

Form 990-PF

Department of the Treasury
Internal Revenue ServiceReturn of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

► Do not enter social security numbers on this form as it may be made public.
► Go to www.irs.gov/Form990PF for instructions and the latest information.

For calendar year 2017 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) P O BOX 13390		B Telephone number (see instructions) (760) 341-5293			
City or town, state or province, country, and ZIP or foreign postal code PALM DESERT CA 92255-3390		C If exemption application is pending, check here ► <input type="checkbox"/>			
Foreign country name Foreign province/state/county Foreign postal code		D 1. Foreign organizations, check here ► <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ► <input type="checkbox"/>			
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		E If private foundation status was terminated under section 507(b)(1)(A), check here ► <input type="checkbox"/>			
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► <input type="checkbox"/>			
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ► \$ 33,100,415	J Accounting method <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input checked="" type="checkbox"/> Other (specify) MODIFIED CASH (Part I, column (d) must be on cash basis)				
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)
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	833	833			
4 Dividends and interest from securities	1,349,922	1,349,922			
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10	-167,400				
b Gross sales price for all assets on line 6a	18,566,706				
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					
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule) SEE SCH (1)	300,549	232,433			
12 Total. Add lines 1 through 11	1,483,904	1,583,188			
Operating and Administrative Expenses					
13 Compensation of officers, directors, trustees, etc					
14 Other employee salaries and wages	356,647				356,647
15 Pension plans, employee benefits	126,602				126,602
16a Legal fees (attach schedule) SEE SCH. (2)	2,592				2,592
b Accounting fees (attach schedule) SEE SCH. (3)	29,730				29,730
c Other professional fees (attach schedule)					
17 Interest					
18 Taxes (attach schedule) (see instructions) SEE SCH (4)	77,657	45,868			
19 Depreciation (attach schedule) and depletion SEE SCH (5)	5,808				
20 Occupancy	12,000	1,200			10,800
21 Travel, conferences, and meetings	5,128				5,128
22 Printing and publications					
23 Other expenses (attach schedule) SEE SCH. (6)	40,453	7,292			33,161
24 Total operating and administrative expenses.					
Add lines 13 through 23	656,617	54,360			564,660
25 Contributions, gifts, grants paid SEE SCH. (13)	1,072,200				1,072,200
26 Total expenses and disbursements. Add lines 24 and 25	1,728,817	54,360			1,636,860
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-244,913				
b Net investment income (if negative, enter -0-)		1,528,828			
c Adjusted net income (if negative, enter -0-)					

For Paperwork Reduction Act Notice, see instructions.

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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	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
	1 Cash—non-interest-bearing		3,450,051	772,265	772,265
	2 Savings and temporary cash investments				
	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) ►	78,065			
	Less allowance for doubtful accounts ► SEE SCH. (7)	91,213	78,065	78,065	
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments—U S and state government obligations (attach schedule)		199,534	NONE	NONE
	b Investments—corporate stock (attach schedule) SEE SCH. (8)	3,466,236	2,393,236	2,775,122	
	c Investments—corporate bonds (attach schedule) SEE SCH. (9)	20,194,247	19,501,862	19,779,125	
	11 Investments—land, buildings, and equipment basis ►	5,555,000			
	Less accumulated depreciation (attach schedule) ► SEE SCH. (10)	5,555,000	5,555,000	2,730,000	
	12 Investments—mortgage loans				
	13 Investments—other (attach schedule)				
	14 Land, buildings, and equipment basis ►	130,704			
	Less accumulated depreciation (attach schedule) ► SCH. (10)	80,394	56,118	50,310	50,310
	15 Other assets (describe ► See Attached Statement SCH. (11))		1,230,252	5,641,044	6,915,528
	16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		34,242,651	33,991,782	33,100,415
	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)		49,437	43,481	
	23 Total liabilities (add lines 17 through 22)		49,437	43,481	
	Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ► <input checked="" type="checkbox"/> and complete lines 24 through 26, and lines 30 and 31.			
	24 Unrestricted		34,193,214	33,948,301	
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ► <input type="checkbox"/> and complete lines 27 through 31.				
	27 Capital stock, trust principal, or current funds				
	28 Paid-in or capital surplus, or land, bldg, and equipment fund				
	29 Retained earnings, accumulated income, endowment, or other funds				
	30 Total net assets or fund balances (see instructions)		34,193,214	33,948,301	
	31 Total liabilities and net assets/fund balances (see instructions)		34,242,651	33,991,782	

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	34,193,214
2 Enter amount from Part I, line 27a	2	-244,913
3 Other increases not included in line 2 (itemize) ►	3	
4 Add lines 1, 2, and 3	4	33,948,301
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	33,948,301

Part IV Capital Gains and Losses for Tax on Investment Income

a) List and describe the kind(s) of property sold (for example, 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 18,566,706		18,734,106	-167,400		
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
a			-167,400		
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				-167,400
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 doesn't qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2016	1,711,104	33,547,233	0.051006
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

- 2 Total of line 1, column (d) 2 0.188333
- 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 50, or by the number of years the foundation has been in existence if less than 5 years 3 0.037667
- 4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5 4 32,284,333
- 5 Multiply line 4 by line 3 5 1,216,054
- 6 Enter 1% of net investment income (1% of Part I, line 27b) 6 15,288
- 7 Add lines 5 and 6 7 1,231,342
- 8 Enter qualifying distributions from Part XII, line 4 8 1,636,860
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

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 ► and enter "N/A" on line 1.
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)

1b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► and enter 1% of Part I, line 27b

1c 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

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments

a 2017 estimated tax payments and 2016 overpayment credited to 2017

b Exempt foreign organizations—tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax Check here if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be Credited to 2018 estimated tax ► 24,845 Refunded ►

1	15,288
2	
3	15,288
4	
5	15,288
6a	40,133
6b	
6c	
6d	
7	40,133
8	
9	
10	24,845
11	

Part VII-A Statements Regarding Activities

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? Yes No

1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.

