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Form **990-PF**

Return of Private Foundation

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

OMB No 1545-0052

2016

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

For calendar year 2016 or tax year beginning

, and ending

Name of foundation

THE AUEN FOUNDATION

A Employer identification number

95-4325051

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

Room/suite

P.O. BOX 13390

B Telephone number (see instructions)

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

PALM DESERT

CA

92255-3390

(760) 341-5293

Foreign country name

Foreign province/state/county

Foreign postal code

C If exemption application is pending, check here ☐

G Check all that apply. ☐ Initial return ☐ Initial return of a former public charity
☐ Final return ☐ Amended return
☐ Address change ☐ Name change

D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐H Check type of organization: ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationI Fair market value of all assets at end of year (from Part II, col (c), line 16) ☐ \$ 34,197,769J Accounting method ☐ Cash ☐ Accrual
☒ Other (specify) MODIFIED CASH
(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

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

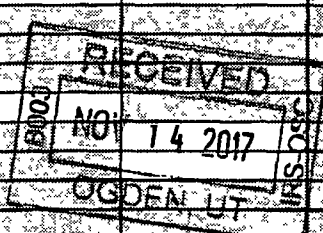
(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	1,496	1,496		
	4 Dividends and interest from securities	1,222,294	1,222,294		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-704,831			
	b Gross sales price for all assets on line 6a 25,934,023				
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule) SEE SCH (1)	113,402	47,514		
	12 Total. Add lines 1 through 11	632,361	1,271,304		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages	342,590			342,590
	15 Pension plans, employee benefits	123,367			123,367
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) SEE SCH (2)	30,700			30,700
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) SEE SCH (3)	63,083	41,218		
	19 Depreciation (attach schedule) and depletion SEE SCH (4)	10,191			
	20 Occupancy	12,000	1,200		10,800
	21 Travel, conferences, and meetings	4,389	556		3,833
	22 Printing and publications				
	23 Other expenses (attach schedule) SEE SCH (5)	56,014	26,298		29,716
	24 Total operating and administrative expenses. Add lines 13 through 23	642,334	69,272		541,006
	25 Contributions, gifts, grants paid SEE SCH (13)	1,181,050			1,181,050
	26 Total expenses and disbursements. Add lines 24 and 25	1,823,384	69,272		1,722,056
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-1,191,023			
	b Net investment income (if negative, enter -0-)		1,202,032		
	c Adjusted net income (if negative, enter -0-)				



For Paperwork Reduction Act Notice, see instructions.

Form **990-PF** (2016)

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	819,196	3,450,051	3,450,051
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ 91,213			
	Less allowance for doubtful accounts ▶ SEE SCH (6)	98,330	91,213	91,213
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule) SCH (7)	883,205	199,534	192,414
	b Investments—corporate stock (attach schedule) SEE SCH (8)	3,604,842	3,466,236	3,601,293
	c Investments—corporate bonds (attach schedule) SEE SCH (9)	23,148,589	20,194,247	19,612,096
	11 Investments—land, buildings, and equipment basis ▶ 5,555,000			
Less accumulated depreciation (attach schedule) ▶ SEE SCH (10)	5,555,000	5,555,000	5,555,000	
12 Investments—mortgage loans				
13 Investments—other (attach schedule)				
14 Land, buildings, and equipment basis ▶ 141,057				
Less accumulated depreciation (attach schedule) ▶ SEE SCH (10) 84,939	65,241	56,118	56,118	
15 Other assets (describe ▶ See Attached Statement SEE SCH (11))	1,291,682	1,230,252	1,639,584	
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	35,466,085	34,242,651	34,197,769	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ Due to related entities)	81,848	49,437	
23 Total liabilities (add lines 17 through 22)	81,848	49,437		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input checked="" type="checkbox"/>			
	24 Unrestricted	35,384,237	34,193,214	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input type="checkbox"/>			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	35,384,237	34,193,214	
	31 Total liabilities and net assets/fund balances (see instructions)	35,466,085	34,242,651	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	35,384,237
2 Enter amount from Part I, line 27a	2	-1,191,023
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	34,193,214
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	34,193,214

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	Publicly Traded Securities - See Sch. (12)	P	Various	Various
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a 25,934,023		26,638,854	-704,831	
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a			-704,831	
b				
c				
d				
e				
2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	-704,831
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	{ }	3	

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

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

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

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

☐ Yes ☒ No

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	1,817,371	35,232,306	0.051583
2014	879,075	36,603,136	0.024016
2013	1,080,825	34,131,980	0.031666
2012	860,347	28,618,977	0.030062
2011	908,363	27,653,120	0.032848
2	Total of line 1, column (d)	2	0.170175
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.034035
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	33,547,233
5	Multiply line 4 by line 3	5	1,141,780
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	12,020
7	Add lines 5 and 6	7	1,153,800
8	Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	1,723,124

