990,  
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b► Attach to Form 990. ► See separate instructions. ► Information about Schedule D (Form 990)  
and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).Department of the Treasury  
Internal Revenue Service**Name of the organization**

CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-0196523

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

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

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

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

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

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

Preservation of land for public use (e.g., recreation or education)  Preservation of an historically important land area

Protection of natural habitat  Preservation of a certified historic structure

Preservation of open space

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

|    | Held at the End of the Year |
|----|-----------------------------|
| 2a |                             |
| 2b |                             |
| 2c |                             |
| 2d |                             |

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ► \_\_\_\_\_

4 Number of states where property subject to conservation easement is located ► \_\_\_\_\_

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

6 Staff and volunteer hours devoted to monitoring, inspecting, and enforcing conservation easements during the year  
► \_\_\_\_\_

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year  
► \$ \_\_\_\_\_

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

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

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

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

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

(i) Revenues included in Form 990, Part VIII, line 1 ► \$ \_\_\_\_\_

(ii) Assets included in Form 990, Part X ► \$ \_\_\_\_\_

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

a Revenues included in Form 990, Part VIII, line 1 ► \$ \_\_\_\_\_

b Assets included in Form 990, Part X ► \$ \_\_\_\_\_

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

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

|   |   |
|---|---|
| <b>a</b> <input type="checkbox"/> Public exhibition                   | <b>d</b> <input type="checkbox"/> Loan or exchange programs |
| <b>b</b> <input type="checkbox"/> Scholarly research                  | <b>e</b> <input type="checkbox"/> Other                     |
| <b>c</b> <input type="checkbox"/> Preservation for future generations |   |

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

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

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

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

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

|           | <b>Amount</b> |
|-----------|---------------|
| <b>1c</b> |               |
| <b>1d</b> |               |
| <b>1e</b> |               |
| <b>1f</b> |               |

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

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

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

|   | (a) Current year | (b) Prior year | (c) Two years back | (d) Three years back | (e) Four years back |
|---|------------------|----------------|--------------------|----------------------|---------------------|
| <b>1a</b> Beginning of year balance . . . . .                     | 707,403,855      | 658,368,805    | 666,953,143        | 572,581,907          | 531,558,841         |
| <b>b</b> Contributions . . . . .                                  | 13,500           | 11,625         | 11,000             | 11,400               | 32,060              |
| <b>c</b> Net investment earnings, gains, and losses . . . . .     | 146,597,541      | 91,897,050     | 38,847,077         | 130,037,953          | 70,665,868          |
| <b>d</b> Grants or scholarships . . . . .                         | 2,647,656        | 2,845,079      | 2,469,819          | 2,072,508            | 2,011,688           |
| <b>e</b> Other expenditures for facilities and programs . . . . . | 37,629,606       | 37,035,222     | 41,971,415         | 29,759,235           | 24,852,386          |
| <b>f</b> Administrative expenses . . . . .                        | 3,786,264        | 2,993,324      | 3,001,181          | 3,846,374            | 2,810,788           |
| <b>g</b> End of year balance . . . . .                            | 809,951,370      | 707,403,855    | 658,368,805        | 572,581,907          |                     |

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

a Board designated or quasi-endowment ► 15 4 %

b Permanent endowment ► 6 8 %

c Temporarily restricted endowment ► 77 8 %

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

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

|               | <b>Yes</b> | <b>No</b> |
|---------------|------------|-----------|
| <b>3a(i)</b>  | Yes        |           |
| <b>3a(ii)</b> |            | No        |

b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R? . . . . .

**3b** . . . . .

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

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

|   | Description of property | (a) Cost or other basis (investment) | (b) Cost or other basis (other) | (c) Accumulated depreciation | (d) Book value |
|---|-------------------------|--------------------------------------|---------------------------------|------------------------------|----------------|
| <b>1a</b> Land . . . . .  |                         | 0                                    | 817,117                         |                              | 817,117        |
| <b>b</b> Buildings . . . . .  |                         | 0                                    | 91,207,967                      | 31,481,966                   | 59,726,001     |
| <b>c</b> Leasehold improvements . . . . .   |                         | 0                                    | 0                               | 0                            | 0              |
| <b>d</b> Equipment . . . . .  |                         | 0                                    | 166,117,148                     | 88,265,349                   | 77,851,799     |
| <b>e</b> Other . . . . .  |                         | 0                                    | 1,758,998                       | 0                            | 1,758,998      |
| <b>Total.</b> Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).) . . . . . |                         |                                      |                                 |                              | 140,153,915    |

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

| (a) Description of security or category<br>(including name of security)  | (b) Book value     | (c) Method of valuation<br>Cost or end-of-year market value |
|--|--------------------|---|
| (1) Financial derivatives  | 527,064            |   |
| (2) Closely-held equity interests  | 413,696            |   |
| (3) Other  |                    |   |
| (A) Real assets/natural resources  | 192,642,900        | F   |
| (B) Alternative Investments  | 316,584,740        | F   |
|  |                    |   |
|  |                    |   |
|  |                    |   |
|  |                    |   |
|  |                    |   |
|  |                    |   |
| <b>Total.</b> (Column (b) must equal Form 990, Part X, col (B) line 12 ) | <b>510,168,400</b> |   |

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

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

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

| (a) Description  | (b) Book value |
|--|----------------|
|  |                |
|  |                |
|  |                |
|  |                |
|  |                |
|  |                |
|  |                |
|  |                |
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| <b>Total.</b> (Column (b) must equal Form 990, Part X, col.(B) line 15.) |                |

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

| 1 (a) Description of liability   | (b) Book value    |
|--|-------------------|
| Federal income taxes   | 0                 |
| Accrued postretirement benefit cost                                      | 23,558,628        |
| Taxable bond payable   | 50,000,000        |
|  |                   |
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| <b>Total.</b> (Column (b) must equal Form 990, Part X, col (B) line 25 ) | <b>73,558,628</b> |

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

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

|   |  |    |             |
|---|--|----|-------------|
| 1 | Total revenue, gains, and other support per audited financial statements . . . . .       | 1  | 219,454,715 |
| 2 | Amounts included on line 1 but not on Form 990, Part VIII, line 12                       |    |             |
| a | Net unrealized gains on investments . . . . .  | 2a | 92,120,917  |
| b | Donated services and use of facilities . . . . .   | 2b | 331,401     |
| c | Recoveries of prior year grants . . . . .  | 2c | 0           |
| d | Other (Describe in Part XIII ) . . . . .   | 2d | 0           |
| e | Add lines 2a through 2d . . . . .  | 2e | 92,452,318  |
| 3 | Subtract line 2e from line 1 . . . . .   | 3  | 127,002,397 |
| 4 | Amounts included on Form 990, Part VIII, line 12, but not on line 1                      |    |             |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . .                     | 4a | 938,488     |
| b | Other (Describe in Part XIII ) . . . . .   | 4b | -1,246,364  |
| c | Add lines 4a and 4b . . . . .  | 4c | -307,876    |
| 5 | Total revenue Add lines 3 and 4c. (This must equal Form 990, Part I, line 12 ) . . . . . | 5  | 126,694,521 |