1c Did the foundation file Form 1120-POL for this year?

d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year
(1) On the foundation. ► \$ N/A (2) On foundation managers ► \$ N/A

e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► \$ N/A

2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities

3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

b If "Yes," has it filed a tax return on Form 990-T for this year?

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by *General Instruction T*

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?

7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV

8a Enter the states to which the foundation reports or with which it is registered. See instructions. ► AL, CA

b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G*? If "No," attach explanation

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 2017 or the tax year beginning in 2017? See the instructions for Part XIV. If "Yes," complete Part XIV

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

1a	X
1b	X
1c	X
2	X
3	X
4a	X
4b	X
5	X
6	X
7	X
8b	X
9	X
10	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	<input type="checkbox"/>	Yes	No
11		<input checked="" type="checkbox"/>	X	
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement See instructions	<input type="checkbox"/>		
12		<input checked="" type="checkbox"/>	X	
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	<input type="checkbox"/>		
13	N/A	<input checked="" type="checkbox"/>	X	
14	The books are in care of ► The Auen Foundation Located at ► 75-200 Classic Club Blvd, 2nd Floor, Palm Desert, CA USA	Telephone no ► (760) 341-5293 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	<input type="checkbox"/>		
16	At any time during calendar year 2017, 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 ►	<input type="checkbox"/>	Yes	No
16		<input checked="" type="checkbox"/>	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.				
1a	During the year, did the foundation (either directly or indirectly)	<input type="checkbox"/>	Yes	No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here ► <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 2017? <input type="checkbox"/>	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))	<input type="checkbox"/>		
a	At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? <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) <input type="checkbox"/>	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 2017 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 2017) <input type="checkbox"/>	3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/>	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 2017? <input type="checkbox"/>	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:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 ► <input type="checkbox"/>			
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 <input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes," file Form 8870			6b X
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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, and 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	198,221	22,614	NONE
CATHARINE REED PO BOX 13390, PALM DESERT, CA 92255-3390	Asst Dir.-Programs 30+ Hours	138,745	18,768	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

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		
3	All other program-related investments. See instructions.	
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	22,959,160
b	Average of monthly cash balances	1b	499,835
c	Fair market value of all other assets (see instructions)	1c	9,316,978
d	Total (add lines 1a, b, and c)	1d	32,775,973
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	32,775,973
4	Cash deemed held for charitable activities Enter 1½ % of line 3 (for greater amount, see instructions)	4	491,640
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	32,284,333
6	Minimum investment return. Enter 5% of line 5	6	1,614,217

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	1,614,217
2a	Tax on investment income for 2017 from Part VI, line 5	2a	15,288
b	Income tax for 2017 (This does not include the tax from Part VI)	2b	11,373
c	Add lines 2a and 2b	2c	26,661
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,587,556
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,587,556
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	1,587,556

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	1,636,860
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	
3	Amounts set aside for specific charitable projects that satisfy the	3a	
a	Suitability test (prior IRS approval required)	3b	
b	Cash distribution test (attach the required schedule)	4	1,636,860
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	5	15,288
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	6	1,621,572
6	Adjusted qualifying distributions. Subtract line 5 from line 4		

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 2016	(c) 2016	(d) 2017
1 Distributable amount for 2017 from Part XI, line 7				1,587,556
2 Undistributed income, if any, as of the end of 2017			1,543,731	
a Enter amount for 2016 only				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2017				
a From 2012				
b From 2013				
c From 2014				
d From 2015				
e From 2016				
f Total of lines 3a through e				
4 Qualifying distributions for 2017 from Part XII, line 4 ► \$ 1,636,860			1,543,731	
a Applied to 2016, 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 2017 distributable amount				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2017 (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 2016. Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2017. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2018				1,494,427
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 2012 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2013				
b Excess from 2014				
c Excess from 2015				
d Excess from 2016				
e Excess from 2017				

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

Recipient	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
Name and address (home or business)				
a Paid during the year SEE SCHEDULE (13)				1,072,200
Total				► 3a 1,072,200
b Approved for future payment 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		833	
4	Dividends and interest from securities			14		1,349,922	
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		-167,400	
9	Net income or (loss) from special events						
10	Gross profit or (loss) from sales of inventory						
11	Other revenue a Other interest			14		5,851	
b	Income from LLC, Debt-financed property						
c	Income from LLC, Not debt-financed property			16		226,530	
d	Misc			01		52	
e							
12	Subtotal. Add columns (b), (d), and (e)	68,116		68,116		1,415,788	
13	Total. Add line 12, columns (b), (d), and (e)					13	1,483,904

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

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

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (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
- (2) Other assets

b Other transactions

- (1) Sales of assets to a noncharitable exempt organization
- (2) Purchases of assets from a noncharitable exempt organization
- (3) Rental of facilities, equipment, or other assets
- (4) Reimbursement arrangements
- (5) Loans or loan guarantees
- (6) Performance of services or membership or fundraising solicitations

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

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.