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		12,020
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		
3	Add lines 1 and 2		12,020
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		12,020
6	Credits/Payments:		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	29,153
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	29,153
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	17,133
11	Enter the amount of line 10 to be Credited to 2017 estimated tax Refunded	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation. <input checked="" type="checkbox"/> \$ <u>N/A</u> (2) On foundation managers. <input checked="" type="checkbox"/> \$ <u>N/A</u>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ <u>N/A</u>		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If "Yes," has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>AL, CA</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? <i>If "No," attach explanation</i>	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		X

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11	Yes	No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► The Auen Foundation Telephone no ► (760) 341-5293 Located at ► 75-200 Classic Club Blvd, 2nd Floor, Palm Desert, CA USA ZIP+4 ► 92211			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	X
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20 , 20 , 20 , 20		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)	2b	N/A
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20 , 20 , 20 , 20		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)	3b	N/A
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b	X

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No

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

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

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

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** X

If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **7b** N/A

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

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

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account other allowances
SHERRIE AUEN PO BOX 13390, PALM DESERT, CA 92255-3390	Dir. of Programs 40+ Hours	190,453	19,851	NONE
CATHARINE REED PO BOX 13390, PALM DESERT, CA 92255-3390	Asst Dir -Programs 30+ Hours	133,308	18,954	NONE

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

NONE

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

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

Total number of others receiving over \$50,000 for professional services ▶ **NONE**

Part IX-A Summary of Direct Charitable Activities

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

Expenses

1 N/A	
2	
3	
4	

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

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

Amount

1 N/A	
2	
All other program-related investments. See instructions.	
3	

Total. Add lines 1 through 3 ▶

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	25,837,643
b	Average of monthly cash balances	1b	936,661
c	Fair market value of all other assets (see instructions)	1c	7,283,801
d	Total (add lines 1a, b, and c)	1d	34,058,105
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	34,058,105
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see instructions)	4	510,872
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	33,547,233
6	Minimum investment return. Enter 5% of line 5	6	1,677,362

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

1	Minimum investment return from Part X, line 6	1	1,677,362
2a	Tax on investment income for 2016 from Part VI, line 5	2a	12,020
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	10,945
c	Add lines 2a and 2b	2c	22,965
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,654,397
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,654,397
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,654,397

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	1,722,056
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	1,068
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,723,124
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	12,020
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,711,104


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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				1,654,397
2 Undistributed income, if any, as of the end of 2016			1,612,458	
a Enter amount for 2015 only				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e				
4 Qualifying distributions for 2016 from Part XII, line 4 \blacktriangleright \$ 1,723,124			1,612,458	
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2016 distributable amount				110,666
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2016. (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount—see instructions				
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount—see instructions				
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				1,543,731
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

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

N/A

- 1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling 
- b** Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

N/A

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

N/A

- c Any submission deadlines:**

N/A

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

N/A

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE SCHEDULE (13)				1,181,050
Total				3a 1,181,050
b <i>Approved for future payment</i> NONE				NONE
Total				3b NONE

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments			14	1,496	
4	Dividends and interest from securities			14	1,222,294	
5	Net rental income or (loss) from real estate					
a	Debt-financed property					
b	Not debt-financed property					
6	Net rental income or (loss) from personal property					
7	Other investment income					
8	Gain or (loss) from sales of assets other than inventory			18	-704,831	
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory					
11	Other revenue. a Other interest			14	6,134	
b	Income from LLC, Debt-financed property	531120	65,888			
c	Income from LLC, Not debt-financed property			16	41,219	
d	Miscellaneous			01	161	
e						
12	Subtotal. Add columns (b), (d), and (e)		65,888		566,473	
13	Total. Add line 12, columns (b), (d) and (e)				13	632,361

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

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

[illegible]

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

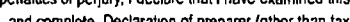
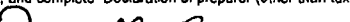
1		Yes	No
Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to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

[illegible]

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

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
The Fairfield Homes Title Holding Co., Inc.	501 (c)(2)	Payroll and overhead reimbursement arrangement. Fairfield Homes is the paymaster of the Auen Foundation.

