

Form **990-PF**

Return of Private Foundation

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

OMB No. 1545-0052

2018

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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

For calendar year 2018 or tax year beginning

, and ending

Name of foundation

THE AUEN FOUNDATION

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

P.O. BOX 13390

Room/suite

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

PALM DESERT

CA

92255-3390

Foreign country name

Foreign province/state/country

Foreign postal code

A Employer identification number

95-4325051

B Telephone number (see instructions)

(760) 341-5293

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

- H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at
end of year (from Part II, col (c),
line 16) ▶ \$J Accounting method ☐ Cash ☐ Accrual
☒ Other (specify) MODIFIED CASH

(Part I, column (d) must be on cash basis)

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test,
check here and attach computation ☐E If private foundation status was terminated under
section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination
under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses

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

(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)			
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B			
3 Interest on savings and temporary cash investments	2,252	2,252	
4 Dividends and interest from securities	1,464,655	1,464,655	
5a Gross rents			
b Net rental income or (loss)			
6a Net gain or (loss) from sale of assets not on line 10	441,962		
b Gross sales price for all assets on line 6a	11,990,845		
7 Capital gain net income (from Part IV, line 2)		441,962	
8 Net short-term capital gain			
9 Income modifications			
10a Gross sales less returns and allowances			
b Less Cost of goods sold			
c Gross profit or (loss) (attach schedule)			
11 Other income (attach schedule) SEE SCH. (1)	340,688	306,427	
12 Total. Add lines 1 through 11	2,249,557	2,215,296	
13 Compensation of officers, directors, trustees, etc.			
14 Other employee salaries and wages	370,596		370,596
15 Pension plans, employee benefits	127,811		127,811
16a Legal fees (attach schedule)			
b Accounting fees (attach schedule) SEE SCH. (2)	22,725		22,725
c Other professional fees (attach schedule)			
17 Interest			
18 Taxes (attach schedule) (see instructions) SEE SCH. (3)	87,423	43,923	
19 Depreciation (attach schedule) and depletion SEE SCH. (4)	5,725		
20 Occupancy	12,000	1,200	10,800
21 Travel, conferences, and meetings	4,333		4,333
22 Printing and publications			
23 Other expenses (attach schedule) SEE SCH. (5)	15,901	2,086	13,815
24 Total operating and administrative expenses. Add lines 13 through 23	646,514	47,209	550,080
25 Contributions, gifts, grants paid SEE SCH. (12)	957,300		957,300
26 Total expenses and disbursements. Add lines 24 and 25	1,603,814	47,209	1,507,380
27 Subtract line 26 from line 12			
a Excess of revenue over expenses and disbursements	645,743		
b Net investment income (if negative, enter -0-)		2,168,087	
c Adjusted net income (if negative, enter -0-)			

Operating and Administrative Expenses DEC 31 2019

For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	772,265	963,373	963,373
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) 63,966			
	Less allowance for doubtful accounts ▶ SEE SCH. (6)	78,065	63,966	63,966
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule) SEE SCH. (7)	2,393,236	2,937,782	2,622,742
	c Investments—corporate bonds (attach schedule) SEE SCH. (8)	19,501,862	19,584,004	17,460,607
	11 Investments—land, buildings, and equipment, basis ▶ 5,555,000			
Liabilities	Less accumulated depreciation (attach schedule) ▶ SEE SCH. (9)	5,555,000	5,555,000	2,730,000
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	14 Land, buildings, and equipment basis ▶ 210,385			
	Less accumulated depreciation (attach schedule) ▶ SEE SCH. (9) 78,941	50,310	131,444	131,444
	15 Other assets (describe ▶ See Attached Statement SEE SCH. (10))	5,641,044	5,411,377	6,891,557
	16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	33,991,782	34,646,946	30,863,689
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ Due to related entities)	43,481	52,902	
	23 Total liabilities (add lines 17 through 22)	43,481	52,902	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26, and lines 30 and 31.			
	24 Unrestricted	33,948,301	34,594,044	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	33,948,301	34,594,044	
	31 Total liabilities and net assets/fund balances (see instructions)	33,991,782	34,646,946	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	33,948,301
2 Enter amount from Part I, line 27a	2	645,743
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	34,594,044
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	34,594,044

Part IV Capital Gains and Losses for Tax on Investment Income

a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	See Sch. (11)	P	Various	Various
b				
c				
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a 11,990,845		11,548,883	441,962
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			441,962
b			
c			
d			
e			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	441,962
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8 }	3	

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2017	1,621,572	32,284,333	0.050228
2016	1,711,104	33,547,233	0.051006
2015	1,817,371	35,232,306	0.051583
2014	879,075	36,603,136	0.024016
2013	1,080,825	34,131,980	0.031666

2 Total of line 1, column (d)	2	0.208499
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.041700
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	32,132,502
5 Multiply line 4 by line 3	5	1,339,925
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	21,681
7 Add lines 5 and 6	7	1,361,606
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	1,594,240