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

|   |   |    |            |
|---|---|----|------------|
| 1 | Total expenses and losses per audited financial statements . . . . .                      | 1  | 98,905,951 |
| 2 | Amounts included on line 1 but not on Form 990, Part IX, line 25                          |    |            |
| a | Donated services and use of facilities . . . . .  | 2a | 0          |
| b | Prior year adjustments . . . . .  | 2b | 0          |
| c | Other losses . . . . .  | 2c | 0          |
| d | Other (Describe in Part XIII ) . . . . .  | 2d | 1,246,364  |
| e | Add lines 2a through 2d . . . . .   | 2e | 1,246,364  |
| 3 | Subtract line 2e from line 1 . . . . .  | 3  | 97,659,587 |
| 4 | Amounts included on Form 990, Part IX, line 25, but not on line 1:                        |    |            |
| a | Investment expenses not included on Form 990, Part VIII, line 7b . .                      | 4a | 0          |
| b | Other (Describe in Part XIII ) . . . . .  | 4b | 0          |
| c | Add lines 4a and 4b . . . . .   | 4c | 0          |
| 5 | Total expenses Add lines 3 and 4c. (This must equal Form 990, Part I, line 18 ) . . . . . | 5  | 97,659,587 |

**Part XIII Supplemental Information**

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

| Return Reference              | Explanation   |
|-------------------------------|---|
| Schedule D, Part V, Line 4    | The organization's endowment funds are intended to support its overall mission of supporting scientific discovery "in the broadest and most liberal manner"   |
| Schedule D, Part VI, Line 1e  | Art - \$76,099 Construction in Progress - \$1,682,899   |
| Schedule D, Part X            | On July 1, 2007, Carnegie adopted the provisions of FASB Interpretation No. 48, Accounting for Uncertainty in Income Taxes (FIN48). FIN48 required that a tax position be recognized or derecognized based on a 'more-likely-than-not' threshold. This applies to positions taken or expected to be taken in a tax return. The implementation of FIN48 had no impact on the statement of financial position or statement of activities. Carnegie does not believe its financial statements include (or reflect) any uncertain tax positions.  |
| Schedule D, Part X, Line 2    | FASB Accounting Standards Codification (ASC) 740-10, Income Taxes, requires that management evaluate tax positions taken by Carnegie and recognize a tax liability (or asset) if Carnegie has taken an uncertain tax position that is more likely than not to be sustained upon examination by the Internal Revenue Service. Carnegie has analyzed the tax positions taken and has concluded that as of June 30, 2014, there are no uncertain tax positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. |
| Schedule D, Part XI, Line 4b  | Rental expenses   |
| Schedule D, Part XII, Line 2d | Rental expenses   |

**Part XIII      Supplemental Information (continued)**

| Return Reference | Explanation |
|------------------|-------------|
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**SCHEDULE E**  
(Form 990 or 990-EZ)**Schools**

OMB No 1545-0047

**2013****Open to Public  
Inspection**Department of the Treasury  
Internal Revenue Service

►Complete if the organization answered "Yes" to Form 990, Part IV, line 13, or Form 990-EZ, Part VI, line 48.  
 ► Attach to Form 990 or Form 990-EZ.  
 ► Information about Schedule E (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

**Part I**

1 Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?

2 Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?

3 Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain. If you need more space use Part II

|    | YES | NO |
|----|-----|----|
| 1  | Yes |    |
| 2  | Yes |    |
| 3  | Yes |    |
| 4a | Yes |    |
| 4b | Yes |    |
| 4c | Yes |    |
| 4d | Yes |    |
| 5a |     | No |
| 5b |     | No |
| 5c |     | No |
| 5d |     | No |
| 5e |     | No |
| 5f |     | No |
| 5g |     | No |
| 5h |     | No |
| 6a | Yes |    |
| 6b |     | No |
| 7  | Yes |    |

4 Does the organization maintain the following?

a Records indicating the racial composition of the student body, faculty, and administrative staff?

b Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?

c Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?

d Copies of all material used by the organization or on its behalf to solicit contributions?

If you answered "No" to any of the above, please explain. If you need more space, use Part II

5 Does the organization discriminate by race in any way with respect to

a Students' rights or privileges?

b Admissions policies?

c Employment of faculty or administrative staff?

d Scholarships or other financial assistance?

e Educational policies?

f Use of facilities?

g Athletic programs?

h Other extracurricular activities?

If you answered "Yes" to any of the above, please explain. If you need more space, use Part II

6a Does the organization receive any financial aid or assistance from a governmental agency?

b Has the organization's right to such aid ever been revoked or suspended?

If you answered "Yes" to either line 6a or line 6b, explain on Part II

7 Does the organization certify that it has complied with the applicable requirements of sections 401 through 405 of Rev. Proc. 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Part II

**Part II Supplemental Information.** Provide the explanations required by Part I, lines 3, 4d, 5h, 6b, and 7, as applicable. Also complete this part to provide any other additional information (see instructions)

| Return Reference           | Explanation  |
|----------------------------|--|
| Schedule E, Part I, Line 3 | Our non-discrimination policy is available on our website, www.ciw.edu, under Policies and Procedures  |
| Schedule E, Part I, Line 6 | We receive grants and pass throughs from several Federal agencies including NSF, DOE, DHS, NASA, USDA, ONR, NIST, and others. These monies support our scientific research and education |

2013

Open to Public  
InspectionSCHEDULE F  
(Form 990)

## Statement of Activities Outside the United States

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

► Attach to Form 990. ► See separate instructions.

► Information about Schedule F (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Department of the Treasury  
Internal Revenue Service

Name of the organization

CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

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

Yes  No

1 **For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . .

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

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

| (a) Region  | (b) Number of offices in the region | (c) Number of employees, agents, and independent contractors in region | (d) Activities conducted in region (by type) (e.g., fundraising, program services, investments, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for and investments in region |
|---|-------------------------------------|--|---|--|--|
| (1) See Add'l Data                                |                                     |  |   |  |  |
| (2)   |                                     |  |   |  |  |
| (3)   |                                     |  |   |  |  |
| (4)   |                                     |  |   |  |  |
| (5)   |                                     |  |   |  |  |
| <b>3a</b> Sub-total                               |                                     |  |   |  |  |
| <b>b</b> Total from continuation sheets to Part I |                                     |  |   |  |  |
| <b>c</b> <b>Totals</b> (add lines 3a and 3b)      | 2                                   | 110  |   |  | 7,926,860  |

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

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

**Schedule F (Form 990) 2013**

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

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

**Part IV Foreign Forms**

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

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

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

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

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

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

**Part V****Supplemental Information**

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

**990 Schedule F, Supplemental Information**

| Return Reference           | Explanation  |
|----------------------------|--|
| Schedule F, Part I, Line 2 | <p>As a research institution, Carnegie provides fellows with the opportunity to pursue independent research and the training to acquire the additional skills and expertise needed to become a successful scientist. Carnegie monitors the fellowship experience to achieve both objectives. Fellows pursue their research program relatively independently but have full access to Carnegie facilities and staff members and typically perform their experiments and scientific work on-site and in collaboration with other Carnegie facilities and staff members and typically perform their experiments and scientific work on-site and in collaboration with other Carnegie vehicle for monitoring and supporting the work of the fellow. Carnegie's various administrative and research policies apply to fellows. In Carnegie's structure, department directors are responsible for assuring that fellows follow these procedures and carry out the research supported through externally or internally-funded fellowships.</p> <p>The fellows listed below are stationed at the Carnegie facility in Las Campanas, Chile</p> |

## Additional Data

**Software ID:** 13000241  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

### Form 990 Schedule F Part I - Activities Outside The United States

| (a) Region                | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service (s) in region | (f) Total expenditures for region |
|---------------------------|-------------------------------------|---|--|---|-----------------------------------|
| East Asia and the Pacific | 0                                   | 7   | Program Services   | IAVCEI Mtg, First 100 Years Workshop  | 66,049                            |
| East Asia and the Pacific | 0                                   | 2   | Program Services   | Anglo-Australia Obs Run, Diamond Fldwk  | 31,513                            |
| East Asia and the Pacific | 0                                   | 0   | Program Services   | JPGU Meeting  | 12,113                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region                               | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service (s) in region | (f) Total expenditures for region |
|--|-------------------------------------|---|--|---|-----------------------------------|
| Europe (including Iceland and Greenland) | 0                                   | 0   | Program Services   | CLIMATE IMPACT RESEARCH   | 20,000                            |
| Europe (including Iceland and Greenland) | 0                                   | 16  | Program Services   | MEETINGS AND WORKSHOPS  | 129,217                           |
| Europe (including Iceland and Greenland) | 0                                   | 2   | Program Services   | BENTO BOX FIELDWORK   | 21,260                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region   | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|--|-------------------------------------|---|--|--|-----------------------------------|
| Europe (including Iceland and Greenland)                               | 0                                   | 0   | Program Services   | DCO EXECUTIVE COMM MEETING   | 31,718                            |
| Europe (including Iceland and Greenland)                               | 0                                   | 0   | Program Services   | 2013 Goldschmidt Conference  | 20,186                            |
| North America (including Canada and Mexico, but not the United States) | 0                                   | 2   | Program Services   | METEORITICAL MEETING   | 14,442                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region   | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|--|-------------------------------------|---|--|--|-----------------------------------|
| North America (including Canada and Mexico, but not the United States) | 0                                   | 3   | Program Services   | SUPERIOR PROVINCE FIELDWORK  | 18,765                            |
| South America  | 0                                   | 0   | Program Services   | IDB MEETING & BIOLOGICAL STUDIES   | 15,000                            |
| South America  | 0                                   | 0   | Program Services   | CAO FIELD RESEARCH   | 50,000                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region    | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---------------|-------------------------------------|---|--|--|-----------------------------------|
| South America | 0                                   | 10  | Program Services   | LCO, DIAMOND & BENTO FIELDWORK   | 110,168                           |
| South America | 0                                   | 3   | Program Services   | LARIM & ASTROBIOLOGY MEETING   | 14,473                            |
| South America | 0                                   | 0   | Program Services   | SCIENTIFIC OBSERVATION RUN   | 20,183                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region                | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---------------------------|-------------------------------------|---|--|--|-----------------------------------|
| South America             | 0                                   | 0   | Program Services   | DCO DELEGATION   | 11,058                            |
| Sub-Saharan Africa        | 0                                   | 0   | Program Services   | CAO FIELD RESEARCH   | 35,000                            |
| East Asia and the Pacific | 0                                   | 0   | Program Services   | COLLABORATION & CONFERENCES  | 38,489                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region                               | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|--|-------------------------------------|---|--|--|-----------------------------------|
| Europe (including Iceland and Greenland) | 0                                   | 0   | Program Services   | COLLABORATION & CONFERENCES  | 70,184                            |
| South America                            | 0                                   | 0   | Program Services   | SCIENTIFIC OBSERVATION RUNS  | 205,296                           |
| South America                            | 0                                   | 0   | Program Services   | CONFERENCES & MEETINGS   | 29,848                            |

**Form 990 Schedule F Part I - Activities Outside The United States**

| (a) Region    | (b) Number of offices in the region | (c) Number of employees or agents in region | (d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region) | (e) If activity listed in (d) is a program service, describe specific type of service(s) in region | (f) Total expenditures for region |
|---------------|-------------------------------------|---|--|--|-----------------------------------|
| South America | 0                                   | 0   | Program Services   | TELESCOPE ENGINEERING & MAINTENANCE  | 53,220                            |
| South America | 2                                   | 65  | Program Services   | TELESCOPE OPERATIONS FOR RESEARCH  | 6,780,903                         |
| South America | 0                                   | 0   | Program Services   | RESEARCH   | 127,775                           |

## Schedule I (Form 990)

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

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

► Attach to Form 990

► Information about Schedule I (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

**Open to Public  
Inspection**

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

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Name of the organization

## CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-0196523

## **Part I General Information on Grants and Assistance**

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

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

**Part II Grants and Other Assistance to Governments and Organizations in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

| <b>(a)</b> Name and address of organization or government | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance |
|---|----------------|---|---------------------------------|--|--|---|---|
| See Additional Data Table                                 |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |
|   |                |   |                                 |  |  |   |   |

**Part III Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22.  
 Part III can be duplicated if additional space is needed.