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				May the IRS discuss this return with the preparer shown below (see instructions)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
	 Signature of officer or trustee		11-7-17 Date	CONTROLLER Title			
Paid Preparer Use Only	Print/Type preparer's name		Preparer's signature		Date	Check <input type="checkbox"/> if self-employed	PTIN
	CHRISTOPHER KEARLEY		 C.P.A.		11/2/17	<input type="checkbox"/>	P01245937
	Firm's name ▶ ERNST & YOUNG LLP					Firm's EIN ▶ 34-6565596	
	Firm's address ▶ 725 S. Figueroa St., Los Angeles, CA 90017					Phone no. (213) 977-3200	

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2016
Schedule (1), Part 1, Line 11

DESCRIPTION

NET
INVESTMENT
INCOME

OTHER INCOME:

PER BOOKS

Interest - Notes	6,134	6,134
Income from LLC	107,107	41,219
Miscellaneous	<u>161</u>	<u>161</u>
	<u>113,402</u>	<u>47,514</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2016
Schedule (2), Part I, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Deloitte & Touche LLP 555 West 5th St., Suite 2700 Los Angeles, Ca 90013-1010 Service: Financial Reports	<u>30,700</u>	<u>-</u>	<u>30,700</u>

The Auen Foundation
P.O. Box 13390
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EIN. 95-4325051
Form 990 PF, Dec 31, 2016
Schedule (3), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	15,000	-	-
Federal UBI Tax	10,500	-	-
Alabama UBI Tax	4,865	-	-
California UBI Tax Refund	(8,500)	-	-
Property Taxes	41,218	41,218	-
	<u>63,083</u>	<u>41,218</u>	<u>-</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2016
Schedule (4), Part 1, Line 19

<u>DESCRIPTION</u>	<u>DEPRECIATION EXPENSE</u>
Per Books	10,191
Less, depreciation not for investment purposes	<u>10,191</u>
Column (b) - Net investment income	<u><u>-</u></u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2016
Schedule (5), Part I, Line 23

<u>DESCRIPTION</u>	<u>PER</u> <u>BOOKS</u>	<u>NET</u> <u>INVESTMENT</u> <u>INCOME</u>	<u>CHARITABLE</u> <u>PURPOSE</u>
OTHER EXPENSES:			
Auto/Transportation Expenses	19,056	-	19,056
Employee Auto Reimbursement	(10,660)	-	(10,660)
Bad Debt Expense (Note a)	-	-	-
Bank/Wire Charges	10	10	-
Computer Maintenance	2,827	-	2,827
Corporate Fees	10	-	10
Education	-	-	-
Insurance	11,535	919	10,616
Miscellaneous Charitable Expenses	2,770	-	2,770
Overhead Reimbursement	2,433	243	2,190
Office Supplies	1,341	307	1,034
Outside Services	24,853	24,819	34
Postage	-	-	-
Subscription	417	-	417
Property Taxes	-	-	-
Telephone	1,422	-	1,422
TOTALS	56,014	26,298	29,716

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (6), Part II, Line 7

OTHER NOTES AND LOANS RECEIVABLES

DESCRIPTION	Balance Due	Fair Market Value
Rusty Hamilton	91,213	91,213
Relationship to borrower: None		
TOTAL	91,213	91,213

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (7), Part II, Line 10a

<u>PURCHASE</u> <u>DATE</u>	<u>DESCRIPTION</u>	<u>ENDING</u> <u>COST</u>
<u>GOVERNMENT & AGENCY BONDS</u>		
11-10-16	US TREASURY NOTE	199,534
TOTAL		<u>199,534</u>

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (8), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>COMMON STOCKS</u>	
AMTRUST FINANCIAL SVC INC	96,000
EXXON MOBIL CORP	768,491
PHILLIP MORRIS INTL INC.	129,323
WMI HOLDINGS CORP	28,106
ZTO EXPRESS CAYMAN INC	14,625
INVESCO AIM	(773)
SOUTHERNSUN	(269)
THORNBURG	19
ROTHSCHILD	97,502
DELAWARE LCG	(7,737)
DELAWARE NON US EQ	(4,146)
SUB-TOTAL	1,121,141
<u>PREFERRED STOCKS</u>	
ASPEN INSURANCE HOLDINGS	100,000
AXIS CAP HOLDINGS	200,000
CAPITAL ONE FINCL	150,000
COLONY CAPITAL	100,000
CUSTOMERS BANCORP	25,000
CUSTOMERS BANCORP	50,000
DOMINION RESOURCES	200,000
ENTERGY ARKANSAS	125,000
ENTERGY LA LLC	450
HERCULES CAPITAL	50,495
KKR & CO LLP	50,000
LEGACY RES LP FXD/FLT	90,650
LEGG MASON INC	250,000
NATIONAL RETAIL PRP INC	100,000
NEXTERA ENERGY CA	100,000
PS BUSINESS PARKS	200,000
QWEST CORPORATION	200,000
RESOURCE CAPITAL CORP	100,000
THE SOUTHERN COMP	75,000
TELE DATA	78,500
VALIDUS HOLDINGS LTD	100,000
SUB-TOTAL	2,345,095
TOTAL	3,466,236

