

Form **990-PF**

Return of Private Foundation

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

OMB No. 1545-0052

2017

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.
▶ 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 AUEEN FOUNDATION | | | A Employer identification number 95-4325051 | | |
| Number and street (or P.O. box number if mail is not delivered to street address) P.O. BOX 13390 | | | Room/suite | | |
| City or town, state or province, country, and ZIP or foreign postal code PALM DESERT CA 92255-3390 | | | B Telephone number (see instructions) (760) 341-5293 | | |
| Foreign country name Foreign province/state/county Foreign postal code | | | C If exemption application is pending, check here <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 | | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), 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 | | | 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 | | | | |
| 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) | 300,549 | 232,433 | | |
| | 12 Total. Add lines 1 through 11 | 1,483,904 | 1,583,188 | | |
| | 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.

Form **990-PF** (2017)

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| Part II Balance Sheets | | Beginning of year | End of year | |
|-----------------------------|---|-------------------|----------------|----------------|
| | | | (a) Book Value | (b) Book Value |
| Assets | 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 |
| Liabilities | 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 and complete lines 24 through 26, and lines 30 and 31. <input checked="" type="checkbox"/> | | | |
| | 24 Unrestricted | 34,193,214 | 33,948,301 | |
| | 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) | 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

| (i) FM.V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|-------------------------|--------------------------------------|---|---|
| a | | | -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.

| (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 5.0, 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 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 | 1,636,860 |

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 | 1 | 15,288 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations, enter 4% of Part I, line 12, col (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-) | 2 | |
| 3 | Add lines 1 and 2 | 3 | 15,288 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-) | 4 | |
| 5 | Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 15,288 |
| 6 | Credits/Payments | | |
| a | 2017 estimated tax payments and 2016 overpayment credited to 2017 | 6a | 40,133 |
| 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 | 40,133 |
| 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 | 24,845 |
| 11 | Enter the amount of line 10 to be Credited to 2018 estimated tax 24,845 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 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. | | 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. \$ 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 | | X |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes | | X |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | X | |
| b If "Yes," has it filed a tax return on Form 990-T for this year? | X | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>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? If "Yes," complete Part II, col (c), and Part XV | X | |
| 8a Enter the states to which the foundation reports or with which it is registered. See instructions. AL, CA | | |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? If "No," attach explanation | X | |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2017 or the tax year beginning in 2017? See the instructions for Part XIV. If "Yes," complete Part XIV. | | X |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | | X |

Part VII-A Statements Regarding Activities (continued)

| | Yes | No |
|---|-----|----|
| 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 | | 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 | | X |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A | 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 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 ► | | 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 2017? | 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 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) N/A | 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) | 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 2017? | 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 **6b** X
- b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? 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 **7b** N/A
- b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

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 | | 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 | | |
| 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 | | |
| 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 | 1,636,860 |
| 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 | 15,288 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 1,621,572 |

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 | | | | |
| a Enter amount for 2016 only | | | 1,543,731 | |
| 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 | | | | |
| a Applied to 2016, but not more than line 2a | | | 1,543,731 | |
| 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 | | | | 93,129 |
| 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 | 531120 | 68,116 | | | |
| 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 | | 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

[illegible]

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

| | Yes | No |
|-------|-----|----|
| 1a(1) | | X |
| 1a(2) | | X |
| 1b(1) | | X |
| 1b(2) | | X |
| 1b(3) | | X |
| 1b(4) | X | |
| 1b(5) | | X |
| 1b(6) | | X |
| 1c | | X |

[illegible]

- 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 |
| | | |
| | | |
| | | |

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

Signature of officer or trustee _____ Date 11/12/18 Title TRUSTEE

May the IRS discuss this return with the preparer shown below?
See instructions ☒ Yes ☐ No

| | | | | | |
|---------------------------------------|---|--------------------------------------|----------|---|-----------|
| Paid Preparer Use Only | Pntt/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

DESCRIPTION

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

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

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

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 |
| | <u>29,730</u> | <u>-</u> | <u>29,730</u> |

The Auen Foundation
P.O. Box 13390
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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 | 45,868 | 45,868 | - |
| | <u>77,657</u> | <u>45,868</u> | <u>-</u> |

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

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

| <u>DESCRIPTION</u> | <u>DEPRECIATION EXPENSE</u> |
|--|---------------------------------|
| Per Books | 5,808 |
| Less, depreciation not for investment purposes | <u>5,808</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, 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
P. O. Box 13390
Palm Desert, California 92255-3390

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 | <u>78,065</u> | <u>78,065</u> |

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

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><u>2,393,236</u></u> |

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

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 |
| <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 |
| METLIFE 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 |

The Auen Foundation
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Palm Desert, California 92255-3390

EIN. 95-4325051
Form 990-PF, Dec 31, 2017
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 CIWO INDICES | 150,000 |
| MS CIWO 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 | 186,256 |
| | <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 |

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

| DESCRIPTION | <u>BOOK VALUE</u> | <u>FAIR MARKET VALUE</u> |
|--------------------------------------|-------------------------|------------------------------|
| 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 | <u>79,000</u> | <u>79,000</u> |
| TOTAL AMOUNT | <u><u>5,641,044</u></u> | <u><u>6,915,528</u></u> |

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) |
|----------------|------------------|-------------------|
|----------------|------------------|-------------------|

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 | - |

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

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

| Sales Price | Adjusted Cost | Gain or (loss) |
|----------------|------------------|-------------------|
|----------------|------------------|-------------------|

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 STANLEY | 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) |

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

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

| Sales Price | Adjusted Cost | Gain or (loss) |
|----------------|------------------|-------------------|
|----------------|------------------|-------------------|

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

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

| Sales Price | Adjusted Cost | Gain or (loss) |
|----------------|------------------|-------------------|
|----------------|------------------|-------------------|

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 AFFILIA IE | 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 | | | | | |
| Joslyn Senior Center <i>To honor Auther Newman for all the work he has done for Joslyn 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 |
| Total January 2017 (2 items) | | | \$8,500.00 | | |
| 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 | 330547453 | 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 |
| Total February 2017 (5 items) | | | \$43,000.00 | | |
| 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 Rass 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 |
| Total March 2017 (7 items) | | | \$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 |
| <i>Total April 2017 (6 items)</i> | | | <u>\$60,000.00</u> | | |
| <u>May 2017</u> | | | | | |
| 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 |
| <i>Total May 2017 (3 items)</i> | | | <u>\$43,500.00</u> | | |
| <u>June 2017</u> | | | | | |
| 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 <i>Grandparent Program</i> | 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 <i>capital improvement</i> | 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) | | | | | |
| July 2017 | | | \$87,000.00 | | |
| 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 | 800536952 | 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</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 Burren 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 Waring 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 McClintock Ave., Room 103 Los Angeles, CA 90089 |
| Total September 2017 (8 items) | | | \$410,500.00 | | |
| 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 |
| Total October 2017 (8 items) | | | \$108,000.00 | | |
| November 2017 | | | | | |
| 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 |
| Total November 2017 (3 items) | | | \$44,000.00 | | |
| December 2017 | | | | | |
| 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 |
| Total December 2017 (6 items) | | | \$87,500.00 | | |
| Grand Totals (61 items) | | | \$1,072,200.00 | | |

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. |