| (a) Type of grant or assistance | (b) Number of recipients | (c) Amount of cash grant | (d) Amount of non-cash assistance | (e) Method of valuation (book, FMV, appraisal, other) | (f) Description of non-cash assistance |
|---------------------------------|--------------------------|--------------------------|-----------------------------------|---|--|
| (1) Fellowship                  | 108                      | 3,987,370                |                                   |   |  |
|                                 |                          |                          |                                   |   |  |
|                                 |                          |                          |                                   |   |  |
|                                 |                          |                          |                                   |   |  |
|                                 |                          |                          |                                   |   |  |
|                                 |                          |                          |                                   |   |  |

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

| Return Reference           | Explanation  |
|----------------------------|--|
| Schedule I, Part I, Line 2 | As a research institution, Carnegie provides fellows with the opportunity to pursue independent research and the training to acquire the additional skills and expertise needed to become a successful scientist. Carnegie monitors the fellowship experience to achieve both objectives. Fellows pursue their research program relatively independently but have full access to Carnegie facilities and staff members and typically perform their experiments and scientific work on-site and in collaboration with other Carnegie scientists. Fellows in the biological sciences apply to Carnegie mainly to learn the research techniques and research areas of a particular Carnegie staff scientist, that is, to work in that principal investigator's (PI) lab. Labs routinely engage a number of different people, including a PI, technicians, postdoctoral scientists, and researchers. The PI monitors the work of the fellow on an ongoing basis, critiques the fellows' research, makes suggestions for avenues to explore, and provides ongoing mentoring. Fellows in the physical sciences typically collaborate with a senior staff member on research projects. This provides an ongoing vehicle for monitoring and supporting the work of the fellow. Fellows are asked to present and defend their research to other scientists both at Carnegie and at other institutions. This process helps to monitor a fellows' scientific progress and permits adjustments as necessary. Carnegie's various administrative and research policies apply to fellows. In Carnegie's structure, department directors are responsible for assuring that fellows follow these procedures and carry out the research supported through externally or internally-funded fellowships. |

## Additional Data

**Software ID:** 13000241  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

### Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States

| <b>(a)</b> Name and address of organization or government              | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| STANFORD UNIVERSITY<br>PO BOX 873503<br>SAN FRANCISCO, CA<br>941444253 | 94-1156365     | 501(c)3                                   | 283,845                         | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government   | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                                    |
|---|----------------|---|---------------------------------|--|--|---|--|
| THE REGENTS OF THE<br>UNIVERSITY OF<br>CALIFORNIA<br>10920 WILSHIRE BLVD STE<br>107<br>LOS ANGELES, CA<br>900246503 | 95-6006143     | 501(c)3                                   | 168,420                         | 0  |  |   | Participant support,<br>academic partnership<br>to train young<br>scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                          | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| CALIFORNIA INSTITUTE OF TECHNOLOGY<br>1200 E CALIFORNIA BLVD<br>PASADENA, CA 91125 | 95-1643307     | 501(c)3                                   | 142,489                         | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                   | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|---|----------------|---|---------------------------------|--|--|---|---|
| NORTWESTERN<br>UNIVERSITY<br>633 CLARK ST RM G547<br>EVANSTON, IL 602081112 | 36-2167817     | 501(c)3                                   | 101,746                         | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                     | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|---|----------------|---|---------------------------------|--|--|---|---|
| UNIVERSITY OF ILLINOIS<br>1901 SOUTH FIRST ST A<br>CHAMPAIGN, IL<br>618207406 | 37-6000511     | 501(c)3                                   | 93,678                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government      | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| YALE UNIVERSITY<br>PO BOX 208239<br>NEW HAVEN, CT<br>065208239 | 06-0646973     | 501(c)3                                   | 80,446                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                            | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| UNIVERSITY OF ALABAMA<br>AT BIRMINGHAM<br>UNIVERSITY STATION<br>BIRMINGHAM, AL 35294 | 63-6005396     | 501(c)3                                   | 77,631                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a) Name and address of organization or government</b> | <b>(b) EIN</b> | <b>(c) IRC Code section if applicable</b> | <b>(d) Amount of cash grant</b> | <b>(e) Amount of non-cash assistance</b> | <b>(f) Method of valuation (book, FMV, appraisal, other)</b> | <b>(g) Description of non-cash assistance</b> | <b>(h) Purpose of grant or assistance</b>                           |
|---|----------------|---|---------------------------------|--|--|---|---|
| SUNY AT BUFFALO<br>PO BOX 9<br>ALBANY, NY 122010009       | 14-1368361     | 501(c)3                                   | 67,813                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                          | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| WASHINGTON UNIVERSITY<br>IN ST LOUIS<br>700 ROSEDALE AVE<br>ST LOUIS, MO 631121408 | 43-0653611     | 501(c)3                                   | 59,613                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government    | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| UNIVERSITY OF HAWAII<br>2440 CAMPUS RD<br>HONOLULU, HI 96822 | 99-6000354     | 501(c)3                                   | 41,270                          | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                               | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|---|----------------|---|---------------------------------|--|--|---|---|
| UNIVERSITY OF UTAH<br>201 S PRESIDENTS CIR NO<br>406<br>SALT LAKE CITY, UT<br>841129020 | 87-6000525     | 501(c)3                                   | 8,155                           | 0  |  |   | Participant support, academic partnership to train young scientists |

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

| <b>(a)</b> Name and address of organization or government                | <b>(b)</b> EIN | <b>(c)</b> IRC Code section if applicable | <b>(d)</b> Amount of cash grant | <b>(e)</b> Amount of non-cash assistance | <b>(f)</b> Method of valuation (book, FMV, appraisal, other) | <b>(g)</b> Description of non-cash assistance | <b>(h)</b> Purpose of grant or assistance                           |
|--|----------------|---|---------------------------------|--|--|---|---|
| WASHINGTON STATE<br>UNIVERSITY<br>PO BOX 641025<br>PULLMAN, WA 991641025 | 91-6001108     | 501(c)3                                   | 6,865                           | 0  |  |   | Participant support, academic partnership to train young scientists |

**Schedule J**  
(Form 990)**Compensation Information**

OMB No 1545-0047

**2013****Open to Public  
Inspection**Department of the Treasury  
Internal Revenue ServiceFor certain Officers, Directors, Trustees, Key Employees, and Highest  
Compensated Employees

► Complete if the organization answered "Yes" to Form 990, Part IV, line 23.

► Attach to Form 990. ► See separate instructions.