(a) Line no.	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
1b(4)	427,280	SEE SCHEDULE (14)	

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (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 _____ Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge, 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 Yes No

Signature of officer or trustee		Date	Title			
Paid Preparer Use Only	Print/Type preparer's name		Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	CHRISTOPHER KEARLEY		<i>Christopher P. Kearley C.P.A.</i>	10/26/18	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, 2017
Schedule (1), Part 1, Line 11

<u>DESCRIPTION</u>		<u>NET</u>
	<u>PER BOOKS</u>	<u>INVESTMENT</u>
OTHER INCOME:		<u>INCOME</u>
Interest - Notes	5,851	5,851
Income from LLCs	294,646	226,530
Miscellaneous	<u>52</u>	<u>52</u>
	<u>300,549</u>	<u>232,433</u>

The Auen Foundation
P.O. Box 13390
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
Schedule (2), Part 1, Line 16a

LEGAL FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Mitchell, Silberberg, & Knupp, LLC 11377 West Olympic Blvd. Los Angeles, CA 90064 Service: Legal	2,592		2,592
Totals	2,592	-	2,592

The Auen Foundation
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
Schedule (3), Part 1, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Ernst & Young LLP 725 South Figueroa St., Los Angeles, CA 90017 Service: Tax Return Review	14,730		14,730
Armanino LLP 11776 Wilshire Blvd, 9th Flr. Los Angeles, CA 90025 Service: Financial Reports	15,000		15,000
	29,730		29,730

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EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
Schedule (4), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	23,000	-	-
Federal UBI Tax	14,500	-	-
Alabama UBI Tax	(5,711)	-	-
Property Taxes	<u>45,868</u>	<u>45,868</u>	-
	<u>77,657</u>	<u>45,868</u>	-

The Auen Foundation
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
Schedule (5), Part 1, Line 19

<u>DESCRIPTION</u>	DEPRECIATION EXPENSE
Per Books	5,808
Less, depreciation not for investment purposes	<u>5,808</u>
Column (b) - Net investment income	<u>-</u>

The Auen Foundation
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EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
Schedule (6), Part I, Line 23

<u>DESCRIPTION</u>	PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSE
OTHER EXPENSES:			
Auto/Transportation Expenses	19,130	-	19,130
Employee Auto Reimbursement	(10,660)	-	(10,660)
Bank/Wire Charges	4	4	-
Computer Maintenance	563	-	563
Insurance	10,842	1,389	9,453
Miscellaneous Charitable Expenses	85	-	85
Overhead Reimbursement	2,867	287	2,580
Office Supplies	509	-	509
Outside Services	15,403	5,403	10,000
Subscription	632	209	423
Telephone	1,078	-	1,078
TOTALS	40,453	7,292	33,161

The Auen Foundation
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2017
Schedule (7), Part II, Line 7

OTHER NOTES AND LOANS RECEIVABLES

DESCRIPTION	Balance Due	Fair Market Value
Rusty Hamilton	78,065	78,065
Relationship to borrower: None		
TOTAL	78,065	78,065

The Auen Foundation
P. O. Box 13390
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2017
Schedule (8), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>COMMON STOCKS</u>	
AMTRUST FINANCIAL SVC INC	96,000
BERRY PETE CORP	3,166
EXXON MOBIL CORP	768,491
PHILLIP MORRIS INTL INC.	129,323
WMI HOLDINGS CORP	28,106
ZTO EXPRESS CAYMAN INC	14,625
SUB-TOTAL	<u>1,039,711</u>
<u>PREFERRED STOCKS</u>	
APOLLO GLBL MNGMT LLC	150,000
ASHFORD HOSPITALITY	150,000
CAPITAL ONE FINCL	150,000
CUSTOMERS BANCORP	50,000
ELLSWORTH GROWTH INCOME	92,200
ENTERGY LA LLC	450
LEGACY RES LP FXD/FLT	18,150
NATIONAL STORAGE AFFILIATE	50,000
PS BUSINESS PARK INC	50,000
QWEST CORPORATION	64,225
STIFEL FINANCIAL	200,000
SOUTHERN COMP, THE	125,000
TEEKAY LNG PARTNERS LP	75,000
TELE DATA	78,500
TWO HARBORS INVESTMENTS	100,000
SUB-TOTAL	<u>1,353,525</u>
TOTAL	<u>2,393,236</u>

The Auen Foundation
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EIN 95-4325051
 Form 990-PF, Dec. 31, 2017
 Schedule (9), Part II, Line 10c

DESCRIPTION	COST
<u>MUTUAL FUNDS</u>	
ADVENT CLAYMORE ENHANCED G&I / ADVENT TDR	79,016
INVESCO VAN KAMP DYN CRDT OPP	50,000
LORD ABBETT FLT RT	224,979
MS EMERGING MKTS DOMESTIC DEBT	79,346
NUVEEN S&P 500 BUY WRITE INC	239,694
CALAMOS STRATEGIC TOTAL	85,292
CLOUGH GLOBAL OPP FUND	94,587
DELAWARE VALUE C	296,151
FIDELITY ADV MID CAP VALUE C	271,288
FIRST EAGLE GLOBAL A	745,222
JP MORGAN LARGE CAP GRW C	425,626
VOYA LARGE CAP GROWTH C	404,541
GS HIGH YIELD INSTL MUTUAL FUND	89,641
ISHARES HEDGED MSCI EAFE ETF	145,761
ISHARES MSCI EAFE INDEX FND ETF	150,903
GS CORE FIXED INCOME FUND INSTITUTIONAL	550,077
SPDR S&P 500 ETF TRUST	134,770
SUB-TOTAL	4,066,894