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

EIN. 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (9), Part II, Line 10c

DESCRIPTION	COST
<u>MUTUAL FUNDS</u>	
ADVENT CLAYMORE ENHANCED G&I	164,926
INVESCO VAN KAMP DYN CRDT OPP	50,000
LORD ABBETT FLT RT	215,419
MS EMERGING MKTS DOMESTIC DEBT	79,346
CALAMOS STRATEGIC TOTAL	85,292
CLOUGH GLOBAL OPP FUND	86,777
DELAWARE VALUE C	285,586
FIDELITY ADV MID CAP VALUE C	249,542
FIRST EAGLE GLOBAL A	708,001
JP MORGAN LARGE CAP GRW C	358,585
VOYA LARGE CAP GROWTH C	375,941
GS HIGH YIELD INSTL MUTUAL FUND	87,212
ISHARES HEDGED MSCI EAFE ETF	145,761
ISHARES MSCI EAFE INDEX FND ETF	150,903
ISHARES RUSSELL 1000 VALUE DISCRETION	56,061
ISHARES RUSSELL 1000 GROWTH ETF	150,326
ISHARES RUSSELL 2000 ETF AVG	81,969
GS CORE FIXED INCOME FUND INSTITUTIONAL	853,263
GS REAL ESTATE SEC FUND	29,253
GS TACTICAL TILT IMPL	60,034
GS INT'L REAL ESTATE SEC	42,373
SPDR S&P 500 ETF TRUST	134,770
VANGUARD FTSE EMERGING MKTS	41,851
SUB-TOTAL	4,493,191
<u>CORPORATE BONDS</u>	
AEGON NV	227,757
ALTICE FIN REGS	336,006
AT&T INC	156,005
AXA SA	44,502
BAC CAP TR XIV	456,462
BANK OF AMERICA	414,006
BERRY PETE CO	84,006
CITIGROUP	187,506
CITIGROUP INC	152,330
CITIGROUP INC	202,500
CITIGROUP INC	311,256
CITIZENS COMM CO	308,760
CITIZENS FINL INC	315,816
CITIZENS FINL INC	98,381
DISCOVER BANK	102,402
E TRADE FINANCIAL	519,387
EXCO RESOURCES	315,756
FIRST HORIZONS	202,006
FRONTIER COMMN	249,756

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (9), Part II, Line 10c

DESCRIPTION	COST
<u>CORPORATE BONDS - continued</u>	
FRONTIER COMMN	155.066
GENESIS EGY LP	309.006
GS CAPITAL II	251.227
HSBC BANK PLC	124.006
HSBC BANK PLC	130.006
ILFC E-CAP REG S	578.512
INTL LEASE FIN	102.123
JEFFERIES GROUP	101.506
JP MORGAN CHASE	413.006
LLOYDS TSB BANK	207.006
MELLON CAPITAL IV	84.003
METLIFE INC	101.739
MORGAN STANLEY	403.794
NAVIENT CORP	99.754
SYNCHRONY FINAN	202.706
TRONOX FIN LLC	255.631
WELLS FARGO CO	207.003
SUB-TOTAL	8,410.694
<u>STRUCTURED PRODUCTS</u>	
CS CIAL TO BX	250.000
CS CONTINGENT	500.000
CS WO AUTO INDEX	130.000
GS CIAUTO ON C	250.000
GS CI WO INDICES	780.000
GS CI WO INDICES	300.000
GS CI WO INDICES	400.000
GS CI WO INDICES	150.000
GS CI WO INDICES	250.000
GS CI WO INDICES	200.000
HSBC CI WO INDEX	500.000
HSBC DDTARIGP SPX	247.300
JPM WO AUTO INDEX	200.000
JPM CI WO INDICES	500.000
JPM CI WO INDICES	243.000
JPM CI WO INDICES	250.000
JPM WO JUMP INDEX	505.000
MS CONTINGENT INCOME	186.256
MS CIAUTO ON JPM	400.000
MS TRIGGER JUMP SPX	98.806
RBC CI WO INDICES	950.000
	7,290.362
TOTAL	20,194.247

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (10), Part II, Line 11 and 14

DESCRIPTION	BOOK VALUE	ACCUM DEPRECIATION	NET BOOK VALUE	TOTAL FAIR MARKET VALUE
<u>Line 11: Real Properties</u>				
Vacant Land	5,555,000		5,555,000	5,555,000
<u>Line 14: Fixed Assets</u>				
Transportation and Equipment	141,057	84,939	56,118	56,118

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

Equipment	5 - 10 years
Transportation equipment	5 years

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2016
Schedule (11), Part II, Line 15

DESCRIPTION	FAIR	
	BOOK VALUE	MARKET VALUE
OTHER ASSETS:		
Investment in Berger Tuscaloosa, LLC	1,227,757	1,637,089
Accrued Bond Interest	2,495	2,495
TOTAL AMOUNT	1,230,252	1,639,584