► Information about Schedule J (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

**Part I Questions Regarding Compensation****1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items

|  |   |
|--|---|
| <input type="checkbox"/> First-class or charter travel             | <input checked="" type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions                     | <input type="checkbox"/> Payments for business use of personal residence            |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input checked="" type="checkbox"/> Health or social club dues or initiation fees   |
| <input type="checkbox"/> Discretionary spending account            | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef)            |

**b** If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?**3** Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III

|   |   |
|---|---|
| <input type="checkbox"/> Compensation committee                         | <input type="checkbox"/> Written employment contract                                |
| <input checked="" type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study                    |
| <input type="checkbox"/> Form 990 of other organizations                | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

**4** During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization**a** Receive a severance payment or change-of-control payment?**b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?**c** Participate in, or receive payment from, an equity-based compensation arrangement?

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III

**Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.****5** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of**a** The organization?**b** Any related organization?

If "Yes," to line 5a or 5b, describe in Part III

**6** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of**a** The organization?**b** Any related organization?

If "Yes," to line 6a or 6b, describe in Part III

**7** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III**8** Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III**9** If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

|           | Yes | No |
|-----------|-----|----|
| <b>1b</b> | Yes |    |
| <b>2</b>  | Yes |    |
| <b>4a</b> |     | No |
| <b>4b</b> |     | No |
| <b>4c</b> |     | No |
| <b>5a</b> |     | No |
| <b>5b</b> |     | No |
| <b>6a</b> |     | No |
| <b>6b</b> |     | No |
| <b>7</b>  |     | No |
| <b>8</b>  |     | No |
| <b>9</b>  |     |    |

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

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

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

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

**Part III Supplemental Information**

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

| Return Reference            | Explanation  |
|-----------------------------|--|
| Schedule J, Part I, Line 1a | Social club - Carnegie provides its President a membership to a social club used for business related purposes Housing allowance - Carnegie's policies include a provision for housing subsidies in high-cost areas for qualifying staff members |
| Schedule J, Part II         | See Statement 6  |

**Additional Data**

**Software ID:** 13000241  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

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

| (A) Name  | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                          | (C) Deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|---|--|-------------------------------------|--------------------------|---------------------------|-------------------------|---------------------------------|--|
|   | (i) Base Compensation                              | (ii) Bonus & incentive compensation | (iii) Other compensation |                           |                         |                                 |  |
| Richard A Meserve<br>President                                  | (i) 463,840<br>(ii) 0                              | 0<br>0                              | 2,300<br>0               | 0<br>0                    | 59,894<br>0             | 526,034<br>0                    | 0<br>0   |
| Cynthia Allen Director<br>of Administration/Finance             | (i) 188,700<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 40,112<br>0             | 228,812<br>0                    | 0<br>0   |
| Christina F Naguiat<br>Assistant Secretary to<br>the Board      | (i) 63,358<br>(ii) 0                               | 0<br>0                              | 0<br>0                   | 0<br>0                    | 13,232<br>0             | 76,590<br>0                     | 0<br>0   |
| Linda T Elkins Tanton<br>Department Director                    | (i) 228,888<br>(ii) 0                              | 0<br>0                              | 54,883<br>0              | 0<br>0                    | 49,857<br>0             | 333,628<br>0                    | 0<br>0   |
| Russell Hemley<br>Department Director                           | (i) 258,918<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 58,471<br>0             | 317,389<br>0                    | 0<br>0   |
| Wendy L Freedman<br>Department Director                         | (i) 248,413<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 43,118<br>0             | 291,531<br>0                    | 0<br>0   |
| Christopher B Field<br>Department Director                      | (i) 248,412<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 59,621<br>0             | 308,033<br>0                    | 0<br>0   |
| Wolf Frommer<br>Department Director                             | (i) 248,412<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 53,508<br>0             | 301,920<br>0                    | 0<br>0   |
| Allan C Spradling<br>Department Director                        | (i) 0<br>(ii) 0                                    | 0<br>0                              | 0<br>0                   | 0<br>0                    | 0<br>0                  | 0<br>0                          | 0<br>0   |
| George Cody<br>Department Director                              | (i) 167,770<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 41,523<br>0             | 209,293<br>0                    | 0<br>0   |
| Richard W Carlson<br>Department Director                        | (i) 181,292<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 39,240<br>0             | 220,532<br>0                    | 0<br>0   |
| Sean C Solomon<br>Department Director                           | (i) 0<br>(ii) 0                                    | 0<br>0                              | 0<br>0                   | 0<br>0                    | 0<br>0                  | 0<br>0                          | 0<br>0   |
| Marjorie Burger Acting<br>Director of<br>Administration/Finance | (i) 113,700<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 33,607<br>0             | 147,307<br>0                    | 0<br>0   |
| Kenneth G Caldeira<br>Staff                                     | (i) 197,771<br>(ii) 0                              | 0<br>0                              | 50,619<br>0              | 0<br>0                    | 48,847<br>0             | 297,237<br>0                    | 0<br>0   |
| Ho K Mao Staff  | (i) 240,630<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 53,852<br>0             | 294,482<br>0                    | 0<br>0   |
| Matthew Johns Staff   | (i) 218,049<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 49,766<br>0             | 267,815<br>0                    | 0<br>0   |
| Carl R Sherman Staff  | (i) 209,131<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 50,852<br>0             | 259,983<br>0                    | 0<br>0   |
| Erik H Hauri Staff  | (i) 204,334<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 45,620<br>0             | 249,954<br>0                    | 0<br>0   |
| Patrick J McCarthy<br>Staff                                     | (i) 192,620<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 42,828<br>0             | 235,448<br>0                    | 0<br>0   |
| Joseph G Gall Staff   | (i) 196,000<br>(ii) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 44,926<br>0             | 240,926<br>0                    | 0<br>0   |

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

| (A) Name              | (B) Breakdown of W-2 and/or 1099-MISC compensation |                                     |                          | (C) Deferred compensation | (D) Nontaxable benefits | (E) Total of columns (B)(i)-(D) | (F) Compensation reported in prior Form 990 or Form 990-EZ |
|-----------------------|--|-------------------------------------|--------------------------|---------------------------|-------------------------|---------------------------------|--|
|                       | (i) Base Compensation                              | (ii) Bonus & incentive compensation | (iii) Other compensation |                           |                         |                                 |  |
| Ronald E Cohen Staff  | (i) 187,449<br>(II) 0                              | 0<br>0                              | 0<br>0                   | 0<br>0                    | 34,652<br>0             | 222,101<br>0                    | 0<br>0   |
| Mark Phillips Staff   | (i) 186,833<br>(II) 0                              | 0<br>0                              | 7,920<br>0               | 0<br>0                    | 52,529<br>0             | 247,282<br>0                    | 0<br>0   |
| Ramon J Dinneny Staff | (i) 147,798<br>(II) 0                              | 0<br>0                              | 31,648<br>0              | 0<br>0                    | 33,188<br>0             | 212,634<br>0                    | 0<br>0   |
| Anna M Michalak Staff | (i) 164,425<br>(II) 0                              | 0<br>0                              | 39,213<br>0              | 0<br>0                    | 22,666<br>0             | 226,304<br>0                    | 0<br>0   |