DESCRIPTION	COST
<u>CORPORATE BONDS</u>	
INTL LEASE FIN	102,123
NAVIENT CORP	99,754
FRONTIER COMMN	155,065
GENERAL MOTORS	205,056
GCB BERRY PETE CO	80,840
JP MORGAN CHASE	202,506
CAPITAL ONE NATI	203,406
CITIZENS FINL INC	315,816
SUNTRUST CAPITAL	182,006
JEFFERIES GROUP	101,506
AT&T INC	155,885
AEGON NV	227,757
CITIGROUP INC	202,500
JP MORGAN CHASE	206,500
MFTLIFE INC	101,739
AXA SA	44,501
BANK OF AMERICA	202,524
WELLS FARGO CO	207,006
CITIGROUP INC	311,256
GS CAPITAL II	251,227
BAC CAP TR XIV	456,461
E TRADE FINANCIAL	263,756
JP MORGAN CHASE	204,254
MELLON CAPITAL IV	342,009
BANK OF AMERICA	204,506
GOLDMAN SACHS GROUP	209,687
GENERAL MOTORS	469,512

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EIN. 95-4325051
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Schedule (9), Part II, Line 10c

DESCRIPTION	COST
<u>CORPORATE BONDS (continued)</u>	
MORGAN STANLEY-H	207,306
E TRADE FINANCIAL	308,287
CITIZENS FINL INC	256,075
DISCOVER FINANCIAL	208,006
ILFC E-CAP REG S	578,512
NEXTERA EGY CAP	241,256
STATE STREET CORP	94,006
SUB-TOTAL	<u>7,602,606</u>
<u>STRUCTURED PRODUCTS</u>	
HSBC DDTARIGP SPX	247,300
CS CI WO INDICES	200,000
CS CI WO INDICES	1,000,000
CS CI WO INDICES	500,000
CS CI WO INDICES	1,350,000
HSBC CI WO INDEX	250,000
BCS CI WO INDICES	100,000
JPM CI WO INDICES	500,000
BCS CI WO INDICES	150,000
MS CI WO INDICES	250,000
GS CI WO INDICES	150,000
BCS CI WO INDICES	500,000
JPM CI WO INDICES	200,000
CS CI WO INDICES	500,000
BCS CI WO INDICES	250,000
HSBC CI WO INDICES/BCS CONTINGENT	200,000
CS CI WO INDICES	500,000
MS WOAUTO INDEX	200,000
CS CI WO INDICES	500,000
MS TRIGGER JUMP SPX	98,806
MS CONTINGENT INCOME	<u>186,256</u>
	<u>7,832,362</u>
TOTAL	<u>19,501,862</u>

The Auen Foundation
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2017
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	90,747	50,310	50,310

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

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EIN: 95-4325051
Form 990-PF, Dec. 31, 2017
Schedule (11), Part II, Line 15

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
OTHER ASSETS:		
Investment in Berger Tuscaloosa, LLC	1,181,754	2,337,369
Investment in Simpsonville, LLC	4,371,768	4,490,637
Accrued Bond Interest	8,522	8,522
Deposit	79,000	79,000
TOTAL AMOUNT	5,641,044	6,915,528

The Auen Foundation
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EIN: 95-4325051
Form 990PF, Dec. 31, 2017
Schedule (12), Part IV

Sales Price	Adjusted Cost	Gain or (loss)
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ACQUIRED BY PURCHASE

GOVERNMENT & AGENCY - BONDS

US TREASURY NOTE	192,346.50	199,533.75	(7,187.25)
SUB-TOTAL GOVT. & AGENCY	192,346.50	199,533.75	(7,187.25)

CORPORATE BONDS

ADVENT CLAYMORE ENHANCED	44,072.66	85,910.34	(41,837.68)
ALTICE FIN REGS	314,814.00	336,006.00	(21,192.00)
BANK OF AMERICA	218,994.00	211,482.16	7,511.84
BCS CI WO INDX	500,000.00	500,000.00	-
CITIGROUP	209,254.94	187,506.00	21,748.94
CITIGROUP INC	153,143.50	152,329.50	814.00
CITIZEN COMM CO	255,214.13	308,760.00	(53,545.87)
CS CIAUTO BX	250,000.00	250,000.00	-
CS CONTINGENT	500,000.00	500,000.00	-
CS WOAUTO INDEX	130,000.00	130,000.00	-
DISCOVER BANK	96,419.00	102,402.00	(5,983.00)
E TRADE FINANCIAL	264,994.00	255,631.00	9,363.00
EXCO RESOURCES	136,707.00	315,756.00	(179,049.00)
FIRST HORIZONS	201,646.00	202,006.00	(360.00)
FREEPORT MCMORAN	100,000.00	100,181.00	(181.00)
FRONTIER COMM	239,994.00	249,756.00	(9,762.00)
FRONTIER COMM	140,290.13	154,500.00	(14,209.87)
FRONTIER COMM	110,967.00	154,500.00	(43,533.00)
GENESIS EGY LP	301,494.00	309,006.00	(7,512.00)
GS CI WO INDICES	150,000.00	150,000.00	-
GS CI WO INDICES	780,000.00	780,000.00	-
GS CI WO INDICES	300,000.00	300,000.00	-
GS CI WO INDICES	400,000.00	400,000.00	-
GS CI WO INDICES	250,000.00	250,000.00	-
GS CI WO INDICES	200,000.00	200,000.00	-
GS CIAUTO ON C	250,000.00	250,000.00	-
GS CORE FIXED INCOME FUND INSTITUTIONAL	315,000.00	315,000.00	-

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 Form 990PF, Dec. 31, 2017
 Schedule (12), Part IV