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

EIN: 95-4325051
Form 990PF, Dec. 31, 2016
Schedule (12), Part IV

ACQUIRED BY PURCHASE

	Sales Price	Adjusted Cost	Gain or (loss)
GOVERNMENT & AGENCY - BONDS	827,309	883,205	(55,896)
CORPORATE BONDS	10,146,434	10,720,170	(573,736)
STOCKS	14,960,280	15,035,479	(75,199)
TOTAL	25,934,023	26,638,854	(704,831)

The Auen Foundation

EIN: 95-4325051, Form 990PDF, December 2016
Schedule (13), Part XV Line 3A, Grants Paid During Year and Part 1 Line 25

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
January 2016					
Opera Arts <i>2016 Festival of Opera and Arts</i>	A16-01	1/25/2016 CK#3448	\$5,000.00	300540629	PO Box 5722 Palm Springs, CA 92263
Total January 2016 (1 item)			\$5,000.00		
February 2016					
A.C.T. for Multiple Sclerosis <i>Support for Senior Programs</i>	A16-04	2/25/2016 CK#3453	\$15,000.00	330035866	73-710 Fred Waring Drive Ste 118 Palm Desert, CA 92260
Coronado Promenade Concerts <i>support for Intergenerational Concerts</i>	A16-09	2/11/2016 CK#3451	\$3,000.00	271045525	PO Box 182072 Coronado, CA 92178
CSUSB - California State University Palm Desert Campus Philanthropic Foundation <i>underwriting for advertising and PR expenses for Dyslexia Seminar</i>	A16-11	2/24/2016 CK#3452	\$4,000.00	452255077	37-500 Cook Street Palm Desert, CA 92211-2900
Eisenhower Medical Center <i>funding to underwrite programs and services associated with diseases of aging</i>	A16-02	2/10/2016 CK#3449	\$50,000.00	956130458	39000 Bob Hope Drive Rancho Mirage, CA 92270
Palm Springs Opera Guild <i>support to make Opera in the Park free to the community</i>	A16-03	2/11/2016 CK#3450	\$2,500.00	956220739	2150 E. Tahquitz Way Palm Springs, CA 92262
Total February 2016 (5 items)			\$74,500.00		
March 2016					
AIDS Assistance Program <i>support for Food Voucher Program</i>	A16-10	3/2/2016 CK#3456	\$25,000.00	330566442	1276 N. Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
American Documentary Film Festival <i>funding for senior documentaries</i>	A16-06	3/3/2016 CK#3458	\$10,000.00	550914693	PO Box 956 Palm Springs, CA 92263
California CareForce <i>support for vision and eye care equipment for seniors</i>	A16-14	3/30/2016 CK#3462	\$15,000.00	452408171	950 Reserve Drive, Suite 120 Roseville, CA 95678
Coachella Valley BookPals - Palm Springs Women in Film & Television <i>Intergenerational program support - working and reading with children</i>	A16-07	3/2/2016 CK#3454	\$5,000.00	421616628	PO Box 1502 Cathedral City, CA 92235
Friends of Vista Hill Foundation <i>funding to help with new building for developmentally disabled seniors</i>	A16-08	3/2/2016 CK#3455	\$10,000.00	330174451	8910 Claremont Mesa Ave. San Diego, CA 92123-1104
Palm Springs Air Museum <i>support for the Miles Hangar construction, to impact valley school children through intergenerational mentoring programs</i>	A16-13	3/23/2016 CK#3460	\$50,000.00	330615350	745 North Gene Autry Trail Palm Springs, CA 92262
The Unforgettables Foundation <i>help fund "Children & Families In Crisis" conference</i>	A16-12	3/23/2016 CK#3459	\$7,500.00	330885478	345 W Pearl Ave., Suite 230 Redlands, CA 92374
Total March 2016 (7 items)			\$122,500.00		
April 2016					
DFDD - Desert Friends of the Developmentally Disabled <i>support for Senior Scholarship Fund</i>	A16-05	4/6/2016 CK#3461	\$10,000.00	264763443	289 Tolosa Circle Palm Desert, CA 92260
Salk Institute for Biological Studies <i>funding for cellular aging research</i>	A16-15	4/18/2016 CK#3465	\$15,000.00	952160097	10010 N. Torrey Pines Road La Jolla, CA 92037-1002
The Desert Symphony, Inc. <i>general operating expenses</i>	A16-18	4/14/2016 CK#3464	\$3,000.00	953871126	72925 Fred Waring Dr., Suite 101 Palm Desert, CA 92260
Tools For Tomorrow <i>support for mentoring program</i>	A16-16	4/27/2016 CK#3466	\$5,000.00	330889045	42-600 Cook Street Suite #203 Palm Desert, CA 92211
Total April 2016 (4 items)			\$33,000.00		