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	21,681	
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations, enter 4% of Part I, line 12, col. (b)			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	2		
3	Add lines 1 and 2	3	21,681	
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	21,681	
6	Credits/Payments			
a	2018 estimated tax payments and 2017 overpayment credited to 2018	6a	52,845	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	52,845	
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	31,164	
11	Enter the amount of line 10 to be Credited to 2019 estimated tax <input type="checkbox"/> 31,164 Refunded <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ N/A (2) On foundation managers <input type="checkbox"/> \$ N/A		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ N/A		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If "Yes," has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by <i>General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. AL, CA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2018 or the tax year beginning in 2018? See the instructions for Part XIV. If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions.		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	X	
14 The books are in care of ▶ The Auen Foundation Telephone no ▶ (760) 341-5293 Located at ▶ 75-200 Classic Club Blvd., 2nd Floor, Palm Desert, CA USA ZIP+4 ▶ 92211		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A		
16 At any time during calendar year 2018, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶		X

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

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

	Yes	No
1a During the year, did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions. Organizations relying on a current notice regarding disaster assistance, check here ▶ <input type="checkbox"/>	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2018?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)).		
a At the end of tax year 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20 , 20 , 20 , 20		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2018 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2018.)	3b	N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2018?	4b	X

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

	Yes	No
5a During the year, did the foundation pay or incur any amount to:		
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.	5b N/A	
Organizations relying on a current notice regarding disaster assistance, check here <input type="checkbox"/>		
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A <input type="checkbox"/> Yes <input type="checkbox"/> No		
If "Yes" attach the statement required by Regulations section 53.4945–5(d).		
6a Did the foundation, during the year, receive any funds directly or indirectly, to pay premiums on a personal benefit contract? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	6b	X
If "Yes" to 6b, file Form 8870		
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	7b N/A	
8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

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

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

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SHERRIE AUEN PO BOX 13390, PALM DESERT, CA 92255-3390	Dir. of Programs 40+ Hours	204,013	23,803	NONE
CATHARINE REED PO BOX 13390, PALM DESERT, CA 92255-3390	Asst Dir.-Programs 30+ Hours	142,800	17,972	NONE

Total number of other employees paid over \$50,000 ☐ NONE

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

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

Total number of others receiving over \$50,000 for professional services **NONE****Part IX-A Summary of Direct Charitable Activities**

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

Expenses

1 N/A	
2	
3	
4	

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

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

Amount

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

Total. Add lines 1 through 3 **NONE**

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	22,460,608
b	Average of monthly cash balances	1b	474,751
c	Fair market value of all other assets (see instructions)	1c	9,686,470
d	Total (add lines 1a, b, and c)	1d	32,621,829
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	32,621,829
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	489,327
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	32,132,502
6	Minimum investment return. Enter 5% of line 5	6	1,606,625

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

1	Minimum investment return from Part X, line 6	1	1,606,625
2a	Tax on investment income for 2018 from Part VI, line 5	2a	21,681
b	Income tax for 2018 (This does not include the tax from Part VI)	2b	13,840
c	Add lines 2a and 2b	2c	35,521
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,571,104
4	Recoveries of amounts treated as qualifying distributions	4	15,353
5	Add lines 3 and 4	5	1,586,457
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,586,457

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	1,507,380
b	Program-related investments—total from Part IX-B	1b	NONE
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	86,860
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,594,240
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions	5	21,681
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,572,559

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2017	(c) 2017	(d) 2018
1 Distributable amount for 2018 from Part XI, line 7				1,586,457
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			1,494,427	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2018				
a From 2013				
b From 2014				
c From 2014				
d From 2016				
e From 2017				
f Total of lines 3a through e				
4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ 1,594,240				
a Applied to 2017, but not more than line 2a			1,494,427	
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2018 distributable amount				99,813
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2018. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2017 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2018. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019				1,486,644
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2013 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2014				
b Excess from 2014				
c Excess from 2016				
d Excess from 2017				
e Excess from 2018				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE SCHEDULE (12)				957,300
Total			3a	957,300
b Approved for future payment NONE				NONE
Total			3b	NONE

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2018
Schedule (1), Part 1, Line 11

DESCRIPTION

OTHER INCOME:	PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSE
Interest - Notes	4,901	4,901	-
Income from LLCs	335,087	300,826	-
Miscellaneous	700	700	-
	<u>340,688</u>	<u>306,427</u>	<u>-</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2018
Schedule (2), Part 1, Line 16b

ACCOUNTING FEES TYPE OF SERVICE	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Ernst & Young LLP 725 South Figueroa St., Los Angeles, CA 90017 Service: Tax Return Review	7,725		7,725
Armanino LLP 11776 Wilshire Blvd, 9th Flr. Los Angeles, CA 90025 Service: Financial Reports	15,000		15,000
	<u>22,725</u>	<u>-</u>	<u>22,725</u>

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

EIN: 95-4325051
Form 990 PF, Dec 31, 2018
Schedule (3), Part I, Line 18

<u>TAXES</u>	PER BOOKS	NET INV INCOME	CHARITABLE PURPOSE
Federal Excise Tax	28,000	-	-
Federal UBI Tax	10,500	-	-
Alabama UBI Tax	5,000	-	-
Property Taxes	43,923	43,923	-
	<u>87,423</u>	<u>43,923</u>	<u>-</u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2018
Schedule (4), Part 1, Line 19