Sales Price	Adjusted Cost	Gain or (loss)
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CORPORATE BONDS (continued)

GS INTL REAL ESTATE SEC	39,349.01	42,373.00	(3,023.99)
GS REAL ESTATE SEC FUND	35,266.88	29,253.00	6,013.88
GS TACTICAL TILT IMPL	58,237.29	60,033.74	(1,796.45)
HSBC BANK PLC	164,169.00	124,006.00	40,163.00
HSBC BANK PLC	165,163.50	130,006.00	35,157.50
HSBC CI WO INDEX	500,000.00	500,000.00	-
ISHARES RUSSELL 1000 GROWTH ETF	171,567.69	150,325.57	21,242.12
ISHARES RUSSELL 1000 VALUE DISCRETION	61,963.30	56,061.40	5,901.90
ISHARES RUSSELL 2000 ETF AVG	85,700.78	81,968.64	3,732.14
JP MORGAN CHASE	219,194.00	206,506.00	12,688.00
JPM CI WO INDICES	500,000.00	500,000.00	-
JPM CI WO INDICES	243,000.00	243,000.00	-
JPM CI WO INDICES	250,000.00	250,000.00	-
JPM CI WO INDICES	500,000.00	500,000.00	-
JPM CI WO INDICES	200,000.00	200,000.00	-
JPM CI WO INDICES	1,100,000.00	1,100,000.00	-
JPM WO AUTO INDEX	200,000.00	200,000.00	-
JPM WO AUTO INDEX	200,000.00	200,000.00	-
JPM WO JUMP INDEX	599,687.50	505,000.00	94,687.50
LLOYDS TSB BANK	200,000.00	207,006.00	(7,006.00)
MORGAN STANLFY	202,131.37	201,897.00	234.37
MORGAN STANLEY	101,995.00	100,948.50	1,046.50
MORGAN STANLEY	102,118.50	100,948.50	1,170.00
MS CIAUTO ON JPM	400,000.00	400,000.00	-
RBC CI WO INDICES	950,000.00	950,000.00	-
RBC CIAUTO BX	250,000.00	250,000.00	-
SYNCHRONY FINANCIAL	200,000.00	202,706.00	(2,706.00)
TRONIX FIN LLC	238,801.50	255,631.00	(16,829.50)
VANGUARD FRSE EMERGING MKTS	48,540.31	41,851.62	6,688.69
 SUB-TOTAL CORPORATE BONDS	 14,799,889.99	 14,940,253.97	 (140,363.98)

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EIN: 95-4325051
 Form 990PF, Dec. 31, 2017
 Schedule (12), Part IV

Sales Price	Adjusted Cost	Gain or (loss)
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COMMON STOCKS

AQUANTA CORP	45,786.48	45,000.00	786.48
DELAWARE LCG		(7,966.13)	7,966.13
DELAWARE NON US EQ		(4,488.76)	4,488.76
FORESCOUT TECHNOLOGIES INC	52,130.80	44,000.00	8,130.80
INVESCO AIM		(840.85)	840.85
MONGODB INC CL A	14,787.15	12,000.00	2,787.15
QUDIAN INC ADR	98,571.21	72,000.00	26,571.21
RISE EDUCATION CAYMAN LTD	8,105.30	7,250.00	855.30
ROTHSCHILD	3,962.54	3,330.58	631.96
ROTHSCHILD	4,094.11	3,704.28	389.83
ROTHSCHILD	3,463.62	3,042.23	421.39
ROTHSCHILD	4,418.38	4,587.29	(168.91)
ROTHSCHILD	2,872.24	2,451.62	420.62
ROTHSCHILD	110,407.90	96,165.33	14,242.57
ROTHSCHILD	16.93	16.93	-
ROTHSCHILD	0.91		0.91
SAILPOINT TECHNOLOGY HOLDINGS	72,042.32	60,000.00	12,042.32
SNAP INC	18,320.18	12,750.00	5,570.18
SOUTHERNSUN		(345.72)	345.72
TELEPHONICA SA	106.72	91.20	15.52
 SUB-TOTAL COMMON STOCKS	 439,086.79	 352,748.00	 86,338.79

PREFERRED STOCKS

ALABAMA POWER CO	128,542.03	125,000.00	3,542.03
ANALLY CAP MGMT	102,116.13	100,000.00	2,116.13
ASPEN INSURANCE HOLDINGS	92,951.97	100,000.00	(7,048.03)
AT&T INC	153,419.04	150,000.00	3,419.04
AXIS CAP HOLDINGS	182,734.01	200,000.00	(17,265.99)
CARLYLE GROUP LP, THE	179,060.50	175,000.00	4,060.50
COLONY CAPITAL	100,952.76	100,000.00	952.76
CUSTOMERS BANCORP	26,091.89	25,000.00	1,091.89
DOMINION RESOURCES	97,940.98	100,000.00	(2,059.02)
DOMINION RESOURCES	99,723.75	100,000.00	(276.25)
ELLSWORTH GROWTH INCOME	7,887.41	7,800.00	87.41
ENTERGY ARKANSAS	111,902.72	125,000.00	(13,097.28)
GEORGIA POWER CO	125,679.02	125,000.00	679.02
HERCULES CAPITAL	14,550.00	14,693.99	(143.99)

The Auen Foundation
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EIN: 95-4325051
Form 990PF, Dec. 31, 2017
Schedule (12), Part IV

Sales Price	Adjusted Cost	Gain or (loss)
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PREFERRED STOCKS (continued)