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
May 2016					
Christopher's Clubhouse <i>support to train 500 individuals in the aging community here in the Coachella Valley for interactive skills and risk awareness techniques to prevent or thwart and attack</i>	A16-22	5/18/2016 CK #3470	\$7,000.00	562674960	PO Box 5444 La Quinta, CA 92248
Coachella Valley Symphony <i>support for Intergenerational Music Programs</i>	A16-20	5/5/2016 CK #3467	\$10,000.00	330481383	PO Box 10727 Palm Desert, CA 92255
Desert Aids Project <i>to provide dental care for elderly clients</i>	A16-19	5/5/2016 CK #3468	\$25,000.00	330068583	1695 North Sunrise Way PO Box 2890 Palm Springs, CA 92263-2890
Gary Sinise Foundation <i>Support for Soaring Valor Program to recognize WWII veterans</i>	A16-24	5/23/2016 CK #3472	\$20,000.00	800587086	PO Box 50008 1901 Avenue of the Stars Studio City, CA 91614-5001
Palm Desert Chamber of Commerce <i>to help underwrite the 2016 parade and senior programs</i>	A16-21	5/18/2016 CK #3471	\$15,000.00	330206420	72559 Highway 111 Palm Desert, CA 92260
USC Marching Band <i>California Trojan Band</i>	A16-25	5/11/2016 CK #3469	\$3,800.00	951642394	837 Downey Way Stonier Hall B Los Angeles, CA 90089-1141
Total May 2016 (6 items)			\$80,800.00		
June 2016					
American Cancer Society, Inc. (Desert Palms Area) <i>to provide services free of charge in the Coachella Valley</i>	A16-23	6/2/2016 CK #3473	\$10,000.00	131788491	73-161 Fred Waring Drive Suite 100 Palm Desert, CA 92260
Loving All Animals <i>Because of the Fine work done by Loving All Animals & Pegasus Riding Academy, grant funds to be split 50/50.</i>	A16-29	6/21/2016 CK #3477	\$5,000.00	263841119	73-550 Alessandro Drive Palm Desert, CA 92260
Pegasus Riding Academy for the Handicapped <i>to provide programs for elderly clients</i>	A16-17	6/21/2016 CK #3478	\$6,000.00	953774003	35-450-B Pegasus Court Palm Desert, CA 92211

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Rancho Mirage Writer's Festival 2017, 4th annual Writer's Festival	A16-30	6/14/2016 CK#3474	\$5,000.00	371754922	71-100 HWY 111 Rancho Mirage, CA 92270
Well in the Desert For Food Programs, and Christmas Celebration for Coachella Valley Senior Citizens.	A16-26	6/28/2016 CK#3479	\$24,475.00	330694580	PO Box 5312 Palm Springs, CA 92263
Well in the Desert For Food Programs, and Christmas Celebration for Coachella Valley Senior Citizens	A16-26	6/30/2016 CK#3480	\$1,000.00	330694580	PO Box 5312 Palm Springs, CA 92263
Well in the Desert For Food Programs, and Christmas Celebration for Coachella Valley Senior Citizens	A16-26	6/14/2016 CK#3476	\$25.00	330694580	PO Box 5312 Palm Springs, CA 92263
Total June 2016 (7 items)			\$51,500.00		
July 2016					
Jewish Family Service of the Desert Senior Care Programs	A16-31	7/28/2016 CK#3482	\$25,000.00	330613083	490 S. Farrell Drive-Suite C208 Palm Springs, CA 92262
My Jump Inc. support to fulfill 1 senior Make a Wish requests	A16-27	7/5/2016 CK#3481	\$5,000.00	460820167	74916 Highway 111 Indian Wells, CA 92210
Total July 2016 (2 items)			\$30,000.00		
August 2016					
Angel Light Academy Matching support for intergenerational programs	A16-28	8/25/2016 CK#3488	\$12,500.00	860798005	78-365 Highway 111, #342 La Quinta, CA 92253
Coachella Valley Rescue Mission part of a matching grant program, Auen portion will go to fund senior support	A16-33	8/2/2016 CK#3485	\$15,000.00	952684844	47-470 Van Burren PO Box 10660 Indio, CA 92202-2564
International Classical Concerts of the Desert to support programs for seniors to attend concerts	A16-32	8/2/2016 CK#3484	\$3,000.00	061775531	PO Box 1227 La Quinta, CA 92253

