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Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

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

▶ Do not enter social security numbers on this form as it may be made public
▶ Information about Form 990 and its instructions is at *www IRS gov/form990*

OMB No 1545-0047

2017

Open to Public Inspection

A For the 2017 calendar year, or tax year beginning 10-01-2017 , and ending 09-30-2018

B Check if applicable
☐ Address change
☐ Name change
☐ Initial return
☐ Final return/terminated
☐ Amended return
☐ Application pending

C Name of organization
Smithsonian Institution

Doing business as

Number and street (or P O box if mail is not delivered to street address) | Room/suite
1000 Jefferson Drive S W

City or town, state or province, country, and ZIP or foreign postal code
Washington, DC 20560

D Employer identification number
53-0206027

E Telephone number
(202) 633-1000

G Gross receipts $ 2,102,055,266

F Name and address of principal officer
LONNIE G BUNCH III
1000 Jefferson Drive S W
Washington, DC 20560

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

H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list (see instructions)

H(c) Group exemption number ▶

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

J Website: ▶ www si edu

K Form of organization ☐ Corporation ☐ Trust ☐ Association ☑ Other ▶

L Year of formation 1846

M State of legal domicile

Part I Summary

1 Briefly describe the organization's mission or most significant activities
"Increase and diffusion of Knowledge" is the mission set forth by James Smithson

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

3	Number of voting members of the governing body (Part VI, line 1a)	**3**	17
4	Number of independent voting members of the governing body (Part VI, line 1b)	**4**	17
5	Total number of individuals employed in calendar year 2017 (Part V, line 2a)	**5**	7,165
6	Total number of volunteers (estimate if necessary)	**6**	7,064
7a	Total unrelated business revenue from Part VIII, column (C), line 12	**7a**	16,304,979
b	Net unrelated business taxable income from Form 990-T, line 34	**7b**	0

		Prior Year	Current Year
8	Contributions and grants (Part VIII, line 1h)	1,174,946,626	1,192,108,664
9	Program service revenue (Part VIII, line 2g)	115,337,291	108,484,309
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	89,870,212	97,969,819
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	76,672,846	67,490,434
12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	1,456,826,975	1,466,053,226
13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	18,017,203	18,341,360
14	Benefits paid to or for members (Part IX, column (A), line 4)		0
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	694,613,186	697,949,743
16a	Professional fundraising fees (Part IX, column (A), line 11e)	3,005,602	3,481,298
b	Total fundraising expenses (Part IX, column (D), line 25) ▶41,200,048		
17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	659,102,865	671,044,996
18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	1,374,738,856	1,390,817,397
19	Revenue less expenses Subtract line 18 from line 12	82,088,119	75,235,829

		Beginning of Current Year	End of Year
20	Total assets (Part X, line 16)	4,889,814,961	5,149,066,602
21	Total liabilities (Part X, line 26)	905,888,891	988,024,547
22	Net assets or fund balances Subtract line 21 from line 20	3,983,926,070	4,161,042,055

Part II Signature Block

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

Sign Here

****** 2019-07-30
Signature of officer Date

MIKE MCCARTHY ACTING CHIEF OPERATING OFFICER
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Margaret A Bradshaw	Margaret A Bradshaw	2019-07-22		P00501222

Firm's name ▶ KPMG LLP | Firm's EIN ▶ 13-5565207
Firm's address ▶ 1676 International Drive, McLean, VA 22102 | Phone no (703) 286-8000

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

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III . . . . . ☐

1 Briefly describe the organization's mission

"Increase and diffusion of knowlege" is the mission set forth by James Smithson The Smithsonian endeavors to shape the future by preserving our heritage, discovering new knowledge, and sharing our resources with the world

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

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

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

If "Yes," describe these changes on Schedule O

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

4a (Code) (Expenses $ 526,126,976 including grants of $ 16,105,052) (Revenue $ 48,239,543)
See Additional Data

4b (Code) (Expenses $ 478,000,259 including grants of $ 2,236,308) (Revenue $ 55,298,805)
See Additional Data

4c (Code) (Expenses $ 75,335,149 including grants of $ 0) (Revenue $ 58,307,632)
See Additional Data

4d Other program services (Describe in Schedule O)
(Expenses $ including grants of $) (Revenue $)

4e **Total program service expenses ▶** 1,079,462,384

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	Yes	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)?	2	Yes	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		No
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4		No
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		No
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7	Yes	
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8	Yes	
9	Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		No
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? *If "Yes," complete Schedule D, Part V*	10	Yes	
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI*	11a	Yes	
b	Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b	Yes	
c	Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		No
d	Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d		No
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	Yes	
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f	Yes	
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a	Yes	
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b	Yes	
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		No
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a	Yes	
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b	Yes	
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15	Yes	
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16	Yes	
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I* (see instructions)	17	Yes	
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18	Yes	
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		No

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

			Yes	No
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	**20a**		No
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	**20b**		
21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	**21**	Yes	
22	Did the organization report more than $5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	**22**	Yes	
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	**23**	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K If "No," go to line 25a*	**24a**	Yes	
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	**24b**		No
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	**24c**		No
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	**24d**		No
25a	**Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	**25a**		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	**25b**		No
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? *If "Yes," complete Schedule L, Part II*	**26**		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	**27**		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28a**		No
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	**28b**		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	**28c**		No
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	**29**	Yes	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	**30**	Yes	
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	**31**		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	**32**		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301 7701-2 and 301 7701-3? *If "Yes," complete Schedule R, Part I*	**33**		No
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	**34**	Yes	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	**35a**	Yes	
b	If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	**35b**	Yes	
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	**36**		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	**37**		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O	**38**	Yes	

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

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

				Yes	No
1a	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . .	**1a**	3,666		
b	Enter the number of Forms W-2G included in line 1a *Enter -0-* if not applicable	**1b**	0		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	**1c**		Yes	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	**2a**	7,165		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	**2b**		Yes	
3a	Did the organization have unrelated business gross income of $1,000 or more during the year? . . .	**3a**		Yes	
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O* . . .	**3b**		Yes	
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . .	**4a**		Yes	
b	If "Yes," enter the name of the foreign country ▶AM , PM , GB See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)				
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . .	**5a**			No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	**5b**			No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	**5c**			
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . .	**6a**			No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	**6b**			
7	**Organizations that may receive deductible contributions under section 170(c).**				
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?	**7a**		Yes	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	**7b**		Yes	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	**7c**		Yes	
d	If "Yes," indicate the number of Forms 8282 filed during the year	**7d**			
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	**7e**			No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . .	**7f**			No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	**7g**			
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	**7h**		Yes	
8	**Sponsoring organizations maintaining donor advised funds.** Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	**8**			
9a	Did the sponsoring organization make any taxable distributions under section 4966? . . .	**9a**			
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . .	**9b**			
10	**Section 501(c)(7) organizations.** Enter				
a	Initiation fees and capital contributions included on Part VIII, line 12 . . .	**10a**			
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	**10b**			
11	**Section 501(c)(12) organizations.** Enter				
a	Gross income from members or shareholders	**11a**			
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	**11b**			
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?	**12a**			
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	**12b**			
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**				
a	Is the organization licensed to issue qualified health plans in more than one state? **Note.** See the instructions for additional information the organization must report on Schedule O	**13a**			
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	**13b**			
c	Enter the amount of reserves on hand	**13c**			
14a	Did the organization receive any payments for indoor tanning services during the tax year?	**14a**			No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . .	**14b**			

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

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

Section A. Governing Body and Management

				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	17		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O				
b	Enter the number of voting members included in line 1a, above, who are independent	1b	17		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2			No
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?	3			No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4			No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5			No
6	Did the organization have members or stockholders?	6			No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a		Yes	
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b			No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following				
a	The governing body?	8a		Yes	
b	Each committee with authority to act on behalf of the governing body?	8b		Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O*	9			No

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

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

Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed ▶

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection Indicate how you made these available Check all that apply

☑ Own website ☐ Another's website ☑ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year

20 State the name, address, and telephone number of the person who possesses the organization's books and records ▶Jean Garvin PO BOX 37012 WASHINGTON, DC 200137012 (202) 633-7218

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

Check if Schedule O contains a response or note to any line in this Part VII . . . . . ☐

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

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

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees, if any See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations

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

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
See Additional Data Table										

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
See Additional Data Table										
1b Sub-Total ▶										
c Total from continuation sheets to Part VII, Section A ▶										
d Total (add lines 1b and 1c) ▶								8,535,366	0	1,240,491

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶ 1,563

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

Section B. Independent Contractors

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

(A) Name and business address	(B) Description of services	(C) Compensation
Universal Protection Service 1551 N Tustin Ave Suite 650 Santa Ana, CA 927058664	Security	16,684,548
Grunley Construction Company Inc 888 17th Street NW SUITE 500 Washington, DC 20006	Construction	16,578,379
Quinn Evans Architects Inc 2121 Ward Place NW 4 Washington, DC 20037	Construction	15,712,303
HSU Development Co 1335 Rockville Pike Rockville, MD 208521462	Construction	12,843,898
NORTHROP GRUMMAN SYSTEMS CORPORATION ONE SPACE PARK BLDG R9/2456 REDONDO BEACH, CA 90278	CHANDA X-RAY CENTER SERVICES	10,960,800

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶ 467

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII . . . . . ☑

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a Federated campaigns	1a	42,060			
	b Membership dues	1b	22,156,533			
	c Fundraising events	1c	5,297,666			
	d Related organizations	1d	460,292			
	e Government grants (contributions)	1e	1,004,370,793			
	f All other contributions, gifts, grants, and similar amounts not included above	1f	159,781,320			
	g Noncash contributions included in lines 1a-1f $ 21,073,380					
	h Total. Add lines 1a-1f		1,192,108,664			
Program Service Revenue		Business Code				
	2a Visitors/Members/Emplo	900099	50,557,976	28,900,749		21,657,227
	b Subscriptions - magazine	511120	31,436,882	31,436,882		
	c Tours/Classes	900099	12,977,727	12,807,483	170,244	
	d Theater Income	512131	9,463,254	6,793,372	2,669,882	
	e Traveling Exhibitions	712110	3,948,470	3,948,470		
	f All other program service revenue		100,000	0	100,000	0
	g Total. Add lines 2a–2f		108,484,309			
	3 Investment income (including dividends, interest, and other similar amounts)		23,932,124			23,932,124
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties		16,096,802			16,096,802
		(i) Real	(ii) Personal			
	6a Gross rents					
	b Less rental expenses					
	c Rental income or (loss)	0	0			
	d Net rental income or (loss)					
		(i) Securities	(ii) Other			
	7a Gross amount from sales of assets other than inventory	652,940,966	27,438,416			
	b Less cost or other basis and sales expenses	592,155,363	14,186,324			
	c Gain or (loss)	60,785,603	13,252,092			
	d Net gain or (loss)			74,037,695	13,252,092	60,785,603
Other Revenue	8a Gross income from fundraising events (not including $ 5,297,666 of contributions reported on line 1c) See Part IV, line 18	a	1,576,509			
	b Less direct expenses	b	3,544,548			
	c Net income or (loss) from fundraising events			-1,968,039		-1,968,039
	9a Gross income from gaming activities See Part IV, line 19	a				
	b Less direct expenses	b				
	c Net income or (loss) from gaming activities					
	10a Gross sales of inventory, less returns and allowances	a	68,002,886			
	b Less cost of goods sold	b	26,115,805			
	c Net income or (loss) from sales of inventory			41,887,081	38,354,176	3,532,905
	Miscellaneous Revenue	Business Code				
	11a Magazine/Website Adver	541800	9,831,948		9,831,948	
	b Insurance Claim Reimbursements	524298	1,642,642	1,642,642		
	c					
	d All other revenue		0	0	0	0
	e Total. Add lines 11a–11d		11,474,590			
	12 Total revenue. See Instructions		1,466,053,226	137,135,866	16,304,979	120,503,717