HERCULES CAPITAL	35,512.93	35,800.81	(287.88)
KKR & CO LLP	54,274.00	50,000.00	4,274.00
LEGACY RES LP FXD/FLT	10,899.74	72,500.00	(61,600.26)
LEGG MASON INC	118,444.43	125,000.00	(6,555.57)
LEGG MASON INC	123,178.52	125,000.00	(1,821.48)
MORGAN STANLEY	132,691.10	125,000.00	7,691.10
NATIONAL RETAIL PRP INC	88,582.06	100,000.00	(11,417.94)
NATIONAL STORAGE AFFILIATE	51,538.00	50,000.00	1,538.00
NEXTERA ENERGY CA	94,046.36	100,000.00	(5,953.64)
PS BUSINESS PARKS	181,229.24	200,000.00	(18,770.76)
QWEST CORPORATION	100,440.96	100,000.00	440.96
QWEST CORPORATION	35,913.81	35,775.00	138.81
QWEST CORPORATION	101,431.63	100,000.00	1,431.63
RESOURCE CAPITAL CORP	102,158.70	100,000.00	2,158.70
TCF FINANCIAL CORP	102,150.01	100,000.00	2,150.01
THE SOUTHERN COMP	70,625.15	75,000.00	(4,374.85)
VALIDUS HOLDINGS LTD	102,157.77	100,000.00	2,157.77
VALIDUS HOLDINGS LTD	101,364.99	100,000.00	1,364.99
WELLS FARGO & COMPANY	105,190.90	100,000.00	5,190.90
 SUB-TOTAL PREFERRED STOCKS	 3,135,382.51	 3,241,569.80	 (106,187.29)
 TOTAL	 18,566,705.79	 18,734,105.52	 (167,399.73)

The Auen Foundation

EIN: 95-4325051, Form 990-PF, December 2017
 Schedule (13), Part XV Line 3A, Grants Paid During Year and Part 1 Line 25
 12 September 2018

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
January 2017					
Jostyn Senior Center <i>To honor Author Newman for all the work he has done for Jostyn Senior Center</i>	A17-02	1/18/2017 CK#3542	\$1,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
The Unforgettables Foundation <i>Children and Families in Crisis Conference</i>	A17-01	1/24/2017 CK#3543	\$7,500.00	330885478	345 W Pearl Ave., Suite 230 Redlands, CA 92374
<i>Total January 2017 (2 items)</i>			<u>\$8,500.00</u>		
February 2017					
Cancer Partners <i>aging services</i>	A17-08	2/23/2017 CK#3547	\$5,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260
Operation Safehouse Inc <i>Senior Volunteer and Mentor Program</i>	A17-06a	2/23/2017 CK#3546	\$15,000.00	33-0326090	9685 Hayes Street Riverside, CA 92503
RAP - Regional Access Project Foundation <i>Senior Inspiration Awards</i>	A17-03	2/23/2017 CK#3548	\$3,000.00	330347453	73-710 Fred Waring Drive, Suite 102 Palm Desert, CA 92260
Variety Childrens Charities of the Desert Tent 66 <i>Intergenerational volunteer program</i>	A17-06b	2/16/2017 CK#3545	\$10,000.00	330278817	42600 Cook Street Suite 131 Palm Desert, CA 92211
Virginia Waring International Piano Competition <i>Program support</i>	A17-05	2/16/2017 CK#3544	\$10,000.00	330025613	73-710 Fred Waring Dr., #201 Palm Desert, CA 92260
<i>Total February 2017 (5 items)</i>			<u>\$43,000.00</u>		
March 2017					
A.C.T. for Multiple Sclerosis <i>general program support for MS services</i>	A17-07	3/9/2017 CK#3555	\$15,000.00	330880635	73-710 Fred Waring Drive Ste. 118 Palm Desert, CA 92260

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
California CareForce <i>2017 clinic costs for dental and vision care to the aging population</i>	A17-14	3/28/2017 CK#3554	\$15,000.00	452408171	950 Reserve Drive, Suite 120 Roseville, CA 95678
Coachella Valley BookPals - Palm Springs Women in Film & Television <i>funding for program support \$6,000 for BookPALS Readers \$2,500 for Scholarships</i>	A17-09	3/8/2017 CK#3551	\$8,500.00	421616628	PO Box 1502 Cathedral City, CA 92235
Coachella Valley Volunteers In Medicine <i>help to provide healthcare services to older adult patients</i>	A17-11	3/9/2017 CK#3552	\$10,000.00	263312826	82-915 Avenue 48 Indio, CA 92201
Coronado CARES <i>Because of the dedication of Christina Raas and for bringing this charity to our attention we wish to donate</i>	A17-10	3/2/2017 CK#3550	\$5,000.00	453264972	PO Box 181033 Coronado, CA 92178
Israel Guide Dog Center for the Blind <i>Program support</i>	A17-04	3/19/2017 CK#Credit Card	\$250.00	23-2519029	968 Easton Road, Suite H Warrington, PA 18976
Palm Springs Opera Guild <i>to be used to pay the Maestro and the tickets for Mizel Senior Center</i>	A17-13	3/14/2017 CK#3553	\$3,500.00	956220739	2150 E. Tahquitz Way Palm Springs, CA 92262
<i>Total March 2017 (7 items)</i>			<hr/> \$57,250.00		
April 2017					
AIDS Assistance Program <i>food voucher program</i>	A17-21	4/26/2017 CK#3561	\$25,000.00	330566442	1276 N Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263
American Heart Association - Coachella Valley Division <i>funding for CPR training and efforts</i>	A17-12	4/26/2017 CK#3559	\$10,000.00	135613797	75080 Frank Sinatra Dr. Palm Desert, CA 92211
Coachella Valley Symphony <i>marketing for concerts</i>	A17-15	4/25/2017 CK#3558	\$10,000.00	330481383	42600 Cook St. Suite 137 Palm Desert, CA 92211
Coronado Promenade Concerts <i>community concert</i>	A17-16	4/11/2017 CK#3557	\$4,000.00	271045525	PO Box 182072 Coronado, CA 92178