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Parkinson's Resource Organization <i>operational support / various projects</i>	A16-36	8/2/2016 CK#3483	\$1,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
SOS - Soldiers Organized Services <i>support for new veteran transportation program</i>	A16-37	8/2/2016 CK#3486	\$3,000.00	743216955	57539 Santa Rosa Trail La Quinta, CA 92253
Total August 2016 (5 items)			\$34,500.00		
September 2016					
Elderhelp <i>Support for Senior Transportation</i>	A16-35	9/29/2016 CK#3504	\$15,000.00		6150 Mission Gorge Rd. #140 San Diego, CA 92120
Galilee Center <i>support for Senior Services Program</i>	A16-38	9/1/2016 CK#3490	\$15,000.00	273133601	66101 Hammond Rd. PO Box 308 Mecca, CA 92254
Gilda's Club of the Desert <i>to help expand support for Senior Services</i>	A16-39	9/27/2016 CK#3493	\$20,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260
Joslyn Senior Center <i>supporting senior wellness program</i>	A16-40	9/14/2016 CK#3491	\$15,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
Rancho Mirage Public Library Foundation <i>support for the purchase of large print books</i>	A16-41	9/26/2016 CK#3492	\$25,000.00	273559025	71-100 HWY 111 Rancho Mirage, CA 92270
Warner Pacific College <i>support for the Launch of Nursing Program</i>	A16-42	9/29/2016 CK#3494	\$10,000.00	930386890	2219 SE 68th Avenue Portland, OR 97215
Total September 2016 (6 items)			\$100,000.00		
November 2016					
Coachella Valley Mounted Rangers/Search & Rescue <i>support to sponsor one horse for one year</i>	A16-60	11/22/2016 CK#3510	\$2,400.00	800536952	P O. Box 809 Indio, CA 92202
Desert Best Friend's Closet <i>support for intergenerational program</i>	A16-45	11/28/2016 CK#3514	\$9,000.00	262388221	74040 HWY 111, Suite F Palm Desert, CA 92260
Heartbeat at 22 <i>seniors program helping to educate young mothers</i>	A16-44	11/28/2016 CK#3516	\$10,000.00	454384613	PO Box 1816 44-875 Deep Canyon, Suite 2 Palm Desert, CA 92261

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Living Desert Reserve <i>funding support for senior volunteer programs</i>	A16-49	11/9/2016 CK#3509	\$5,000.00	953385354	47-900 Portola Avenue Palm Desert, CA 92260
Opera Arts <i>support for Intergenerational Arts Program</i>	A16-52	11/22/2016 CK#3512	\$7,000.00	300540629	PO Box 5722 Palm Springs, CA 92263
Parkinson's Resource Organization <i>support for computer upgrade</i>	A16-59	11/22/2016 CK#3511	\$2,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
Parkinson's Resource Organization <i>operational support for services</i>	A16-46	11/1/2016 CK#3507	\$2,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
Pegasus Riding Academy for the Handicapped <i>luncheon support for seniors, medically and physically challenged and valet services</i>	A16-43	11/1/2016 CK#3505	\$5,000.00	953774003	35-450-B Pegasus Court Palm Desert, CA 92211
Sacred Heart Church <i>Support for Senior Companion Program</i>	A16-63	11/28/2016 CK#3515	\$3,000.00		43-775 Deep Canyon Rd. Palm Desert, CA 92260
Senior Advocates of the Desert <i>Emergency fund and advocacy</i>	A16-50	11/28/2016 CK#3517	\$10,000.00	454219977	PO Box 2827 Cathedral City, CA 92235
The Flower Bank <i>support for senior program</i>	A16-47	11/1/2016 CK#3506	\$2,500.00	472488433	32200 Cathedral Canyon Drive, #103 Cathedral City, CA 92234
The Ranch Recovery Centers, Inc. <i>support for senior treatment programs and scholarships</i>	A16-48	11/8/2016 CK#3508	\$30,000.00	237365064	7885 Annandale Avenue Desert Hot Springs, CA 92240
Total November 2016 (12 items)			\$87,900.00		
December 2016					
American Documentary Film Festival <i>support for senior programs</i>	A16-69	12/8/2016 CK#3527	\$10,000.00	550914693	PO Box 956 Palm Springs, CA 92263
Angel View Inc. <i>program support for senior clients with disabilities</i>	A16-61	12/7/2016 CK#3522	\$12,500.00	951861861	67625 E. Palm Canyon Dr. Suite A Cathedral City, CA 92234
Arthritis Foundation Inc. <i>support for "Put Pan in It's Place" workshops</i>	A16-58	12/7/2016 CK#3519	\$24,000.00	581341679	PO Box 5146 La Quinta, CA 92248