Part IX Statement of Functional Expenses

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

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

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraisingexpenses
1 Grants and other assistance to domestic organizations and domestic governments See Part IV, line 21	161,765	161,765		
2 Grants and other assistance to domestic individuals See Part IV, line 22	11,590,626	11,590,626		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals See Part IV, line 15 and 16	6,588,969	6,588,969		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	8,450,170	2,489,707	5,402,205	558,258
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	3,899,268	3,684,992	214,276	
7 Other salaries and wages	523,978,611	376,624,138	126,471,638	20,882,835
8 Pension plan accruals and contributions (include section 401 (k) and 403(b) employer contributions)	72,127,674	52,167,919	17,164,457	2,795,298
9 Other employee benefits	53,177,562	39,006,922	12,656,745	1,513,895
10 Payroll taxes	36,316,458	26,089,885	8,443,205	1,783,368
11 Fees for services (non-employees)				
a Management				
b Legal	592,587	426,973	155,848	9,766
c Accounting	701,445		701,445	
d Lobbying				
e Professional fundraising services See Part IV, line 17	3,481,298			3,481,298
f Investment management fees	1,935,609		1,935,609	
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	131,580,012	104,522,070	22,439,155	4,618,787
12 Advertising and promotion	5,365,438	4,808,817	454,558	102,063
13 Office expenses	52,294,399	41,593,942	9,609,028	1,091,429
14 Information technology	46,626,999	14,557,740	31,340,818	728,441
15 Royalties	201,700	201,400		300
16 Occupancy	138,672,039	117,681,045	19,185,127	1,805,867
17 Travel	15,925,936	12,792,235	2,058,647	1,075,054
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	4,980,521	3,663,236	1,152,285	165,000
20 Interest	4,244,677	4,244,677		
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	163,323,613	136,625,549	26,459,587	238,477
23 Insurance	1,557,440	851,833	703,175	2,432
24 Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24e If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O)				
a Program Production	46,169,857	40,468,914	5,413,634	287,309
b Research/Subcontract	33,473,912	33,480,198	-6,286	
c COLLECTIONS/EQUIPMENT	23,398,812	22,542,569	796,072	60,171
d Overhead cost recovery on grants	0	22,596,263	-22,596,263	0
e All other expenses	0	0	0	0
25 **Total functional expenses.** Add lines 1 through 24e	1,390,817,397	1,079,462,384	270,154,965	41,200,048
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)	12,413,258	9,455,439		2,957,819

Part X Balance Sheet

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

			(A) Beginning of year		(B) End of year
Assets	1	Cash–non-interest-bearing	440,423,714	1	606,462,280
	2	Savings and temporary cash investments	15,120,167	2	16,564,977
	3	Pledges and grants receivable, net	243,071,341	3	214,400,623
	4	Accounts receivable, net	39,110,157	4	39,668,462
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L	0	5	0
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L	0	6	0
	7	Notes and loans receivable, net	0	7	0
	8	Inventories for sale or use	13,502,687	8	13,030,668
	9	Prepaid expenses and deferred charges	17,578,541	9	15,244,878
	10a	Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D — 10a: 4,662,544,622			
	b	Less accumulated depreciation — 10b: 2,315,400,175	2,342,232,105	10c	2,347,144,447
	11	Investments—publicly traded securities	463,022,103	11	398,905,028
	12	Investments—other securities See Part IV, line 11	1,274,787,874	12	1,465,126,904
	13	Investments—program-related See Part IV, line 11	0	13	
	14	Intangible assets	0	14	0
	15	Other assets See Part IV, line 11	40,966,272	15	32,518,335
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)	4,889,814,961	16	5,149,066,602
Liabilities	17	Accounts payable and accrued expenses	296,140,780	17	261,647,609
	18	Grants payable	0	18	0
	19	Deferred revenue	360,175,278	19	528,536,807
	20	Tax-exempt bond liabilities	99,653,229	20	98,039,527
	21	Escrow or custodial account liability Complete Part IV of Schedule D	0	21	0
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L	0	22	0
	23	Secured mortgages and notes payable to unrelated third parties	0	23	0
	24	Unsecured notes and loans payable to unrelated third parties	100,000,000	24	50,000,000
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D	49,919,604	25	49,800,604
	26	**Total liabilities.** Add lines 17 through 25	905,888,891	26	988,024,547
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.**			
	27	Unrestricted net assets	2,766,324,476	27	2,842,282,757
	28	Temporarily restricted net assets	692,042,888	28	772,552,683
	29	Permanently restricted net assets	525,558,706	29	546,206,615
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.			
	30	Capital stock or trust principal, or current funds	0	30	0
	31	Paid-in or capital surplus, or land, building or equipment fund	0	31	0
	32	Retained earnings, endowment, accumulated income, or other funds	0	32	0
	33	Total net assets or fund balances	3,983,926,070	33	4,161,042,055
	34	Total liabilities and net assets/fund balances	4,889,814,961	34	5,149,066,602

Part XI Reconcilliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI . . . . . ☑

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,466,053,226
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,390,817,397
3	Revenue less expenses Subtract line 2 from line 1	3	75,235,829
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	3,983,926,070
5	Net unrealized gains (losses) on investments	5	94,412,255
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	7,467,901
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	4,161,042,055

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . . ☐

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

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

Form 990 (2017)

Form 990, Part III, Line 4a:

Research and Collections (SEE SCHEDULE O) RESEARCH AND COLLECTIONS The Smithsonian's collections of approximately 155 million objects (art, artifacts and scientific specimens) are the heart of the institution Research, public programs and exhibitions are based on these collections, which additionally include more than 29 million digital records of online material Care of the collections involves the work of registrars, conservators, museum specialists, designers, curators and editors Approximately 145 million objects and specimens are part of the National Museum of Natural History collections and are primarily used for research by both Smithsonian scientists and researchers from around the world In some cases, the museum has the definitive, irreplaceable collection of a certain species which is essential for comparative studies For the first time in nine years, primate staff at the Smithsonian's National Zoo and Conservation Biology Institute celebrated the birth of a male western lowland gorilla The parents received a recommendation to breed from the Association of Zoos and Aquariums' Species Survival Plan (SSP) Native to Africa, western lowland gorillas live are considered critically endangered by the International Union for Conservation of Nature due to disease and poaching The Smithsonian Conservation Biology Institute and its partners were the first to determine how conservationists can use cryopreserved sperm to rear coral in much higher numbers for large-scale restorations efforts The study examined techniques for conserving the Acropora group of coral, one of the most widespread and threatened groups of coral The National Portrait Gallery added commissioned portraits of former President Barack Obama and First Lady Michelle Obama to its permanent collection At the end of each presidency, the museum commissions one official portrait for each of the President and the First Lady These portraits by Kehinde Wiley and Amy Sherald were the first to be painted by African American artists The former President and first lady, together with the two artists, unveiled the portraits at a ceremony in February 2018 The portraits have attracted great attention, and the National Portrait Gallery had a record breaking 2 3 million visits in 2018, about a million more than the previous year The National Museum of American History added to its political history collection items from the 2007 ceremony swearing in Nancy Pelosi as the first woman Speaker of the U S House of Representatives

Form 990, Part III, Line 4b:

Education, Public Programs and Exhibitions (SEE SCHEDULE O) EDUCATION, PUBLIC PROGRAMS AND EXHIBITIONS The National Museum of the American Indian opened "Americans," an exhibition exploring the many ways American Indian images, names and stories have been part of the nation's history, identity and popular culture since before the country began The exhibition asserts that such images and stories are a powerful way to understand a country forever fascinated, conflicted and shaped by its relationship with American Indians The Smithsonian American Art Museum presented "No Spectators The Art of Burning Man" at its Renwick Gallery from March-September 2018 An annual gathering of more than 70,000 people, Burning Man is one of the most influential events in contemporary art at culture This was the first major exhibition to present the large-scale, participatory work that is the hallmark of this annual gathering, exploring Burning Man's philosophies of radical self-expression, community participation, rejection of commodification and reverence for the handmade In June 2018 the Hirshhorn Museum and Sculpture Garden launched the Hirshhorn Eye, a mobile in-gallery art guide that uses machine learning to deliver exclusive video content to any smartphone With the Hirshhorn Eye, visitors can scan artworks in the museum to unlock artist interviews and insights, allowing museumgoers to connect with the art in new ways The National Museum of African American History and Culture opened "Watching Oprah The Oprah Winfrey Show and American Culture," in June 2018 The second exhibition to be featured in the museum's special exhibitions gallery, the exhibition uses the story of Oprah Winfrey and her 25-year daytime talk show as a lens to explore contemporary American History and Culture, especially issues of power, gender and the media

Form 990, Part III, Line 4c:

Membership (SEE SCHEDULE O) MEMBERSHIP The National Associate Program is the Institution's largest and most basic membership program The program provides members with Smithsonian Magazine, which is published 11 times a year The print and online publication provides an in-depth coverage of history, science, nature, the arts and world cultures Smithsonian Magazine also hosts the annual Ingenuity awards, honoring the best and brightest innovators who are making a difference in the world across a variety of fields "Friends of the Smithsonian" is a higher level membership program for people interested in a deep philanthropic connection to the Smithsonian Friends receive Smithsonian Magazine, plus they are invited to various events and are given the opportunity to learn about and support the Institution's exhibitions and research The Smithsonian Associates offers unparalleled access to the Smithsonian's world of knowledge through innovative and engaging programming that promotes learning, enrichment and creativity for people of all ages The largest museum-based educational program in the world, Smithsonian Associates annually offers more than 750 seminars, performances lectures, studio art classes and local and regional study tours Performances at Discovery Theater and more than 90 educationally focused summer camps are among the programs that foster the joys of learning for young people and their families

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Honorable John Roberts Regent	0 5	X						0	0	0
Honorable Michael Pence Regent	0 5	X						0	0	0
Honorable John Boozman Regent	2 0	X						0	0	0
Honorable Patrick J Leahy Regent	2 0	X						0	0	0
Honorable David Perdue Regent	2 0	X						0	0	0
Honorable Thomas Cole Regent	2 0	X						0	0	0
Honorable Sam Johnson Regent	2 0	X						0	0	0
Honorable Doris Matsui Regent	2 0	X						0	0	0
Ms Barbara Barrett Regent	2 0	X						0	0	0
Mr Steve Case Regent	6 0	X						0	0	0