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Dance Away Dementia <i>Program for Dementia</i>	A17-20	4/11/2017 CK#3556	\$1,000.00	812174937	
HARC - Health Assessment Resource Center <i>health report for seniors in Coachella Valley</i>	A17-18	4/26/2017 CK#3560	\$10,000.00	205719074	75-080 Frank Sinatra Drive Suite A221 Palm Desert, CA 92211-5202
Total April 2017 (6 items)			\$60,000.00		
May 2017					
International Classical Concerts of the Desert <i>support for senior outreach programs</i>	A17-26	5/24/2017 CK#3565	\$3,500.00	061775531	PO Box 1227 La Quinta, CA 92253
Old Town Artisan Studios <i>Coachella Valley Adult Classes</i>	A17-23	5/9/2017 CK#3563	\$25,000.00	264437263	78134 Calle Tampico, Suite 160 La Quinta, CA 92253
Salk Institute for Biological Studies <i>research on aging</i>	A17-15b	5/9/2017 CK#3562	\$15,000.00	952160097	10010 N Torrey Pines Road La Jolla, CA 92037-1002
Total May 2017 (3 items)			\$43,500.00		
June 2017					
American Cancer Society, Inc. (Desert Palms Area) <i>In Honor of Howard Marguleas</i>	A17-19	6/27/2017 CK#3570	\$5,000.00	131788491	73-161 Fred Waring Drive Suite 100 Palm Desert, CA 92260
Barbara Sinatra Children's Center at Eisenhower Grandparent Program	A17-17	6/27/2017 CK#3569	\$40,000.00	330136550	39000 Bob Hope Drive Rancho Mirage, CA 92270
Coachella Valley Mounted Rangers/Search & Rescue capital improvement	A17-28	6/8/2017 CK#3568	\$17,000.00	800536952	P O Box 809 Indio, CA 92202
Parade Charities, Inc. <i>support for senior seating area at Golf Cart Parade</i>	A17-27	6/6/2017 CK#3566	\$15,000.00	330206420	Palm Desert Area Chamber of Commerce Palm Desert Golf Cart Parade 72-559 HWY 111 Palm Desert, CA 92260
Rancho Mirage Writer's Festival <i>Operating expenses</i>	A17-22	6/6/2017 CK#3567	\$10,000.00	371754922	71-100 HWY 111 Rancho Mirage, CA 92270

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Total June 2017 (5 items)			\$87,000.00		
July 2017					
Coachella Valley Mounted Rangers/Search & Rescue <i>to cover costs of board development and planning</i>	A17-32	7/26/2017 CK#3574	\$1,450.00	8005336952	P. O. Box 809 Indio, CA 92202
Dogs For Our Brave <i>support to provide trained service dogs to our military heroes who have suffered catastrophic injuries and disabilities</i>	A17-25	7/19/2017 CK#3571	\$15,000.00	464656908	60 Hillcrest Dr. Rancho Mirage, CA 92270
Guide Dogs of the Desert <i>sponsorship two dogs along with operating expenses for class training</i>	A17-24	7/19/2017 CK#3572	\$30,000.00	237296531	PO Box 1692 Palm Springs, CA 92263
Well in the Desert <i>summer and christmas program support for class training</i>	A17-30	7/25/2017 CK#3573	\$35,000.00	330694580	PO Box 5312 Palm Springs, CA 92263
Total July 2017 (4 items)			\$81,450.00		
August 2017					
Assistance League of Palm Springs Desert Area <i>support for provide food, clothing and other services for seniors</i>	A17-31	8/29/2017 CK#3578	\$6,500.00	237292226	P.O. Box 3056 Rancho Mirage, CA 92270
Christopher's Clubhouse <i>support for operating expenses</i>	A17-42	8/29/2017 CK#3576	\$5,000.00	562674960	PO Box 5444 La Quinta, CA 92248
Friends of Vista Hill Foundation <i>to provide support for your senior programs</i>	A17-33	8/29/2017 CK#3577	\$25,000.00	330174451	8910 Claremont Mesa Ave. San Diego, CA 92123-1104
Parkinson's Resource Organization <i>to provide education for better quality of life for those living with Parkinsons</i>	A17-40	8/29/2017 CK#3575	\$5,000.00	954304276	74-478 HWY 111, Suite #102 Palm Desert, CA 92260
Total August 2017 (4 items)			\$41,500.00		
September 2017					
Cancer Partners <i>support for your Senior Cancer Survivorship Program</i>	A17-36	9/13/2017 CK#3583	\$20,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Coachella Valley Rescue Mission <i>Matching Grant - Give where you live challenge</i>	A17-29	9/12/2017 CK#3585	\$20,000.00	952684844	47-470 Van Buren PO Box 10660 Indio, CA 92202-2564
Desert Cancer Foundation <i>Support for Paint El Paseo Pink event - \$15,000 to support the Suzanne Jackson Breast Cancer Fund and \$15,000 in support for your Patient Assistance Program</i>	A17-44	9/7/2017 CK#3579	\$30,000.00	330648823	74091 Larrea Street Palm Desert, CA 92260
Jewish Family Service of the Desert <i>emergency assistance for seniors</i>	A17-41	9/7/2017 CK#3581	\$15,000.00	330613083	490 S Farrell Drive-Suite C208 Palm Springs, CA 92262
Rancho Mirage Public Library Foundation <i>to provide funding for Tech Tuesdays for Seniors</i>	A17-34	9/7/2017 CK#3580	\$10,500.00	273559025	71-100 HWY 111 Rancho Mirage, CA 92270
The Desert Symphony, Inc. <i>Intergenerational program support</i>	A17-35	9/13/2017 CK#3584	\$15,000.00	953871126	72925 Fred Warming Dr., Suite 101 Palm Desert, CA 92260
University of Idaho Foundation, Inc. <i>Matching Grant - to provide support to the Nancy M Cummings Research, Extension & Education Center expand and honor their mission of extension and education</i>	A17-43	9/25/2017 CK#3586	\$250,000.00	237098404	College of Agricultural and Life Sciences Office of the Dean 606 Rayburn 875 Perimeter Drive Moscow, ID 83844-2331
USC - Davis School of Gerontology <i>support for Palliative Care Project</i>	A17-39	9/12/2017 CK#3582	\$50,000.00		3715 McClintonck Ave., Room 103 Los Angeles, CA 90089
<i>Total September 2017 (8 items)</i>			<u>\$410,500.00</u>		
October 2017					
Alzheimers Coachella Valley <i>program support</i>	A17-47	10/20/2017 CK#3589	\$6,000.00	821949979	116 Las Lomas Palm Desert, CA 92260-2136
Coachella Valley BookPals - Palm Springs Women in Film & Television <i>general funding in honor of Nelda Linsk</i>	A17-52	10/17/2017 CK#3590	\$2,000.00	421616628	PO Box 1502 Cathedral City, CA 92235
Elderhelp <i>seniors A GO GO transportation program</i>	A17-49	10/23/2017 CK#3592	\$15,000.00		6150 Mission Gorge Rd. #140 San Diego, CA 92120