**Schedule K  
(Form 990)****Supplemental Information on Tax Exempt Bonds****2013****Open to Public  
Inspection**Department of the Treasury  
Internal Revenue Service

► Complete if the organization answered "Yes" to Form 990, Part IV, line 24a. Provide descriptions, explanations, and any additional information in Part VI.  
 ► Attach to Form 990. ► See separate instructions.  
 ► Information about Schedule K (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

**Part I Bond Issues**

|   | (a) Issuer name  | (b) Issuer EIN | (c) CUSIP # | (d) Date issued | (e) Issue price | (f) Description of purpose   | (g) Defeased |    | (h) On behalf of issuer |    | (i) Pool financing |    |
|---|--|----------------|-------------|-----------------|-----------------|--|--------------|----|-------------------------|----|--------------------|----|
|   |  |                |             |                 |                 |  | Yes          | No | Yes                     | No | Yes                | No |
| A | Maryland Health & Higher Educational Facilities Authority (MHHEFA) on behalf of Carnegie           | 52-0936091     | 574217JB2   | 02-04-2010      | 30,580,000      | Refund prior MHHEFA bonds issued to construct & equip new facility               |              | X  |                         | X  |                    | X  |
| B | California Educational Facilities Authority (CEFA) on behalf of Carnegie Institution of Washington | 52-1705592     | 130178VS2   | 03-24-2010      | 34,525,000      | Refund prior CEFA bonds issued to finance telescope proj and renovate facilities |              | X  |                         | X  |                    | X  |

**Part II Proceeds**

|    |  |  | A   |            | B   |            | C   |    | D   |    |
|----|--|--|-----|------------|-----|------------|-----|----|-----|----|
|    |  |  | 0   | 0          | 0   | 0          | 0   | 0  | 0   | 0  |
| 1  | Amount of bonds retired  |  |     | 0          |     | 0          |     |    |     |    |
| 2  | Amount of bonds legally defeased   |  |     | 0          |     | 0          |     |    |     |    |
| 3  | Total proceeds of issue  |  |     | 30,505,440 |     | 36,365,183 |     |    |     |    |
| 4  | Gross proceeds in reserve funds  |  |     | 0          |     | 0          |     |    |     |    |
| 5  | Capitalized interest from proceeds   |  |     | 0          |     | 0          |     |    |     |    |
| 6  | Proceeds in refunding escrows  |  |     | 0          |     | 0          |     |    |     |    |
| 7  | Issuance costs from proceeds   |  |     | 553,594    |     | 565,183    |     |    |     |    |
| 8  | Credit enhancement from proceeds   |  |     | 0          |     | 0          |     |    |     |    |
| 9  | Working capital expenditures from proceeds   |  |     | 0          |     | 0          |     |    |     |    |
| 10 | Capital expenditures from proceeds   |  |     | 30,000,000 |     | 35,800,000 |     |    |     |    |
| 11 | Other spent proceeds   |  |     | 0          |     | 0          |     |    |     |    |
| 12 | Other unspent proceeds   |  |     | 0          |     | 15,698     |     |    |     |    |
| 13 | Year of substantial completion   |  |     | 2005       |     | 2003       |     |    |     |    |
|    |  |  | Yes | No         | Yes | No         | Yes | No | Yes | No |
| 14 | Were the bonds issued as part of a current refunding issue?  |  | X   |            | X   |            |     |    |     |    |
| 15 | Were the bonds issued as part of an advance refunding issue?   |  |     | X          |     | X          |     |    |     |    |
| 16 | Has the final allocation of proceeds been made?  |  | X   |            | X   |            |     |    |     |    |
| 17 | Does the organization maintain adequate books and records to support the final allocation of proceeds? |  | X   |            | X   |            |     |    |     |    |

**Part III Private Business Use**

|   |  | A   |    | B   |    | C   |    | D   |    |
|---|--|-----|----|-----|----|-----|----|-----|----|
|   |  | Yes | No | Yes | No | Yes | No | Yes | No |
| 1 | Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds? |     | X  |     | X  |     |    |     |    |
| 2 | Are there any lease arrangements that may result in private business use of bond-financed property?                        |     | X  |     | X  |     |    |     |    |

**Part III Private Business Use (Continued)**

|   | A   |    | B   |    | C   |    | D   |    |
|---|-----|----|-----|----|-----|----|-----|----|
|   | Yes | No | Yes | No | Yes | No | Yes | No |
| <b>3a</b> Are there any management or service contracts that may result in private business use of bond-financed property?  |     | X  |     | X  |     |    |     |    |
| <b>b</b> If "Yes" to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?   |     |    |     |    |     |    |     |    |
| <b>c</b> Are there any research agreements that may result in private business use of bond-financed property?   |     | X  |     | X  |     |    |     |    |
| <b>d</b> If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?   |     |    |     |    |     |    |     |    |
| <b>4</b> Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ►  | 0 % |    | 0 % |    |     |    |     |    |
| <b>5</b> Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ► | 0 % |    | 0 % |    |     |    |     |    |
| <b>6</b> Total of lines 4 and 5   | 0 % |    | 0 % |    |     |    |     |    |
| <b>7</b> Does the bond issue meet the private security or payment test?   | X   |    | X   |    |     |    |     |    |
| <b>8a</b> Has there been a sale or disposition of any of the bond financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued?  |     | X  |     | X  |     |    |     |    |
| <b>b</b> If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of  |     |    |     |    |     |    |     |    |
| <b>c</b> If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1 141-12 and 1 145-2?  |     |    |     |    |     |    |     |    |
| <b>9</b> Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1 141-12 and 1 145-2?                             | X   |    | X   |    |     |    |     |    |