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Mr John Fahey Regent	2 0	X						0	0	0
Mr Roger Ferguson Regent	2 0	X						0	0	0
Mr Michael Govan Regent	2 0	X						0	0	0
Dr Risa Lavizzo-Mourey Regent	2 0	X						0	0	0
Mr Michael M Lynton Regent	2 0	X						0	0	0
Mr John McCarter Regent	6 0	X						0	0	0
Mr David Rubenstein Regent	10 0	X						0	0	0
David Skorton Secretary	50 0			X				844,804	0	51,541
Cathy Helm Inspector General	50 0			X				182,994	0	20,941
Albert Horvath Under Secretary Finance & Administration/COO	50 0			X				429,029	0	59,530

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Judith Leonard General Counsel	50 0			X				204,209	0	38,440
Porter Wilkinson Chief of Staff - Regents	50 0			X				192,295	0	29,971
Patricia Bartlett Associate Provost for Education & Access	50 0				X			197,169	0	40,044
Nancy Bechtol Director - Facilities	50 0				X			198,033	0	28,502
Deron Burba Chief Information Officer	50 0				X			197,441	0	53,393
Amy Chen Chief Investment Officer	50 0				X			433,417	0	38,913
Virginia Clark Assistant Secretary for advancement	50 0				X			247,056	0	25,939
Bruce Dauer Vice President Finance/Adm - Smithsonian Enterprises	50 0				X			231,321	0	26,582
John Davis Provost/Under Secretary for Museum and Research	50 0				X			225,270	0	22,432
Zully Dorr Acting Assistant Director for Advancement	50 0				X			208,931	0	48,676

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
James Douglas Director - Office of Human Resources	50 0				X			192,575	0	16,008
Waltrunette Gardner Acting Director - Office of Human Resources	50 0				X			158,397	0	26,342
Jean Garvin Director - Finance & Accounting	50 0				X			189,876	0	47,154
Dennis Kelly Interim President - Smithsonian Enterprises	50 0				X			301,467	0	59,395
Richard Kurin Acting Provost/Under Secretary for Museum and Research	50 0				X			344,495	0	60,301
John Lapiana Acting Assistant Secretary - Communication & External Affairs	50 0				X			208,297	0	38,189
Christopher Liedel President - Smithsonian Enterprises	50 0				X			583,687	0	71,736
Era Marshall Director - Equal Employment & Minority Affairs	50 0				X			183,345	0	18,582
Carolyn Martin Acting Assistant Secretary - Communication & External Affairs	50 0				X			158,776	0	53,366
David Voyles Director - Planning, Management & Budget	50 0				X			187,768	0	16,170

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

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
Mark Bauman Senior Vice President Media - Smithsonian Enterprises	50 0					X		359,638	0	38,286
Michael Caruso EDITOR IN CHIEF - SMITHSONIAN MAGAZINE	50 0					X		403,004	0	72,858
Melissa Chiu Director - Hirshhorn Museum	50 0					X		405,815	0	68,238
Edward R Howell Senior Vice President Retail Group - Smithsonian Enterprises	50 0					X		371,323	0	60,725
Amy Wilkens Chief Revenue Officer - Smithsonian Enterprises	50 0					X		341,416	0	70,150
Kenneth Johnson Former Acting Director - Planning, Management & Budget	50 0						X	186,211	0	9,524
John Kress Former Interim Under Secretary - Science	50 0						X	167,307	0	28,563

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SCHEDULE A (Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

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

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Information about Schedule A (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.**

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

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

The organization is not a private foundation because it is (For lines 1 through 12, check only one box)

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

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ))

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

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

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

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

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

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

9 ☐ An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture See instructions Enter the name, city, and state of the college or university

_____

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

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

12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s) **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions) **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions) **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization

f Enter the number of supported organizations _____

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

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 10 above (see instructions))	(iv) Is the organization listed in your governing document? Yes	(iv) No	(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
Total						

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

(Complete only if you checked the box on line 5, 7, 8, or 9 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grant ")	1,190,256,002	1,097,910,208	1,221,449,061	1,174,926,626	1,192,108,664	5,876,650,561
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0
4 **Total.** Add lines 1 through 3	1,190,256,002	1,097,910,208	1,221,449,061	1,174,926,626	1,192,108,664	5,876,650,561
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						0
6 **Public support.** Subtract line 5 from line 4						5,876,650,561

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a)2013	(b)2014	(c)2015	(d)2016	(e)2017	(f)Total
7 Amounts from line 4	1,190,256,002	1,097,910,208	1,221,449,061	1,174,926,626	1,192,108,664	5,876,650,561
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	35,313,796	26,621,870	28,671,980	36,693,083	40,028,926	167,329,655
9 Net income from unrelated business activities, whether or not the business is regularly carried on	0	0	0	0	0	0
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part VI)	0	0	0	0	0	0
11 **Total support.** Add lines 7 through 10						6,043,980,216

12 Gross receipts from related activities, etc (see instructions)	12	858,697,901

13 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** . . . . . ▶ ☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2017 (line 6, column (f) divided by line 11, column (f))	14	97 23 %
15 Public support percentage for 2016 Schedule A, Part II, line 14	15	97 52 %

16a **33 1/3% support test—2017.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☑

b **33 1/3% support test—2016.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

17a **10%-facts-and-circumstances test—2017.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶ ☐

b **10%-facts-and-circumstances test—2016.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ ☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**
(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support.** (Subtract line 7c from line 6)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income Do not include gain or loss from the sale of capital assets (Explain in Part VI)						
13 **Total support.** (Add lines 9, 10c, 11, and 12)						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶ ☐

Section C. Computation of Public Support Percentage

15 Public support percentage for 2017 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2016 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2017** (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from **2016** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2017.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3% support tests—2016.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶ ☐

Part IV Supporting Organizations

(Complete only if you checked a box on line 12 of Part I If you checked 12a of Part I, complete Sections A and B If you checked 12b of Part I, complete Sections A and C If you checked 12c of Part I, complete Sections A, D, and E If you checked 12d of Part I, complete Sections A and D, and complete Part V)

Section A. All Supporting Organizations

			Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated If designated by class or purpose, describe the designation If historic and continuing relationship, explain*	1		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509 (a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2)*	2		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer (b) and (c) below*	3a		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination*	3b		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use*	3c		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes" and if you checked 12a or 12b in Part I, answer (b) and (c) below*	4a		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in* ***Part VI*** *how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations*	4b		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes*	4c		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer (b) and (c) below (if applicable) Also, provide detail in* ***Part VI,*** *including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document)*	5a		
b	**Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b		
c	**Substitutions only.** Was the substitution the result of an event beyond the organization's control?	5c		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.***	6		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ)*	7		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ)*	8		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.***	9a		
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? *If "Yes," provide detail in* ***Part VI.***	9b		
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.***	9c		
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer line 10b below*	10a		
b	Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings)*	10b		

Part IV Supporting Organizations (continued)

			Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?			
a	A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a		
b	A family member of a person described in (a) above?	11b		
c	A 35% controlled entity of a person described in (a) or (b) above? *If "Yes" to a, b, or c, provide detail in Part VI*	11c		

Section B. Type I Supporting Organizations

			Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? *If "No," describe in* ***Part VI*** *how the supported organization(s) effectively operated, supervised, or controlled the organization's activities If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year*	1		
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? *If "Yes," explain in* ***Part VI*** *how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization*	2		

Section C. Type II Supporting Organizations

			Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? *If "No," describe in* ***Part VI*** *how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s)*	1		

Section D. All Type III Supporting Organizations

			Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization (s) or (ii) serving on the governing body of a supported organization? *If "No," explain in* ***Part VI*** *how the organization maintained a close and continuous working relationship with the supported organization(s)*	2		
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in* ***Part VI*** *the role the organization's supported organizations played in this regard*	3		

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year **(see instructions)**

- a ☐ The organization satisfied the Activities Test Complete **line 2** below
- b ☐ The organization is the parent of each of its supported organizations Complete **line 3** below
- c ☐ The organization supported a governmental entity Describe in **Part VI** how you supported a government entity (see instructions)

			Yes	No
2	Activities Test **Answer (a) and (b) below.**			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities*	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement*	2b		
3	Parent of Supported Organizations **Answer (a) and (b) below.**			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *Provide details in* ***Part VI.***	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI.*** *the role played by the organization in this regard*	3b		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov 20, 1970 (explain in Part VI) **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E

	Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1		
2	Recoveries of prior-year distributions	2		
3	Other gross income (see instructions)	3		
4	Add lines 1 through 3	4		
5	Depreciation and depletion	5		
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6		
7	Other expenses (see instructions)	7		
8	**Adjusted Net Income** (subtract lines 5, 6 and 7 from line 4)	8		

	Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)	1		
a	Average monthly value of securities	1a		
b	Average monthly cash balances	1b		
c	Fair market value of other non-exempt-use assets	1c		
d	**Total** (add lines 1a, 1b, and 1c)	1d		
e	**Discount** claimed for blockage or other factors (explain in detail in Part VI)			
2	Acquisition indebtedness applicable to non-exempt use assets	2		
3	Subtract line 2 from line 1d	3		
4	Cash deemed held for exempt use Enter 1-1/2% of line 3 (for greater amount, see instructions)	4		
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5		
6	Multiply line 5 by 035	6		
7	Recoveries of prior-year distributions	7		
8	**Minimum Asset Amount** (add line 7 to line 6)	8		

	Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1		
2	Enter 85% of line 1	2		
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3		
4	Enter greater of line 2 or line 3	4		
5	Income tax imposed in prior year	5		
6	**Distributable Amount.** Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6		

7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

Part V **Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)**

Section D - Distributions	**Current Year**
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in **Part VI**) See instructions	
7 **Total annual distributions.** Add lines 1 through 6	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in **Part VI**) See instructions	
9 Distributable amount for 2017 from Section C, line 6	
10 Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)	**(i) Excess Distributions**	**(ii) Underdistributions Pre-2017**	**(iii) Distributable Amount for 2017**
1 Distributable amount for 2017 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2017 (reasonable cause required-- explain in Part VI) See instructions			
3 Excess distributions carryover, if any, to 2017			
a			
b From 2013.			
c From 2014.			
d From 2015.			
e From 2016.			
f **Total** of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2017 distributable amount			
i Carryover from 2012 not applied (see instructions)			
j Remainder Subtract lines 3g, 3h, and 3i from 3f			
4 Distributions for 2017 from Section D, line 7 $			
a Applied to underdistributions of prior years			
b Applied to 2017 distributable amount			
c Remainder Subtract lines 4a and 4b from 4			
5 Remaining underdistributions for years prior to 2017, if any Subtract lines 3g and 4a from line 2 If the amount is greater than zero, explain in Part VI See instructions			
6 Remaining underdistributions for 2017 Subtract lines 3h and 4b from line 1 If the amount is greater than zero, explain in Part VI See instructions			
7 **Excess distributions carryover to 2018.** Add lines 3j and 4c			
8 Breakdown of line 7			
a Excess from 2013.			
b Excess from 2014.			
c Excess from 2015.			
d Excess from 2016.			
e Excess from 2017.			