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Feeding South Florida <i>support your senior food program</i>	A17-48	10/3/2017 CK#3588	\$5,000.00	592097520	2501 SW 32 Terrace Pembroke Park, FL 33023
Palm Springs Opera Guild <i>for two mini bus rentals and boardwalk rental for seniors</i>	A17-37	10/11/2017 CK#3591	\$5,000.00	956220739	2150 E Tahquitz Way Palm Springs, CA 92262
Sharp HospiceCare Fund <i>support for Grossmont Hospital Foundation, and Sharp HospiceCare to benefit un-funded patients throughout the county</i>	A17-38	10/3/2017 CK#3587	\$15,000.00	330124488	Grossmont Hospital Foundation P O. Box 158 La Mesa, CA 91944
The Palm Springs International Film Society <i>senior and active retirement programs</i>	A17-50	10/30/2017 CK#3594	\$30,000.00	951641910	1700 E Tahquitz Canyon Way, #3 Palm Springs, CA 92262
The Ranch Recovery Centers, Inc. <i>scholarships for seniors for treatment</i>	A17-46	10/23/2017 CK#3593	\$30,000.00	237365064	7885 Annandale Avenue Desert Hot Springs, CA 92240
<u>Total October 2017 (8 items)</u>				<u>\$108,000.00</u>	
<u>November 2017</u>					
Coachella Valley Mounted Rangers/Search & Rescue <i>your new veteran program</i>	A17-53	11/27/2017 CK#3597	\$10,000.00	800536952	P. O. Box 809 Indio, CA 92202
Pegasus Riding Academy for the Handicapped <i>event underwriting, Senior meals and Valley Parking</i>	A17-55	11/13/2017 CK#3596	\$4,000.00	953774003	35-450-B Pegasus Court Palm Desert, CA 92211
Read With Me Volunteer Programs <i>buses and transportation</i>	A17-54	11/27/2017 CK#3598	\$30,000.00	471406641	PO Box 1016 Rancho Mirage, CA 92270
<u>Total November 2017 (3 items)</u>				<u>\$44,000.00</u>	
<u>December 2017</u>					
AIDS Assistance Program <i>Food Voucher Program</i>	A17-56	12/3/2017 CK#3601	\$50,000.00	330566442	1276 N. Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263
Animal Samaritans <i>Senior Wellness Fund</i>	A17-58	12/19/2017 CK#3604	\$10,000.00	953171867	72-307 Ramon Road Thousand Palms, CA 92276

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Christopher's Clubhouse <i>paddle was raised at the event</i>	A17-61	12/5/2017 CK#credit card	\$500.00	562674960	PO Box 5444 La Quinta, CA 92248
Coachella Valley Symphony <i>funding for public relations and marketing</i>	A17-60	12/19/2017 CK#3605	\$10,000.00	330481383	42600 Cook St Suite 137 Palm Desert, CA 92211
My Jump Inc. <i>fulfilling senior bucket lists</i>	A17-57	12/18/2017 CK#3603	\$7,000.00	460820167	74916 Highway 111 Indian Wells, CA 92210
Spiritual Outreach Ministries <i>for medication assistance for seniors</i>	A17-59	12/4/2017 CK#3599	\$10,000.00	770028391	75-153 Merle Drive, Suite B Palm Desert, CA 92211
<i>Total December 2017 (6 items)</i>			<u>\$87,500.00</u>		
Grand Totals (61 items)			<u><u>\$1,072,200.00</u></u>		

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2017
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)	\$ 427,280	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.