**Part IV Arbitrage**

|  | A   |    | B   |    | C   |    | D   |    |
|--|-----|----|-----|----|-----|----|-----|----|
|  | Yes | No | Yes | No | Yes | No | Yes | No |
| <b>1</b> Has the issuer filed Form 8038-T?   |     | X  |     | X  |     |    |     |    |
| <b>2</b> If "No" to line 1, did the following apply?   |     |    |     |    |     |    |     |    |
| <b>a</b> Rebate not due yet?   |     | X  |     | X  |     |    |     |    |
| <b>b</b> Exception to rebate?  | X   |    | X   |    |     |    |     |    |
| <b>c</b> No rebate due?  |     | X  |     | X  |     |    |     |    |
| If you checked "No rebate due" in line 2c, provide in Part VI the date the rebate computation was performed              |     |    |     |    |     |    |     |    |
| <b>3</b> Is the bond issue a variable rate issue?  |     | X  |     | X  |     |    |     |    |
| <b>4a</b> Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue? |     | X  |     | X  |     |    |     |    |
| <b>b</b> Name of provider  |     |    |     |    |     |    |     |    |
| <b>c</b> Term of hedge   |     |    |     |    |     |    |     |    |
| <b>d</b> Was the hedge superintegrated?  |     |    |     |    |     |    |     |    |
| <b>e</b> Was the hedge terminated?   |     |    |     |    |     |    |     |    |

**Part IV Arbitrage (Continued)**

|   | A   |    | B   |    | C   |    | D   |    |
|---|-----|----|-----|----|-----|----|-----|----|
|   | Yes | No | Yes | No | Yes | No | Yes | No |
| 5a Were gross proceeds invested in a guaranteed investment contract (GIC)?                        |     | X  |     | X  |     |    |     |    |
| b Name of provider  |     |    |     |    |     |    |     |    |
| c Term of GIC   |     |    |     |    |     |    |     |    |
| d Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?     |     |    |     |    |     |    |     |    |
| 6 Were any gross proceeds invested beyond an available temporary period?                          |     | X  |     | X  |     |    |     |    |
| 7 Has the organization established written procedures to monitor the requirements of section 148? | X   |    | X   |    |     |    |     |    |

**Part V Procedures To Undertake Corrective Action**

|  | A   |    | B   |    | C   |    | D   |    |
|--|-----|----|-----|----|-----|----|-----|----|
|  | Yes | No | Yes | No | Yes | No | Yes | No |
| Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations? | X   |    | X   |    |     |    |     |    |

**Part VI Supplemental Information.** Provide additional information for responses to questions on Schedule K (see instructions).

| Return Reference  | Explanation   |
|---|---|
| Schedule K, Part II, Line 7-02/04/2010 30,580,000 Maryland Health & Higher Educational Facilities | This issue was used to refund prior MHHEFA bonds of \$30 million issued in October, 2002, the proceeds of which were used to construct and equip a new facility for Carnegie's Department of Embryology on the Johns Hopkins Homewood Campus in Baltimore, Maryland. Construction began in April 2003 and the facility was occupied in September 2005. The 2010 series was issued at a discount of \$74,561 and amounts borrowed in excess of \$30 million were used to cover issuance costs. The series was issued at a discount of \$74,561 and amounts borrowed in excess of \$30 million were used to cover issuance costs. |

| Return Reference  | Explanation   |
|---|---|
| Schedule K, Part II, Line 7-<br>03/24/2010 34,525,000<br>California Educational Facilities Authority (CEFA) | This issue was used to refund \$17.5 million of 1993 Series B California Educational Facilities Authority Revenue tax exempt bonds and \$18.3 million of 2006 Series A CEFA Refunding Revenue tax-exempt bonds which refunded all outstanding 1993 Series A California Educational Facilities Authority Revenue tax exempt bonds. 1993 Series A & B bonds were used to finance the Magellan telescope project and the renovation of the facilities of the Observatories at Pasadena. The telescope project was completed in 2003. The 2010 Series was issued at a premium of \$1,840,183 and amounts in excess of \$35.8 million were used to cover issuance costs. |

**Schedule L**  
(Form 990 or 990-EZ)

## **Transactions with Interested Persons**

► Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.

- Attach to Form 990 or Form 990-EZ. ► See separate instructions.
- Information about Schedule L (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

2013

Open to Public  
Inspection

Department of the Treasury  
Internal Revenue Service

Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-0196523

**Part I Excess Benefit Transactions (section 501(c)(3) and section 501(c)(4) organizations only)**

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

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

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

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

**Part II    Loans to and/or From Interested Persons.**

Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a, or Form 990, Part IV, line 26, or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22.

### **Part III Grants or Assistance Benefitting Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

**Part IV Business Transactions Involving Interested Persons.**

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

| (a) Name of interested person | (b) Relationship between interested person and the organization | (c) Amount of transaction | (d) Description of transaction     | (e) Sharing of organization's revenues? |    |
|-------------------------------|---|---------------------------|------------------------------------|---|----|
|                               |   |                           |                                    | Yes                                     | No |
| (1) Merit Energy Company      | Trustee, William Gayden   | 8,387,683                 | Contributions to Merit Investments |   | No |
|                               |   |                           |                                    |   |    |
|                               |   |                           |                                    |   |    |
|                               |   |                           |                                    |   |    |
|                               |   |                           |                                    |   |    |

**Part V Supplemental Information**

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

Return Reference

Explanation

SCHEDULE M  
(Form 990)

## Noncash Contributions

OMB No 1545-0047

2013

Open to Public  
InspectionDepartment of the Treasury  
Internal Revenue Service►Complete if the organizations answered "Yes" on Form  
990, Part IV, lines 29 or 30.

► Attach to Form 990.

►Information about Schedule M (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