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10, Part II, line 17a or 17b, Part III, line 12, Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c, Part IV, Section B, lines 1 and 2, Part IV, Section C, line 1, Part IV, Section D, lines 2 and 3, Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b, Part V, line 1, Part V, Section B, line 1e, Part V Section D, lines 5, 6, and 8, and Part V, Section E, lines 2, 5, and 6 Also complete this part for any additional information (See instructions)

Facts And Circumstances Test

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SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.
Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

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

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

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

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

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

☐ Preservation of land for public use (e g , recreation or education)
☐ Preservation of an historically important land area
☑ Protection of natural habitat
☐ Preservation of a certified historic structure
☐ Preservation of open space

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

		Held at the End of the Year	
a	Total number of conservation easements	2a	1
b	Total acreage restricted by conservation easements	2b	88 25
c	Number of conservation easements on a certified historic structure included in (a)	2c	0
d	Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d	0

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ 0

4 Number of states where property subject to conservation easement is located ▶ 1

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

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ $ 0

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

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

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

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

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

(i) Revenue included on Form 990, Part VIII, line 1 ▶ $

(ii) Assets included in Form 990, Part X ▶ $

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

a Revenue included on Form 990, Part VIII, line 1 ▶ $

b Assets included in Form 990, Part X ▶ $

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

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

- a ☑ Public exhibition
- b ☑ Scholarly research
- c ☑ Preservation for future generations
- d ☑ Loan or exchange programs
- e ☐ Other

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

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

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

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

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

	Amount
c Beginning balance	1c
d Additions during the year	1d
e Distributions during the year	1e
f Ending balance	1f

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

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

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

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	1,502,159,340	1,368,754,997	1,288,235,067	1,299,208,124	1,191,094,313
b Contributions	52,445,032	42,062,815	52,940,072	49,265,188	37,894,600
c Net investment earnings, gains, and losses	167,085,531	166,875,266	99,512,052	2,426,301	130,483,529
d Grants or scholarships					
e Other expenditures for facilities and programs	72,853,244	71,427,379	67,486,808	59,663,483	57,266,941
f Administrative expenses	3,567,451	4,106,359	4,445,386	3,001,063	2,997,377
g End of year balance	1,645,269,208	1,502,159,340	1,368,754,997	1,288,235,067	1,299,208,124

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

- a Board designated or quasi-endowment ▶ 44 05 %
- b Permanent endowment ▶ 31 06 %
- c Temporarily restricted endowment ▶ 24 89 %

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

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

	Yes	No
(i) unrelated organizations	3a(i)	No
(ii) related organizations	3a(ii)	No
b If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R?	3b	

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

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		12,582,149		12,582,149
b Buildings		3,655,490,559	1,923,200,433	1,732,290,126
c Leasehold improvements		140,580,352	88,477,892	52,102,460
d Equipment		406,345,005	303,721,850	102,623,155
e Other		447,546,557		447,546,557
Total. Add lines 1a through 1e *(Column (d) must equal Form 990, Part X, column (B), line 10(c))* ▶				2,347,144,447

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

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A) Other		
(B) Global & Emerging Markets	399,372,014	F
(C) Marketable Alternatives	312,839,354	F
(D) Private Equity & Venture Capital	476,080,884	F
(E) Natural Resources	110,726,498	F
(F) Real Estate	140,840,255	F
(G) Fixed Income	25,267,899	F
(H)		
Total. *(Column (b) must equal Form 990, Part X, col (B) line 12)* ▶	1,465,126,904	

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

(a) Description of investment	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. *(Column (b) must equal Form 990, Part X, col (B) line 13)* ▶		

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

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col (B) line 15)* ▶	

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

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
Environmental remediation obligation	49,800,604
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col (B) line 25)* ▶	49,800,604

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

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements			1	1,676,985,656
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12				
a	Net unrealized gains (losses) on investments	2a	94,412,255		
b	Donated services and use of facilities	2b	11,804,620		
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIII)	2d	76,990,811		
e	Add lines **2a** through **2d**			2e	183,207,686
3	Subtract line **2e** from line **1**			3	1,493,777,970
4	Amounts included on Form 990, Part VIII, line 12, but not on line **1**				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	1,935,609		
b	Other (Describe in Part XIII)	4b	-29,660,353		
c	Add lines **4a** and **4b**			4c	-27,724,744
5	Total revenue Add lines **3** and **4c.** (This must equal Form 990, Part I, line 12)			5	1,466,053,226

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements			1	1,499,869,671
2	Amounts included on line 1 but not on Form 990, Part IX, line 25				
a	Donated services and use of facilities	2a	11,804,620		
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIII)	2d	100,970,005		
e	Add lines **2a** through **2d**			2e	112,774,625
3	Subtract line **2e** from line **1**			3	1,387,095,046
4	Amounts included on Form 990, Part IX, line 25, but not on line **1:**				
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	1,935,609		
b	Other (Describe in Part XIII)	4b	1,786,742		
c	Add lines **4a** and **4b**			4c	3,722,351
5	Total expenses Add lines **3** and **4c.** (This must equal Form 990, Part I, line 18)			5	1,390,817,397

Part XIII Supplemental Information

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

Return Reference	Explanation
See Additional Data Table	

Part XIII Supplemental Information *(continued)*

Return Reference	Explanation

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

Supplemental Information

Return Reference	Explanation
Schedule D, Part II, Line 3 Conservation Easements	SMITHSONIAN INSTITUTION DID NOT MODIFY, TRANSFER, RELEASE, EXTINGUISH OR TERMINATE ANY CONSERVATION EASEMENTS DURING THE YEAR

Supplemental Information

Return Reference	Explanation
Schedule D, Part II, Line 6 CONSERVATION MONITORING POLICIES	The Smithsonian Environmental Research Center (SERC) is located on 2,650 acres of land on the Chesapeake Bay in southern Maryland spanning forests, wetlands, marshes, and 12 miles of protected shoreline The site serves as a natural laboratory for long-term and cutting-edge ecological research The Smithsonian has a conservation easement associated with prop erty that is immediately adjacent to SERC land owned by the Institution Facilities and se curity staff visit the area regularly, and are thus able to report any unusual activity on the land subject to the easement The organization does not separately track the hours an d expenses associated with monitoring the property related to the easement

Supplemental Information

Return Reference	Explanation
Schedule D, Part II, Line 9 Conservation easements financial reporting	The Smithsonian Institution's conservation easement does not appear in the Institution's audited financial statements

Supplemental Information

Return Reference	Explanation
Schedule D, Part III, Line 1a Collections of art - financial statement footnote	In conformity with the practice generally followed by museums, no value is assigned to the collections in the statement of financial position Purchases of collection items are rec ognized as reductions in unrestricted net assets in the period of acquisition Proceeds fr om deaccessions or insurance recoveries for lost or destroyed collection items are recogni zed as increases in the appropriate net asset class and are designated for future collecti on acquisitions

Supplemental Information

Return Reference	Explanation
Schedule D, Part III, Line 4 Collections of art - description of collections	The acquisition, preservation, management, and study of collections are fundamental to the Smithsonian's mission to increase and diffuse knowledge and have been the foundation upon which it rests Smithsonian collections are a national and global resource accessed each year by millions of visitors and researchers who use traditional methods and cutting-edge technologies to explore subjects from aeronautics to zoology Through its collections, the Smithsonian presents the astonishing record of American and international artistic, histo rical, cultural, and scientific achievement, with a scope and depth no other institution i n the world can match Smithsonian collections contribute to population recovery of endang ered species, advances in reproductive biology, genome resource banking, medical research, forensic analysis, bio-security, and conservation policy worldwide Assembled over more t han 165 years, the collections are central to the core activities and to the vitality and significance of the Smithsonian

Supplemental Information

Return Reference	Explanation
Schedule D, Part V, Line 4 Intended uses of endowment funds	THE ENDOWMENT INCLUDES APPROXIMATELY 600 INDIVIDUAL ENDOWMENT FUNDS THE ENDOWMENT PROVIDE S STABLE FINANCIAL SUPPORT FOR SCHOLARSHIP, RESEARCH ACTIVITIES, OTHER PROGRAMS, ACQUISITI ONS OF COLLECTIONS AND OTHER INSTITUTIONAL ACTIVITIES IT PLAYS A CRITICAL ROLE IN ENABLIN G THE INSTITUTION TO ACHIEVE ITS MISSION - "THE INCREASE AND DIFFUSION OF KNOWLEDGE " THE ENDOWMENT INCLUDES BOTH DONOR-RESTRICTED ENDOWMENT FUND AND FUNDS DESIGNATED BY THE BOARD OF REGENTS TO FUNCTION AS ENDOWMENTS CLASSIFICATION AND REPORTING OF NET ASSETS ASSOCIATE D WITH THE ENDOWMENT REFLECT DONOR-IMPOSED RESTRICTIONS

Supplemental Information

Return Reference	Explanation
Schedule D, Part X, Line 2 FIN 48 (ASC 740) footnote	The Smithsonian recognizes the effect of income tax positions only if those positions are more likely than not of being sustained The Smithsonian does not believe its financial st atements include any uncertain tax positions

Supplemental Information

Return Reference	Explanation
Schedule D, Part XI, Line 2(d) Other revenues in audited financial statements not in form 990	DEFERRED GAIN ON BUILDING - 3908588 CHANGES IN NET ASSETS OF RELATED ORGANIZATIONS - 61581 4 CHANGE IN MINORITY INTEREST SNI/SI NETWORK LLC - 2921838 IMPUTED BENEFIT REVENUE - 71331 313 BAD DEBT EXPENSE/INCREASE IN ALLOWANCE FOR BAD DEBTS NETTED AGAINST CONTRIBUTION REVEN UE ON AUDITED FINANCIAL STATEMENTS - -1786742

Supplemental Information

Return Reference	Explanation
Schedule D, Part XI, Line 4(b) Other revenues in form 990 not in audited financial statements	DIRECT EXPENSES - FUNDRAISING - -3544548 DIRECT EXPENSES - COST OF GOODS SOLD - -26115805 - - -

Supplemental Information

Return Reference	Explanation
Schedule D, Part XII, Line 2(d) Other expenses in audited financial statements not in form 990	DIRECT EXPENSES - FUNDRAISING - 3544548 DIRECT EXPENSES - COST OF GOODS SOLD - 26115805 IM PUTED BENEFIT COSTS - 71331313 ENVIRONMENTAL REMEDIATION LIABILITY ADJUSTMENT - -21661

Supplemental Information

Return Reference	Explanation
Schedule D, Part XII, Line 4(b) Other expenses in form 990 not in audited financial statements	BAD DEBT EXPENSE/INCREASE IN ALLOWANCE FOR UNCOLLECTIBLE PLEDGES NETTED AGAINST CONTRIBUTI ON REVENUE ON AUDITED FINANCIAL STATEMENTS - 1786742

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SCHEDULE F (Form 990)

Department of the Treasury
Internal Revenue Service

Statement of Activities Outside the United States

► Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.
► Attach to Form 990.
► Information about Schedule F (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

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

1 **For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☑ Yes ☐ No

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

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

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in region	(d) Activities conducted in region (by type) (e g , fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for and investments in region
(1) See Add'l Data					
(2)					
(3)					
(4)					
(5)					
3a Sub-total	0	0			978,880,053
b Total from continuation sheets to Part I					31,129,274
c **Totals** (add lines 3a and 3b)	11	583			1,010,009,327