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Assistance League of Palm Springs Desert Area <i>support for senior service program</i>	A16-51	12/12/2016 CK#3528	\$5,000.00	237292226	P O. Box 3056 Rancho Mirage, CA 92270
Center for Spiritual Living Palm Desert <i>funding for pastoral care for the elderly</i>	A16-65	12/12/2016 CK#3529	\$3,000.00	941508353	45-630 Portola Avenue Palm Desert, CA
Childrens Playtime Productions <i>support for intergenerational theater programs</i>	A16-53	12/7/2016 CK#3518	\$10,000.00	330730102	PO Box 10087 Palm Desert, CA 92255-0087
Coachella Valley Mounted Rangers/Search & Rescue <i>Support for operations</i>	A16-79	12/14/2016 CK#Catharine CreditCard	\$350.00	800536952	P O. Box 809 Indio, CA 92202
Coachella Valley Rescue Mission <i>Christmas Drive</i>	A16-76	12/13/2016 CK#3533	\$500.00	952684844	47-470 Van Burren PO Box 10660 Indio, CA 92202-2564
College of the Desert Foundation <i>support for Funding Gap grants</i>	A16-73	12/13/2016 CK#3535	\$50,000.00	953829219	43-500 Monterey Avenue Palm Desert, CA 92260
CSUSB - California State University Palm Desert Campus Philanthropic Foundation <i>GAP Funding support</i>	A16-56	12/7/2016 CK#3524	\$50,000.00	452255077	37-500 Cook Street Palm Desert, CA 92211-2900
Desert Cancer Foundation <i>assisting seniors with cancer treatment</i>	A16-74	12/13/2016 CK#3536	\$15,000.00	330648823	74091 Larrea Street Palm Desert, CA 92260
Fidelity Investments Charitable Gift Fund <i>Grant to Fidelity Charitable Donor Advised Fund</i>	A16-78	12/19/2016 CK#3541	\$100,000.00	110303001	82 Devonshire Street Boston, MA 02109
Friends of the Indio Senior Center Inc. <i>support for the purchase of a van to be used for senior transportation</i>	A16-67	12/8/2016 CK#3526	\$30,000.00	330884023	PO Box 2077 Indio, CA 92201
Jewish Family Service of the Desert <i>senior emergency funding</i>	A16-71	12/19/2016 CK#3539	\$15,000.00	330613083	490 S Farrell Drive-Suite C208 Palm Springs, CA 92262

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Mizell Senior Center <i>funding for "A Matter of Balance" fall prevention program</i>	A16-70	12/19/2016 CK#3537	\$25,000.00	953464835	480 S. Sunrise Way Palm Springs, CA 92262
Neuro Vitality Center <i>support to help expand and transform services provided by the center</i>	A16-64	12/19/2016 CK#3532	\$30,000.00	953402464	2800 East Alejo Road Palm Springs, CA 92262-6253
Palm Canyon Theatre <i>support for your senior volunteer program</i>	A16-55	12/7/2016 CK#3521	\$10,000.00	330763184	538 North Palm Canyon Drive Palm Springs, CA 92262
Read With Me Volunteer Programs <i>intergenerational programs reading with children</i>	A16-62	12/13/2016 CK#3534	\$30,000.00	471406641	PO Box 1016 Rancho Mirage, CA 92270
Rutgers University Foundation <i>research for the elderly, frail, and end of life issues</i>	A16-68	12/7/2016 CK#3525	\$30,000.00	237318742	185 South Orange Ave. Newark, NJ 07103
Spiritual Outreach Ministries <i>support for Medical Assistance Program</i>	A16-66	12/6/2016 CK#3523	\$12,000.00	770028391	75-153 Merle Drive, Suite B Palm Desert, CA 92211
Steele Memorial Foundation <i>for purchase of medical equipment for a rural health clinic in Salmon</i>	A16-77	12/19/2016 CK#3540	\$12,000.00	820331253	203 S Daisy Street Salmon, ID 83467
The Palm Springs International Film Society <i>support for Senior and Active Retirement Programs</i>	A16-54	12/7/2016 CK#3520	\$30,000.00	951641910	1700 E Tahquitz Canyon Way, #3 Palm Springs, CA 92262
Tools For Tomorrow <i>support for your program to mentor school children</i>	A16-76	12/12/2016 CK#3530	\$5,000.00	330889045	42-600 Cook Street Suite #203 Palm Desert, CA 92211
Turning Heads <i>to help seniors with self image during cancer treatment</i>	A16-72	12/13/2016 CK#3531	\$2,000.00	900815143	74801 Hovley Lane #10226 Palm Desert, CA 92255
USC - Davis School of Gerontology <i>enriching education in Gerontology</i>	A16-75	12/19/2016 CK#3538	\$50,000.00		Attn Tracy Arcuri 3715 McClintock Ave, Room 103 Los Angeles, CA 90089
Total December 2016 (25 items)			\$561,350.00		
Grand Totals (80 items)			\$1,181,050.00		

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

EIN. 95-4325051
Form 990 PF, Dec. 31, 2016
Schedule (14), Part XVII, Line 1b(4)

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

<u>Line No.</u>	<u>Amount Involved</u>	<u>Name of Non-Charitable Exempt Organization</u>	<u>Description</u>
b(4)	\$ 409,047	The Fairfield Homes Title Holding Co., Inc. {exempt IRC 501 (c)(2)}	Is the paymaster of the Foundation as authorized by Employment Tax Reg. 31 3121(s) - 1(a) and (b). Accounting services and other administrative expenses provided to the Foundation at allocated cost in accordance with an overhead sharing agreement.