## Part I Types of Property

|  | (a)<br>Check<br>if<br>applicable | (b)<br>Number of contributions<br>or items contributed | (c)<br>Noncash contribution<br>amounts reported on<br>Form 990, Part VIII,<br>line 1g | (d)<br>Method of determining<br>noncash contribution amounts |
|--|----------------------------------|--|---|--|
| 1 Art—Works of art . . . . .   |                                  |  |   |  |
| 2 Art—Historical treasures . . . . .   |                                  |  |   |  |
| 3 Art—Fractional interests . . . . .   |                                  |  |   |  |
| 4 Books and publications . . . . .   |                                  |  |   |  |
| 5 Clothing and household<br>goods . . . . .  |                                  |  |   |  |
| 6 Cars and other vehicles . . . . .  |                                  |  |   |  |
| 7 Boats and planes . . . . .   |                                  |  |   |  |
| 8 Intellectual property . . . . .  |                                  |  |   |  |
| 9 Securities—Publicly traded . . . . .   | X                                | 2  | 622,851   | FMV  |
| 10 Securities—Closely held stock . . . . .   |                                  |  |   |  |
| 11 Securities—Partnership, LLC,<br>or trust interests . . . . .  |                                  |  |   |  |
| 12 Securities—Miscellaneous . . . . .  |                                  |  |   |  |
| 13 Qualified conservation<br>contribution—Historic<br>structures . . . . .   |                                  |  |   |  |
| 14 Qualified conservation<br>contribution—Other . . . . .  |                                  |  |   |  |
| 15 Real estate—Residential . . . . .   |                                  |  |   |  |
| 16 Real estate—Commercial . . . . .  |                                  |  |   |  |
| 17 Real estate—Other . . . . .   |                                  |  |   |  |
| 18 Collectibles . . . . .  |                                  |  |   |  |
| 19 Food inventory . . . . .  |                                  |  |   |  |
| 20 Drugs and medical supplies . . . . .  |                                  |  |   |  |
| 21 Taxidermy . . . . .   |                                  |  |   |  |
| 22 Historical artifacts . . . . .  |                                  |  |   |  |
| 23 Scientific specimens . . . . .  |                                  |  |   |  |
| 24 Archeological artifacts . . . . .   |                                  |  |   |  |
| 25 Other ► (In Kind Donation )   | X                                | 3  | 330,748   | FMV  |
| 26 Other ► ( _____ )   |                                  |  |   |  |
| 27 Other ► ( _____ )   |                                  |  |   |  |
| 28 Other ► ( _____ )   |                                  |  |   |  |
| 29 Number of Forms 8283 received by the organization during the tax year for contributions<br>for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . . . |                                  | 29   |   |  |

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

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

| Return Reference             | Explanation  |
|------------------------------|--|
| Schedule M, Part I, Line 32b | The organization uses its custodial bank, State Street, to process and sell stock contributions received from donors |

**SCHEDULE O**  
(Form 990 or 990-EZ)Department of the Treasury  
Internal Revenue Service**Supplemental Information to Form 990 or 990-EZ****Complete to provide information for responses to specific questions on  
Form 990 or to provide any additional information.****► Attach to Form 990 or 990-EZ.****► Information about Schedule O (Form 990 or 990-EZ) and its instructions is at  
[www.irs.gov/form990](http://www.irs.gov/form990).****2013****Open to Public  
Inspection**Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON**Employer identification number**

53-0196523

| Return<br>Reference               | Explanation   |
|-----------------------------------|---|
| Form 990,<br>Part III, Line<br>4a | planets Carnegie is a world-renowned center for petrology - study of rocks. It is also a world leader in high-pressure and high-temperature physics making significant contributions to both Earth and material sciences. Carnegie scientists are part of an interdisciplinary effort to investigate how life evolved on this planet and determine its potential for existing elsewhere. With various partners, Carnegie has launched a new multi-disciplinary, international initiative dedicated to achieving a transformational understanding of Earth's deep carbon cycle, including its poorly constrained reservoirs and fluxes, unknown role of deep biology, and unexplored influences of the deep carbon cycle on critical societal concerns related to energy, environment, and climate. Carnegie astronomers, unlike most in their field, design and build their own instruments to capture the secrets of space. They are tracing the evolution of the universe from the spark of the Big Bang through star and galaxy formation, exploring the structure of the universe, and probing the mysteries of dark matter, dark energy, and the ever-accelerating rate at which the universe is expanding. Carnegie operated telescopes in Las Campanas Chile, at which a large part of the research is conducted, and is part of a consortium that has undertaken to design, construct and operate a telescope known as the Giant Magellan Telescope that, when complete, will be among the world's largest groundbased optical/infrared facilities. Carnegie research also includes interdisciplinary teams of astronomers and astrophysicists, geophysicists and geochemists, cosmochemists and planetary scientists. These teams are discovering planets outside our solar system, determining the age and structure of the universe, and studying the causes of earthquakes and volcanoes. Using innovative approaches to research on global ecology, Carnegie scientists are picking apart the complicated interactions of Earth's land, atmosphere, and oceans to understand how global systems operate. With a wide range of powerful tools--from satellites to the instruments of molecular biology--these scientists explore issues such as the global carbon cycle, the role of land and oceanic ecosystems, and much more. These ecologists also play an active role in the public arena, from serving on international panels investigating climate change to promoting satellite imagery for the discovery of environmental hotspots. |

| Return Reference                       | Explanation   |
|--|---|
| Form 990, Part VI, Section B, Line 11b | <p>The entire Board received a copy of the proposed filing by electronic means before it was submitted to the IRS. Any individual Board member who wished to make a comment concerning the filing provided comments to the Chair of the Audit Committee and the President prior to the filing. The Audit Committee reviewed the proposed filing in two steps. First, prior to the filing, the Committee received the form for detailed review and discussed the submission at a meeting of the Audit Committee. The Committee was asked, in particular, to review key governance and policy responses to assure the information accurately describes the Board's governance and fiduciary responsibilities. Any comments from the Committee were provided to the President so that any necessary revisions could be made. Second, within six months after the filing, the Audit Committee will provide the full board with any recommendations for future changes to the Form 990 submission and/or the Institution's policies or procedures.</p> |

| Return Reference                       | Explanation  |
|--|--|
| Form 990, Part VI, Section B, Line 12c | Each year the Board of Trustees and key officers receive a conflict of interest package to complete that includes the Institution's policy, an updated list of organizations through which the Institution invests, and other information. Individuals receiving the package are required to respond by completing a signed, dated form. All conflicts of interest forms are collected by the Assistant Secretary to the Board and provided to Director, Administration and Finance. The Director, Administration and Finance, consults with the Institution's outside counsel concerning any issues and required follow-up resulting from the review. Required actions are fact specific. |

| Return Reference                      | Explanation   |
|---------------------------------------|---|
| Form 990, Part VI, Section B, Line 15 | The Employee Affairs Committee of the Board of Trustees annually conducts a review of the compensation of the Director, Administration and Finance. The review includes comparability data prepared by the Manager of Human Resources and Insurance. The results of the review are documented in the minutes of the meeting of the Committee. The Executive Committee of the Board of Trustees conducts a review of the compensation of the President and an independent compensation review was conducted by a third party consultant. |

| Return Reference                         | Explanation  |
|--|--|
| Form 990, Part VI,<br>Section C, Line 19 | The governing documents, audited financial statements, and employee conflict of interest policy are available on our website <a href="http://www.ciw.edu">www.ciw.edu</a> . The trustee conflict of interest policy is available upon written request. |

| Return<br>Reference          | Explanation  |
|------------------------------|--|
| Form 990, Part XI,<br>Line 9 | \$2,440,448 pension related changes other than net periodic postretirement benefit cost consists of \$2,422,448 unrecognized net actuarial loss and \$18,000 unrecognized prior service cost for the year ending June 30, 2014 |