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

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			Europe (Including Iceland and Greenland)	ACADEMIC APPOINTMENT STIPENDS	85,222	DIRECT DEPOSIT AND CHECKS			
(2)			Europe (Including Iceland and Greenland)	ACADEMIC APPOINTMENT STIPENDS	106,841	DIRECT DEPOSIT AND CHECKS			
(3)									
(4)									

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

3 Enter total number of other organizations or entities . . . . . ▶ 0

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

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

Part IV Foreign Forms

1	Was the organization a U S transferor of property to a foreign corporation during the tax year? *If "Yes,"the organization may be required to file Form 926, Return by a U S Transferor of Property to a Foreign Corporation (see Instructions for Form 926)*	☑ Yes	☐ No
2	Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U S Owner (see Instructions for Forms 3520 and 3520-A, do not file with Form 990)*	☑ Yes	☐ No
3	Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U S Persons with Respect to Certain Foreign Corporations (see Instructions for Form 5471)*	☑ Yes	☐ No
4	Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund (see Instructions for Form 8621)*	☑ Yes	☐ No
5	Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U S Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)*	☑ Yes	☐ No
6	Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713, do not file with Form 990)*	☑ Yes	☐ No

Part V Supplemental Information

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

Return Reference	Explanation
Schedule F, Part I, Line 2 Procedures for monitoring use of grant funds	The Office of Fellowships has central management and administrative responsibility for the Smithsonian programs of research fellowships and other academic appointments for undergraduate, graduate students, postdoctoral and senior scholars The Smithsonian Institution Fellowship Program is a competitive fellowship program for graduate and postdoctoral fellows, who apply to conduct research at the Institution with research staff serving as advisors The review process is made up of disciplinary committees comprised of the Institution's staff who evaluate the candidates and then select the fellows There are other competitive and non-competitive fellowships for visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selection processes before an award is made An official letter/agreement is provided to each award recipient identifying the award title, dates of tenure, stipend allowances, and required responsibilities for holding this position All recipients either will identify a financial institution for receipt of their monetary award or they will receive US Treasury checks Depending on the tenure of the appointment, payments can range from one lump sum, biweekly payments or monthly payments Most fellowship appointments are awarded for one to two years On occasion, the Smithsonian Institution has visiting scholars or fellows who are conducting research in another country Payments are usually submitted as stated above, however, on occasion, there may be one or two who request that their payments be sent to the country of their research At the end of tenure, a final report of their research accomplishments is provided for our records Smithsonian research staff who serve as advisors to these fellows, students and scholars are usually in the field during their tenure The eight Smithsonian research centers located in the United States and one located in Panama monitor the progress of their fellows especially those fellows in other countries, and the administrative management of funds is managed through the Institution's central administration for accountability

Return Reference	Explanation
Schedule F, Part I, Line 3 foreign travel	Program services for travel related to research, conferences and training is for travel by SI employees, research associates, or invitational travelers (i e , individuals who are not SI employees) Only travel essential to the performance of official Smithsonian business and for which travel-related expenses are to be paid by the Smithsonian, can be approved, authorized, and reimbursed

Return Reference	Explanation
Schedule F, Part I, Line 3 investments	Investments in regions include investments in foreign partnerships and foreign corporations The foreign region is determined by the country whose laws govern the investment entity The value reported represents the fair market value of the investment at the end of the fiscal year

Return Reference	Explanation
Schedule F, Part I, Line 3 Academic appointments (stipends)	Per Form 990 instructions, stipends are reported on Schedule F if the person receiving the stipend is living or residing outside the United States at the time the stipend is paid or distributed However, many of these stipend recipients later traveled to the Smithsonian in the United States to perform their research

Return Reference	Explanation
Schedule F, Part I, Line 2 PROCEDURES FOR MONITORING USE OF GRANT FUNDS	The Office of Fellowships has central management and administrative responsibility for the Smithsonian programs of research fellowships and other academic appointments for undergraduate, graduate students, postdoctoral and senior scholars The Smithsonian Institution Fellowship Program is a competitive fellowship program for graduate and postdoctoral fellows, who apply to conduct research at the Institution with research staff serving as advisors The review process is made up of disciplinary committees comprised of the Institution's staff who evaluate the candidates and then select the fellows There are other competitive and non-competitive fellowships for visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selection processes before an award is made An official letter/agreement is provided to each award recipient identifying the award title, dates of tenure, stipend allowances, and required responsibilities for holding this position All recipients either will identify a financial institution for receipt of their monetary award or they will receive US Treasury checks Depending on the tenure of the appointment, payments can range from one lump sum, biweekly payments or monthly payments Most fellowship appointments are awarded for one to two years On occasion, the Smithsonian Institution has visiting scholars or fellows who are conducting research in another country Payments are usually submitted as stated above, however, on occasion, there may be one or two who request that their payments be sent to the country of their research At the end of tenure, a final report of their research accomplishments is provided for our records Smithsonian research staff who serve as advisors to these fellows, students and scholars are usually in the field during their tenure The eight Smithsonian research centers located in the United States and one located in Panama monitor the progress of their fellows especially those fellows in other countries, and the administrative management of funds is managed through the Institution's central administration for accountability

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	,academic appointment stipends		2,334,292
East Asia and the Pacific	0	0	,ACADEMIC APPOINTMENT STIPENDS		826,203

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Europe (Including Iceland and Greenland)	0	0	,ACADEMIC APPOINTMENT STIPENDS		2,247,078
Middle East and North Africa	0	0	,ACADEMIC APPOINTMENT STIPENDS		98,759

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	,ACADEMIC APPOINTMENT STIPENDS		344,364
Russia and Neighboring States	0	0	,ACADEMIC APPOINTMENT STIPENDS		64,800

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South America	0	0	,ACADEMIC APPOINTMENT STIPENDS		514,926
South Asia	0	0	,ACADEMIC APPOINTMENT STIPENDS		58,872

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Sub-Saharan Africa	0	0	,ACADEMIC APPOINTMENT STIPENDS		99,675
Central America and the Caribbean	0	0	Investments		845,532,368

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
East Asia and the Pacific	0	0	Investments		5,647,526
Europe (Including Iceland and Greenland)	0	0	Investments		86,040,266

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Investments		15,580,926
Sub-Saharan Africa	0	0	Investments		17,698,737

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Central America and the Caribbean	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	607,365
East Asia and the Pacific	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	1,183,896

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Europe (Including Iceland and Greenland)	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	2,045,023
Middle East and North Africa	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	128,103

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
North America (Canada & Mexico only)	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	534,693
Russia and Neighboring States	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	96,376

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South America	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	454,286
South Asia	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	100,474

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Sub-Saharan Africa	0	0	Program Services	TRAVEL RELATED TO RESEARCH, CONFERENCES AND TRAINING	479,711
Central America and the Caribbean	7	542	Program Services	RESEARCH FACILITIES	25,419,144

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
East Asia and the Pacific	0	0	Program Services	TROPICAL RESEARCH, FOREST AND WILDLIFE	306,038
Europe (Including Iceland and Greenland)	1	5	Program Services	SCIENTIFIC RESEARCH	528,681

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
Russia and Neighboring States	1	15	Program Services	JOINT PROGRAM WITH USAID FOR COMMUNITY BASED TOURISM DEVELOPMENT IN ARMENIA	449,596
South America	1	6	Program Services	TROPICAL RESEARCH, FOREST AND WILDLIFE	158,392

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

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i e , fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South Asia	0	0	Program Services	TROPICAL RESEARCH, FOREST AND WILDLIFE	66,405
Sub-Saharan Africa	1	15	Program Services	TROPICAL RESEARCH, FOREST AND WILDLIFE	362,352

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S

(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	Central America and the Caribbean	272	2,334,292	DIRECT DEPOSIT AND CHECKS			
Academic Appointment Stipends	East Asia and the Pacific	32	826,203	DIRECT DEPOSIT AND CHECK			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S

(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	Europe (Including Iceland and Greenland)	87	2,055,015	DIRECT DEPOSIT AND CHECK			
Academic Appointment Stipends	Middle East and North Africa	4	98,759	DIRECT DEPOSIT AND CHECK			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S

(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	North America (Canada & Mexico only)	26	344,364	DIRECT DEPOSIT AND CHECK			
Academic Appointment Stipends	Russia and Neighboring States	2	64,800	DIRECT DEPOSIT AND CHECK			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S

(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	South America	35	514,926	DIRECT DEPOSIT AND CHECK			
Academic Appointment Stipends	South Asia	3	58,872	DIRECT DEPOSIT AND CHECK			

Form 990 Schedule F Part III - Grants and Assistance to Individuals Outside The U S

(a) Type of grant or assistance	(b) Region	(c)Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (book, FMV, appraisal, other)
Academic Appointment Stipends	Sub-Saharan Africa	3	99,675	DIRECT DEPOSIT AND CHECK			

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SCHEDULE G (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information Regarding Fundraising or Gaming Activities

Complete if the organization answered "Yes" on Form 990, Part IV, lines 17, 18, or 19, or if the organization entered more than $15,000 on Form 990-EZ, line 6a

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule G (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I **Fundraising Activities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 17. Form 990-EZ filers are not required to complete this part.

1 Indicate whether the organization raised funds through any of the following activities Check all that apply

- **a** ☑ Mail solicitations
- **b** ☑ Internet and email solicitations
- **c** ☑ Phone solicitations
- **d** ☑ In-person solicitations
- **e** ☑ Solicitation of non-government grants
- **f** ☑ Solicitation of government grants
- **g** ☑ Special fundraising events

2a Did the organization have a written or oral agreement with any individual (including officers, directors, trustees or key employees listed in Form 990, Part VII) or entity in connection with professional fundraising services? ☑ **Yes** ☐ **No**

b If "Yes," list the ten highest paid individuals or entities (fundraisers) pursuant to agreements under which the fundraiser is to be compensated at least $5,000 by the organization

	(i) Name and address of individual or entity (fundraiser)	(ii) Activity	(iii) Did fundraiser have custody or control of contributions? Yes	(iii) No	(iv) Gross receipts from activity	(v) Amount paid to (or retained by) fundraiser listed in col (i)	(vi) Amount paid to (or retained by) organization
1	Avalon Consulting Group Inc 805 15th Street NW Washington, DC 20005	Direct Mktg/consultant		No		2,450,415	-2,450,415
2	Community Counselling Service Co LLC 3349 Highway 138 Wall, NJ 07719	Fundraising Consultant		No		373,201	-373,201
3	Ologie LLC 447 E Main St Columbus, OH 43215	Fundraising Consultant		No		368,119	-368,119
4	Blackbaud Inc Po Box 930256 Atlanta, GA 311930256	Fundraising Consultant		No		154,116	-154,116
5	SD&A Teleservices Inc 101 CONTINENTAL BLVD EL SEGUNDO, CA 902454515	Telemarketing Services		No		78,376	-78,376
6	Donor Services Group LLC 1200 Wilshire Blvd Los Angeles, CA 90017	Telemarketing Services		No		53,624	-53,624
7	Marts & Lundy Inc 1200 Wall St W Lyndhurst, NJ 070713680	Fundraising Consultant		No		5,900	-5,900
8							
9							
10							
Total		▶			0	3,483,751	-3,483,751

3 List all states in which the organization is registered or licensed to solicit contributions or has been notified it is exempt from registration or licensing

Part II **Fundraising Events.** Complete if the organization answered "Yes" on Form 990, Part IV, line 18, or reported more than $15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than $5,000.

		(a) Event #1 HIRSHHORN MUSEUM gala (event type)	(b) Event #2 AMERICAN PORTRAIT GALA (event type)	(c) Other events 17 (total number)	(d) Total events (add col (a) through col (c))
Revenue	1 Gross receipts	1,162,003	1,032,663	4,679,509	6,874,175
	2 Less Contributions	1,056,386	966,183	3,275,097	5,297,666
	3 Gross income (line 1 minus line 2)	105,617	66,480	1,404,412	1,576,509
Direct Expenses	4 Cash prizes				
	5 Noncash prizes				
	6 Rent/facility costs	-5,790	15,003	141,767	150,980
	7 Food and beverages	95,585	178,991	696,847	971,423
	8 Entertainment	3,047		18,639	21,686
	9 Other direct expenses	421,614	307,167	1,671,678	2,400,459
	10 Direct expense summary Add lines 4 through 9 in column (d) ▶				3,544,548
	11 Net income summary Subtract line 10 from line 3, column (d) ▶				-1,968,039

Part III **Gaming.** Complete if the organization answered "Yes" on Form 990, Part IV, line 19, or reported more than $15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/Instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col (a) through col (c))
Revenue	1 Gross revenue				
Direct Expenses	2 Cash prizes				
	3 Noncash prizes				
	4 Rent/facility costs				
	5 Other direct expenses				
	6 Volunteer labor	☐ Yes ____% ☐ No	☐ Yes ____% ☐ No	☐ Yes ____% ☐ No	
	7 Direct expense summary Add lines 2 through 5 in column (d) ▶				
	8 Net gaming income summary Subtract line 7 from line 1, column (d) ▶				

9 Enter the state(s) in which the organization conducts gaming activities _____

a Is the organization licensed to conduct gaming activities in each of these states? ☐ Yes ☐ No

b If "No," explain _____

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? ☐ Yes ☐ No

b If "Yes," explain _____

11 Does the organization conduct gaming activities with nonmembers? ☐ Yes ☐ No

12 Is the organization a grantor, beneficiary or trustee of a trust or a member of a partnership or other entity formed to administer charitable gaming? ☐ Yes ☐ No

13 Indicate the percentage of gaming activity conducted in

a The organization's facility	**13a**	%
b An outside facility	**13b**	%

14 Enter the name and address of the person who prepares the organization's gaming/special events books and records

Name ▶ ----------

Address ▶ ----------

15a Does the organization have a contract with a third party from whom the organization receives gaming revenue? ☐ Yes ☐ No

b If "Yes," enter the amount of gaming revenue received by the organization ▶ $ _____ and the amount of gaming revenue retained by the third party ▶ $ _____

c If "Yes," enter name and address of the third party

Name ▶ ----------

Address ▶ ----------

16 Gaming manager information

Name ▶ ----------

Gaming manager compensation ▶ $----------

Description of services provided ▶ ----------

☐ Director/officer ☐ Employee ☐ Independent contractor

17 Mandatory distributions

a Is the organization required under state law to make charitable distributions from the gaming proceeds to retain the state gaming license? ☐ Yes ☐ No

b Enter the amount of distributions required under state law distributed to other exempt organizations or spent in the organization's own exempt activities during the tax year ▶ $

Part IV **Supplemental Information.** Provide the explanations required by Part I, line 2b, columns (iii) and (v); and Part III, lines 9, 9b, 10b, 15b, 15c, 16, and 17b, as applicable. Also provide any additional information (see instructions).

Return Reference	Explanation
Schedule G, Part I, Line 2b	SI engaged multiple fundraising services and many work on the same campaigns It is not possible to accurately report the exact amount of revenue associated with each fundraiser None of these fundraisers had control of contributions, all were paid under the terms of negotiated contracts SI closely monitors fundraising performance against established campaign goals for its contractors, and results are taken into consideration in future contract negotiations Payments to Avalon Consulting Group of approximately $2,518,169 are not reported in Part I This amount is for reimbursements related to expenses for postage, printing and mailing lists
Schedule G, Part I, Line 3	SI is a trust instrumentality of the U S and as such is exempt from state regulations pursuant to the Supremacy Clause of the U S Constitution All states that have inquired about SI fundraising solicitation registration have acknowledged this exemption

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Schedule I (Form 990)

Department of the Treasury
Internal Revenue Service

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

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

▶ **Attach to Form 990.**

▶ **Information about Schedule I (Form 990) and its instructions is at *www.irs.gov/form990*.**

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I General Information on Grants and Assistance

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

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

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments.

Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than $5,000 Part II can be duplicated if additional space is needed

(a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) See Additional Data							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . . . ▶ 8

3 Enter total number of other organizations listed in the line 1 table . . . . . ▶ 0

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

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1) Academic Appointment Stipends	1033	11,590,626			
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

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

Return Reference	Explanation
Schedule I, Part I, Line 2 Procedures for monitoring use of grant funds	The Office of Fellowships has central management and administrative responsibility for the Smithsonian programs of research fellowships and other academic appointments for undergraduate, graduate students, postdoctoral and senior scholars The Smithsonian Institution Fellowship Program is a competitive fellowship program for graduate and postdoctoral fellows, who apply to conduct research at the Institution with research staff serving as advisors The review process is made up of disciplinary committees comprised of the Institution's research staff who evaluate the candidates and then select the fellows There are other competitive and non-competitive fellowships for visiting scholar and student appointees selected through the Smithsonian units that go through a variety of other selections processes before an award is made An official letter/agreement is provided to each award recipient identifying the award title, dates of tenure, stipend allowances, and required responsibilities for holding this position All recipients either will identify a financial institution for receipt of their monetary award or they will receive US Treasury checks Depending on the tenure of the appointment, payments may be made in a lump sum or in periodic payments Most fellowship appointments are awarded for one to two years At the end of tenure, a final report of their research accomplishments is provided for our records Smithsonian research staff who serve as advisors to these fellows, students and scholars are usually in the field during their tenure The individual Smithsonian research centers monitor the progress of their fellows, and the funds are managed through the Institution's central administration to ensure accountability Similar processes are followed for awards made to organizations whose academic staff perform the related research

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	**(b)** EIN	**(c)** IRC section if applicable	**(d)** Amount of cash grant	**(e)** Amount of non-cash assistance	**(f)** Method of valuation (book, FMV, appraisal, other)	**(g)** Description of non-cash assistance	**(h)** Purpose of grant or assistance
ARIZONA STATE UNIVERSITY 300 E LEMON ST TEMPE, AZ 85287	86-0196696	115	8,000				ACADEMIC APPT STIPEND
GEORGE WASHINGTON UNIVERSITY 45155 RESEARCH PL ASHBURN, VA 201474198	53-0196584	501(C)(3)	10,000				ACADEMIC APPT STIPEND

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
PRES & FELLOWS OF HARVARD COLLEGE 1033 MASS AVE CAMBRIDGE, MA 02138	04-2103580	501(C)(3)	85,008				ACADEMIC APPT STIPEND
INDIANA UNIVERSITY 400 E 7TH ST BLOOMINGTON, IN 474053024	35-6001673	115	14,977				ACADEMIC APPT STIPEND

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
UNIVERSITY OF UTAH 201 S PRES CIRCLE SALT LAKE CITY, UT 84112	87-6000525	115	10,000				ACADEMIC APPT STIPEND
UNIVERSITY OF WISCONSIN-MADISON 21N PARK STREET MADISON, WI 537151218	39-6006492	115	5,650				ACADEMIC APPT STIPEND

Form 990,Schedule I, Part II, Grants and Other Assistance to Domestic Organizations and Domestic Governments.

(a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
UTAH STATE UNIVERSITY 1590 OLD MAN HILL RM 64 LOGAN, UT 843221415	87-6000528	115	8,000				ACADEMIC APPT STIPEND
W VIRGINIA UNIV RESEARCH CORP CHESTNUT RIDGE RD MORGANTOWN, WV 26506	55-0665758	501(C)(3)	20,130				ACADEMIC APPT STIPEND

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Schedule J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**

▶ **Attach to Form 990.**

▶ **Information about Schedule J (Form 990) and its instructions is at *www.irs.gov/form990*.**

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropiate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items			
	☑ First-class or charter travel	☐ Housing allowance or residence for personal use		
	☑ Travel for companions	☐ Payments for business use of personal residence		
	☐ Tax idemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (e g , maid, chauffeur, chef)		
b	If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	**1b**	Yes	
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?	**2**	Yes	
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director Check all that apply Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III			
	☑ Compensation committee	☐ Written employment contract		
	☑ Independent compensation consultant	☑ Compensation survey or study		
	☐ Form 990 of other organizations	☑ Approval by the board or compensation committee		
4	During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization			
a	Receive a severance payment or change-of-control payment?	**4a**	Yes	
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	**4b**		No
c	Participate in, or receive payment from, an equity-based compensation arrangement?	**4c**		No
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III			
	Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.			
5	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of			
a	The organization?	**5a**		No
b	Any related organization?	**5b**		No
	If "Yes," on line 5a or 5b, describe in Part III			
6	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of			
a	The organization?	**6a**		No
b	Any related organization?	**6b**		No
	If "Yes," on line 6a or 6b, describe in Part III			
7	For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III	**7**		No
8	Were any amounts reported on Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regulations section 53 4958-4(a)(3)? If "Yes," describe in Part III	**8**		No
9	If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)?	**9**		

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

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

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

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

Part III Supplemental Information

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

Return Reference	Explanation
Schedule J, Part I, Line 1a First Class Travel	One officer listed in Part VII, Section A was authorized for first class travel for bona-fide business purposes when the circumstances of their travel met the requirements of the Smithsonian's travel policy for such travel and first class travel was approved in each instance by that individual's designated "approving official" for travel The Smithsonian's travel policy is guided by the Federal Travel Regulations as supplemented by the Smithsonian's Travel handbook The accountable plan for travel reimbursements maintained by the Smithsonian meets IRS requirements, therefore no portion of this travel was treated as taxable compensation
Schedule J, Part I, Line 1a Travel for companions	Travel was authorized for the spouse of a person listed in Part VII, Section A when the circumstances of that travel met the requirements of the Smithsonian's policy for such travel The Smithsonian's policy for payment of spousal or dependent family member travel permits such payment only in limited, exceptional cases, when there is a demonstrated bona fide business purpose for the travel and the travel furthers the mission of the Smithsonian, beyond mere attendance at an event or the performance of incidental services Such travel is authorized only if approved by the Office of General Counsel and the Office of the Under Secretary for Finance and Administration/Chief Financial Officer in advance In the calendar year 2017, six domestic trips and one international trip were approved for the spouse of an officer Each trip was authorized consistent with policy Because it was determined that there was a bona fide business purpose for each trip, the cost of the trips was not treated as taxable income
Schedule J, Part I, Line 4a Severance or change-of-control payment	Mark Bauman, senior vice president of smithsonian media, received severance of $30,006 during calendar year 2017 on terms consistent with standards in the industry

Additional Data

Software ID: 17005876
Software Version: 2017v2.2
EIN: 53-0206027
Name: Smithsonian Institution

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

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1David Skorton	(I)	819,470	20,000	5,334	40,560	10,981	896,345	0
Secretary	(II)	0	0	0	0	0	0	0
1Cathy Helm	(I)	182,994	0	0	0	20,941	203,935	0
Inspector General	(II)	0	0	0	0	0	0	0
2Albert Horvath	(I)	417,223	10,000	1,806	40,560	18,970	488,559	0
Under Secretary Finance & Administration/COO	(II)	0	0	0	0	0	0	0
3Judith Leonard	(I)	196,899	5,000	2,310	28,766	9,674	242,649	0
General Counsel	(II)	0	0	0	0	0	0	0
4Porter Wilkinson	(I)	182,132	10,000	163	26,307	3,664	222,266	0
Chief of Staff - Regents	(II)	0	0	0	0	0	0	0
5Patricia Bartlett	(I)	189,950	5,000	2,219	27,781	12,263	237,213	0
Associate Provost for Education & Access	(II)	0	0	0	0	0	0	0
6Nancy Bechtol	(I)	194,282	3,000	751	27,688	814	226,535	0
Director - Facilities	(II)	0	0	0	0	0	0	0
7Deron Burba	(I)	194,017	3,000	424	29,105	24,288	250,834	0
Chief Information Officer	(II)	0	0	0	0	0	0	0
8Amy Chen	(I)	263,889	167,843	1,685	37,813	1,100	472,330	0
Chief Investment Officer	(II)	0	0	0	0	0	0	0
9Virginia Clark	(I)	215,184	30,000	1,872	18,692	7,247	272,995	0
Assistant Secretary for advancement	(II)	0	0	0	0	0	0	0
10Bruce Dauer	(I)	164,477	64,606	2,238	22,005	4,577	257,903	0
Vice President Finance/Adm - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0
11John Davis	(I)	134,575	90,000	695	15,535	6,897	247,702	0
Provost/Under Secretary for Museum and Research	(II)	0	0	0	0	0	0	0
12Zully Dorr	(I)	203,581	5,000	350	30,349	18,327	257,607	0
Acting Assistant Director for Advancement	(II)	0	0	0	0	0	0	0
13James Douglas	(I)	188,795	2,500	1,280	13,766	2,242	208,583	0
Director - Office of Human Resources	(II)	0	0	0	0	0	0	0
14Waltrunette Gardner	(I)	155,397	3,000	0	8,053	18,289	184,739	0
Acting Director - Office of Human Resources	(II)	0	0	0	0	0	0	0
15Jean Garvin	(I)	186,230	2,500	1,146	27,612	19,542	237,030	0
Director - Finance & Accounting	(II)	0	0	0	0	0	0	0
16Dennis Kelly	(I)	295,461	4,000	2,006	40,560	18,835	360,862	0
Interim President - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0
17Richard Kurin	(I)	330,126	10,000	4,369	45,510	14,791	404,796	0
Acting Provost/Under Secretary for Museum and Research	(II)	0	0	0	0	0	0	0
18John Lapiana	(I)	197,520	10,000	777	28,611	9,578	246,486	0
Acting Assistant Secretary - Communication & External Affairs	(II)	0	0	0	0	0	0	0
19Christopher Liedel	(I)	440,390	141,211	2,086	39,540	32,196	655,423	0
President - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0

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

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
21Era Marshall	(I)	178,345	5,000	0	0	18,582	201,927	0
Director - Equal Employment & Minority Affairs	(II)	0	0	0	0	0	0	0
1Carolyn Martin	(I)	152,852	5,000	924	22,795	30,571	212,142	0
Acting Assistant Secretary - Communication & External Affairs	(II)	0	0	0	0	0	0	0
2David Voyles	(I)	182,768	5,000	0	7,011	9,159	203,938	0
Director - Planning, Management & Budget	(II)	0	0	0	0	0	0	0
3Mark Bauman	(I)	259,756	68,789	31,093	35,817	2,469	397,924	0
Senior Vice President Media - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0
4Michael Caruso	(I)	323,573	77,940	1,491	39,540	33,318	475,862	0
EDITOR IN CHIEF - SMITHSONIAN MAGAZINE	(II)	0	0	0	0	0	0	0
5Melissa Chiu	(I)	402,167	3,000	648	40,560	27,678	474,053	0
Director - Hirshhorn Museum	(II)	0	0	0	0	0	0	0
6Edward R Howell	(I)	280,434	87,245	3,644	39,540	21,185	432,048	0
Senior Vice President Retail Group - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0
7Amy Wilkens	(I)	265,254	74,974	1,188	39,540	30,610	411,566	0
Chief Revenue Officer - Smithsonian Enterprises	(II)	0	0	0	0	0	0	0
8Kenneth Johnson	(I)	183,211	3,000	0	9,160	364	195,735	0
Former Acting Director - Planning, Management & Budget	(II)	0	0	0	0	0	0	0
9John Kress	(I)	164,307	3,000	0	8,544	20,019	195,870	0
Former Interim Under Secretary - Science	(II)	0	0	0	0	0	0	0

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Schedule K (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Information on Tax-Exempt Bonds

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

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Bond Issues

	(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Defeased		(h) On behalf of issuer		(i) Pool financing	
							Yes	No	Yes	No	Yes	No
A	Fairfax County Economic Development Authority	54-0787833	30382ECZ5	12-03-2003	77,545,000	To construct a museum		X		X		X
B	District of Columbia	53-6001131	2548397S6	04-29-2010	33,825,749	Refunding of 1997 Bonds		X		X		X

Part II Proceeds

		A	B	C	D
1	Amount of bonds retired	0	10,975,000		
2	Amount of bonds legally defeased	0	0		
3	Total proceeds of issue	77,545,000	33,825,749		
4	Gross proceeds in reserve funds	0	0		
5	Capitalized interest from proceeds	0	0		
6	Proceeds in refunding escrows	0	0		
7	Issuance costs from proceeds	530,475	612,994		
8	Credit enhancement from proceeds	6,161	0		
9	Working capital expenditures from proceeds	0	0		
10	Capital expenditures from proceeds	77,008,364	0		
11	Other spent proceeds	0	33,212,755		
12	Other unspent proceeds	0	0		
13	Year of substantial completion	2003	2010		

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
14	Were the bonds issued as part of a current refunding issue?		X	X					
15	Were the bonds issued as part of an advance refunding issue?		X		X				
16	Has the final allocation of proceeds been made?	X		X					
17	Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X					

Part III Private Business Use

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

Part III Private Business Use (Continued)

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
3a	Are there any management or service contracts that may result in private business use of bond-financed property?		X	X					
b	If "Yes" to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?			X					
c	Are there any research agreements that may result in private business use of bond-financed property?		X		X				
d	If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?								
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶		0 %		0 %				
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶		0 %		9 95 %				
6	Total of lines 4 and 5		0 %		9 95 %				
7	Does the bond issue meet the private security or payment test?		X		X				
8a	Has there been a sale or disposition of any of the bond-financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued?		X		X				
b	If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of								
c	If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1 141-12 and 1 145-2?								
9	Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1 141-12 and 1 145-2?	X		X					

Part IV Arbitrage

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

Part IV Arbitrage (Continued)

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

Part V Procedures To Undertake Corrective Action

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

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

Return Reference	Explanation
Schedule K, Part I, Column (f) Bond Issues, Line B	The issue date of the current refunded bonds was January 1, 1998

Return Reference	Explanation
Schedule K, Part III, Line 5 Private Business Use, Column B	The percentage of financed property used in private business use as a result of unrelated trade or business activity is based on the percentage of unrelated revenue in the gift shop and theater within the space financed by this bond issue The private business use for the current year was in excess of 5% However, the private business use is being monitored and will remain under 5% for the entire measurement period (1998-2028)

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SCHEDULE M (Form 990)

Department of the Treasury
Internal Revenue Service

Noncash Contributions

▶Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.
▶Information about Schedule M (Form 990) and its instructions is at www.irs.gov/form990

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I Types of Property

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art	X	2,892		NONE
2 Art—Historical treasures				
3 Art—Fractional interests	X	20		NONE
4 Books and publications				
5 Clothing and household goods				
6 Cars and other vehicles	X	1	1,300,000	Market value
7 Boats and planes				
8 Intellectual property				
9 Securities—Publicly traded	X	276	18,284,799	Market value
10 Securities—Closely held stock				
11 Securities—Partnership, LLC, or trust interests				
12 Securities—Miscellaneous				
13 Qualified conservation contribution—Historic structures				
14 Qualified conservation contribution—Other				
15 Real estate—Residential				
16 Real estate—Commercial				
17 Real estate—Other				
18 Collectibles	X	10,036		NONE
19 Food inventory				
20 Drugs and medical supplies				
21 Taxidermy				
22 Historical artifacts	X	4,365		NONE
23 Scientific specimens	X	75,961		NONE
24 Archeological artifacts	X	78		NONE
25 Other ▶ (Goods)	X	24	1,488,581	Market value
26 Other ▶ (Archival CF/LF)	X	1,153		NONE
27 Other ▶ (Archival Items)	X	9,205		NONE
28 Other ▶ (Archival GB)	X	321		NONE

			Yes	No
29	Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement	29	69	
30a	During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period?	30a		No
b	If "Yes," describe the arrangement in Part II			
31	Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions?	31	Yes	
32a	Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?	32a	Yes	
b	If "Yes," describe in Part II			
33	If the organization did not report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II			

Part II **Supplemental Information.**

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

Return Reference	Explanation
Schedule M, Part I, Line 3 Art	Fractional Interests SEVEN at 20%, one at 50%, TWELVE AT 50%
Schedule M, Part I, Line 6 CARS AND OTHER VEHICLES	THE INSTITUTION RECEIVED THE "MARS EXPERIENCE" BUS USING A TRADITIONAL SCHOOL BUS OUTFITTED WITH AUDIO AND VISUAL TECHNOLOGY, THE INTERACTIVE EXPERIENCE VIRTUALLY TRANSPORTS VISITORS TO THE RED PLANET AND GIVES THEM A CHANCE TO SEE WHAT IT MIGHT BE LIKE TO BE ON MARS THE "MARS EXPERIENCE" WAS PRODUCED AND DONATED TO THE SMITHSONIAN INSTITUTION BY LOCKHEED MARTIN
Schedule M, Part I, Line 33	IN ACCORDANCE WITH PROFESSIONAL PRACTICE, AS ALLOWED BY SFAS 116, THE SMITHSONIAN DOES NOT ASSIGN VALUE TO COLLECTION ITEMS ACQUIRED BY DONATION
Schedule M, Part I, Line 32b Third parties used to solicit, process, or sell noncash contributions	Items are sold through commercial galleries and auctions houses Individuals and firms are hired on a contractual basis to process acquisitions Although the Smithsonian acquires collection with the good faith intention of retaining them for an indefinite period of time, prudent collections management includes judicious consideration of appropriate deaccessioning and disposal to refine and improve the quality and relevance of the collections with respect to the Smithsonian's mission and purpose When objects are deaccessioned for disposal by sale, the Smithsonian contracts with commercial galleries or auction houses to sell the objects in order to assure the best return from the sale

SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part V, Line 7h	THE SMITHSONIAN INSTITUTION RECEIVED A DONATION OF TWO HISTORICAL AIRPLANES 1098-C'S WERE ISSUED FOR THESE DONATIONS THE PLANES WERE ACCESSIONED INTO THE NATIONAL AIR AND SPACE M USEUM COLLECTION CONSISTENT WITH THE SMITHSONIAN'S POLICY ON ACCESSIONING OBJECTS INTO IT S COLLECTIONS, THE PLANES WERE ACQUIRED WITH THE INTENTION OF MAINTAINING THEM FOR PUBLIC EDUCATION AND RESEARCH FOR AN INDEFINITE PERIOD OF TIME

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 1a Delegate broad authority to a committee	The Bylaws of the organization delegate authority to the Executive Committee to act on beh alf of the Board of Regents when the Board of Regents is not in session The Board of Rege nts elects from its members an Executive Committee consisting of three members The Execut ive Committee has and may exercise all powers of the Board of Regents when the Board of Re gents is not in session, except those expressly reserved to itself by the Board of Regents , provided that all such proceedings are reported to the Governance and Nominating Committ ee and the Board of Regents on a regular basis The Chair of the Board serves as Chair of the Executive Committee The Vice Chair of the Board serves as a member of the Executive C ommittee

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 7a Members or stockholders electing members of governing body	Pursuant to federal statute, the Board of Regents consists of the Vice President of the Un ited States, the Chief Justice of the United States, three members of the U S Senate, thr ee members of the U S House of Representatives, and nine additional citizen Regents The three Senators are appointed by the President Pro Tempore of the U S Senate, and the thre e members of the House of Representatives are appointed by the Speaker of the House of Rep resentatives Their appointment terms coincide with the terms for which they are elected, and they may be reappointed if re-elected The citizen Regents are nominated by the Board of Regents, and appointed by a Joint Resolution of Congress which is signed by the Preside nt of the United States

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 11b Review of form 990 by governing body	The Form 990 return is reviewed by the Director of Finance and Accounting, the Office of G eneral Counsel, Chief Operating Officer and the Secretary of the Smithsonian The return i s also reviewed by an independent accounting firm After this review process, the 990 is m ade available to the full Board for its review and comment The Audit & Review Committee c onducts a final review of the return at a regularly scheduled Committee meeting prior to i ts filing

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 12c Conflict of interest policy	All officers, key employees, and certain other employees are required to complete and file annually a Confidential Financial Disclosure Report These Reports - which require disclo sure of certain assets, earned income, liabilities, outside positions, outside contracts a nd agreements, gifts, hospitality, reimbursements, and other interests related to the empl oyee's Smithsonian position - are reviewed by the Institution's Office of General Counsel for compliance with applicable conflict of interest policies and laws In addition to this required reporting, all key employees are required to comply with the Institution's Stand ards of Conduct, which, among other things, requires that employees not engage in private or personal activities that might conflict or appear to conflict with Smithsonian interest s, requires that employees obtain Office of General Counsel approval before engaging in an outside activity for compensation, and requires employees to consult with the Office of G eneral Counsel whenever a doubt exists as to whether an activity or planned activity viola tes the Standards All members of the Smithsonian's governing body are required to complet e and file annually the Board of Regents Annual Disclosure Statement These statements - w hich require reporting by members (including any reportable interests held by immediate fa mily of members) on outside positions and substantial shareholding in for-profit business entities, outside positions in non-profit entities, and interests and affiliations of the member that have or sought to have a relationship to the Smithsonian - are reviewed by the Institution's General Counsel for compliance with applicable conflict of interest policie s and laws In addition to this required reporting, all members of the Smithsonian's gover ning body are required to comply with the Board of Regents Ethics Guidelines, which, among other things, define conflicts of interest and establish procedures for disclosing and re porting of conflicts and recusal from decision-making

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 15a Process to establish compensation of top management official	The Smithsonian ensures that compensation paid to officers and other key employees is reas onable and comparable to similar organizations Employees of the Smithsonian may be paid w ith federally appropriated funds or with nonfederal ("Trust") funds Most Trust funded (no nfederal) officer and key employee positions are subject to market-based compensation, and the Board of Regent's Committee on Compensation and Human Resources engages an independen t consultant to develop and assemble comparability data for its consideration and to infor m its decisions The Committee's annual deliberations and decisions are documented as part of the final recommendation materials submitted to the Board of Regents Salaries for Fed eral employees are determined by statutorily established pay ranges for civil service empl oyees As a matter of policy, the Smithsonian has established similar ranges for certain T rust funded officer and key employee positions and maintains those ranges in proportion to the appropriate Federal pay ranges

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 15b Process to establish compensation of other employees	See explanation for Part VI, Line 15a

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VI, Line 19 Required documents available to the public	The Smithsonian makes its governing documents, statement of values and code of ethics, and audited financial statements available on its public website (www si edu) Documents may also be viewed at the Office of Finance and Accounting or mailed

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VIII, Line 11b	Insurance funds were received for reimbursement and support for future conservation, resul ting from a fire sprinkler malfunction in July 2017 in a leased collection storage facilit y

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part VIII, Line 2f Other Program Service Revenue	Content - Total Revenue 100000, Related or Exempt Function Revenue , Unrelated Business Revenue 100000, Revenue Excluded from Tax Under Sections 512, 513, or 514 ,

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part XI, Line 9 Other changes in net assets or fund balances	CHANGE IN RELATED PARTY NET ASSETS - 615814, DEFERRED GAIN ON BUILDING - 3908588, CHANGE I N MINORITY INTEREST - SNI-SI NETWORKS LLC - 2921838, ENVIRONMENTAL REMEDIATION OBLIGATION FASB ASC 410-20 - 21661,

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990, Part XII, Line 2b	THE SMITHSONIAN INSTITUTION IS SEPARATELY AUDITED THE SMITHSONIAN INSTITUTION'S AUDITED F INANCIAL STATEMENTS ARE INCLUDED IN THE UNITED STATES GOVERNMENT'S CONSOLIDATED AUDITED FI NANCIAL STATEMENTS

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990 Page 1, Line K	The Smithsonian Institution is a trust instrumentality of the U S , created by Congress, organized pursuant to 20 U S C sec 41 et seq

990 Schedule O, Supplemental Information

Return Reference	Explanation
Form 990 Page 1, Line M	State of Legal Domicile As a trust instrumentality of the United States, the Smithsonian Institution is a federal entity that is not domiciled in any state

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PART IV LINE 12B AUDITED FINANCIAL STATEMENTS	THE SMITHSONIAN'S AUDITED FINANCIAL STATEMENTS ARE INCLUDED IN THE UNITED STATES GOVERNMENT'S CONSOLIDATED AUDITED FINANCIAL STATEMENTS

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SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
▶ Attach to Form 990.
▶ Information about Schedule R (Form 990) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2017

Open to Public Inspection

Name of the organization
Smithsonian Institution

Employer identification number
53-0206027

Part I **Identification of Disregarded Entities** Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II **Identification of Related Tax-Exempt Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity? Yes	(g) No
(1) Clay Fellowships Charitable Trust 10 Memorial Boulevard Providence, RI 02903 04-3560268	Support of Smithsonian Astrophysical Observatory	MA	501(c)(3)	Type III-O	NA		No
(2) Smithsonian UK Charitable Trust	Advance the work of the Smithsonian Institution worldwide	UK	501(c)(3)		Smithsonian Institution	Yes	

Part III **Identification of Related Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproprtionate allocations? Yes	(h) No	(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner? Yes	(j) No	(k) Percentage ownership
(1) BLACKBIRD 1846 ENERGY FUND LP 10000 MEMORIAL DRIVE SUITE 550 HOUSTON, TX 77024 47-3887280	INVESTMENTS	DE	BLACKBIRD 1846 ENERGY FUND GP LP	Excluded	-1,581,518	33,644,054		No	-708,624		No	100 %

Part IV **Identification of Related Organizations Taxable as a Corporation or Trust** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity? Yes	(i) No
(1) Charitable Remander Trusts (2) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	WA	NA	Trust				Yes	
(2) Charitable Remainder Trusts (2) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	MA	NA	Trust				Yes	
(3) Charitable Remiander Trusts (1) 1000 Jefferson Drive SW Washington, DC 20560	Chritable Remainder Trust	MI	NA	Trust				Yes	
(4) Charitable Remainder Trusts (5) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	NY	NA	Trust				Yes	
(5) Charitable Remainder Trusts (4) 1000 Jefferson Drive SW Washington, DC 20560	Charitable Remainder Trust	VA	NA	Trust				Yes	
(6)REVETAS SIV I LP	INVESTMENTS	GK	REVETAS GP II LIMITED	C Corporation			100 %	Yes	

Part V Transactions With Related Organizations Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule

		Yes	No
1 During the tax year, did the orgranization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?			
a Receipt of **(i)** interest, **(ii)**annuities, **(iii)** royalties, or**(iv)** rent from a controlled entity	1a		No
b Gift, grant, or capital contribution to related organization(s)	1b		No
c Gift, grant, or capital contribution from related organization(s)	1c	Yes	
d Loans or loan guarantees to or for related organization(s)	1d		No
e Loans or loan guarantees by related organization(s)	1e		No
f Dividends from related organization(s)	1f		No
g Sale of assets to related organization(s)	1g		No
h Purchase of assets from related organization(s)	1h		No
i Exchange of assets with related organization(s)	1i		No
j Lease of facilities, equipment, or other assets to related organization(s)	1j		No
k Lease of facilities, equipment, or other assets from related organization(s)	1k		No
l Performance of services or membership or fundraising solicitations for related organization(s)	1l		No
m Performance of services or membership or fundraising solicitations by related organization(s)	1m		No
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n		No
o Sharing of paid employees with related organization(s)	1o		No
p Reimbursement paid to related organization(s) for expenses	1p		No
q Reimbursement paid by related organization(s) for expenses	1q		No
r Other transfer of cash or property to related organization(s)	1r	Yes	
s Other transfer of cash or property from related organization(s)	1s	Yes	

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1)REVETAS SIV I LP	R	1,653,100	FAIR MARKET VALUE
(2)BLACKBIRD 1846 ENERGY FUND LP	S	4,200,187	FAIR MARKET VALUE

Part VI **Unrelated Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization See instructions regarding exclusion for certain investment partnerships

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(e) Are all partners section 501(c)(3) organizations?		(f) Share of total income	(g) Share of end-of-year assets	(h) Disproprtionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
				Yes	No			Yes	No		Yes	No	

Part VII Supplemental Information

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

Return Reference	Explanation
Schedule R, Part V, Line 1r	DURING FY2018, THE SMITHSONIAN INVESTED IN REVETAS SIV I LP

Return Reference	Explanation
Schedule R, Part V, Line 1s	DURING FY2018, CAPITAL WAS RETURNED FROM INVESTMENT IN BLACKBIRD 1846 ENERGY FUND LP