<u>DESCRIPTION</u>	<u>DEPRECIATION EXPENSE</u>
Per Books	5,725
Less, depreciation not for investment purposes	<u>5,725</u>
Column (b) - Net investment income	<u><u>-</u></u>

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2018
Schedule (5), Part I, Line 23

<u>DESCRIPTION</u>	PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSE
OTHER EXPENSES:			
Auto/Transportation Expenses	6,078	-	6,078
Employee Auto Reimbursement	(10,660)	-	(10,660)
Bank/Wire Charges	3	3	-
Computer Maintenance	255	-	255
Insurance	5,716	983	4,733
Miscellaneous Charitable Expenses	1,483	-	1,483
Overhead Reimbursement	9,526	953	8,573
Office Supplies	1,372	-	1,372
Outside Services	112	112	-
Subscription	624	35	589
Telephone	1,392	-	1,392
TOTALS	15,901	2,086	13,815

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

EIN 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (6), Part II, Line 7

OTHER NOTES AND LOANS RECEIVABLES

DESCRIPTION	Balance Due	Fair Market Value
Rusty Hamilton	63,966	63,966
Relationship to borrower: None		
TOTAL	63,966	63,966

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (7), Part II, Line 10b

DESCRIPTION	ENDING COST
<u>COMMON STOCKS</u>	
BERRY PETE CORP	3,166
EXXON MOBIL CORP	768,491
MR COOPER GROUP INC	28,101
ZTO EXPRESS CAYMAN INC	14,625
SUB-TOTAL	<u>814,383</u>
<u>PREFERRED STOCKS</u>	
ANNALY CAP MNGMT INC	150,000
APOLLO GLBL MNGMT	150,000
ASHFORD HOSPITALITY	150,000
AT&T INC	150,000
BRUNSWICK CORP	100,000
CUSTOMERS BANCORP	50,000
ENERGY TRANSFER	150,000
ENTERGY LOUISIANA LLC	450
THE HARTFORD FIN SERV	100,000
JP MORGAN CHASE & Co. 5.75 DD	150,000
KEYCORP	150,000
LEGACY RES LP FXD/FLT	18,149
NATIONAL STORAGE AFFILIATE	50,000
OAKTREE CAP GRP LLC	100,000
PRUDENTIAL FINANCIAL INC	150,000
QWEST CORPORATION	64,225
TEEKAY LNG PARTNERS LP	75,000
TELE DATA	65,575
TWO HARBORS INVESTMENTS	100,000
WR BERKLEY CORP	200,000
SUB-TOTAL	<u>2,123,399</u>
TOTAL	<u><u>2,937,782</u></u>

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (8), Part II, Line 10c

DESCRIPTION	COST
<u>MUTUAL FUNDS</u>	
ADVENT CLAYMORE CV SECS&INCM	79,007
EATON VANCE FLT-RATE 2022 TR	182,190
INVESCO VAN KAMP DYN CRDT OPP	50,000
LORD ABBETT FLT RT	236,252
MS EMERGING MKTS DOMESTIC DEBT	79,346
NUVEEN S&P 500 BUY WRITE INC	239,694
CALAMOS STRATEGIC TOTAL	85,292
CATALYST MILBURN HGD STRAT	512,199
CLOUGH GLOBAL OPP FUND	104,214
DELAWARE VALUE C	313,224
FIDELITY ADV MID CAP VALUE C	300,333
FIRST EAGLE GLOBAL A	383,334
JP MORGAN LARGE CAP GRW C	501,005
VOYA LARGE CAP GROWTH C	440,853
GS HIGH YIELD INSTL MUTUAL FUND	94,341
GS CORE FIXED INCOME FUND INSTITUTIONAL	353,955
SPDR S&P 500 ETF TRUST	134,770
SUB-TOTAL	4,090,009
<u>CORPORATE BONDS</u>	
AIRCASTLE LTD	308,256
AT&T INC	155,885
AXA SA	44,501
BANK OF AMERICA	202,524
BANK OF AMERICA	204,506
GCB BERRY PETROLEUM CO	80,839
CITIGROUP INC	202,499
CITIGROUP INC	311,256
CITIGROUP INC	271,319
CITIZENS FINL INC	256,075
E TRADE FINANCIAL	263,756
ENBRIDGE	352,449
GENERAL ELECTRIC	146,904
GM FINANCIAL	347,644
GENERAL MOTORS	303,812
GOLDMAN SACHS GROUP	209,687
HUNTINGTON BANKSHARES	100,000
ILFC E-CAP REG S	578,512
JP MORGAN CHASE	204,254
JP MORGAN CHASE	309,756
JP MORGAN CHASE	101,253
MELLON CAPITAL IV	127,931
METLIFE INC	101,739
MORGAN STANLEY-II	207,306
NAVIENT CORP	99,754
NEXTERA EGY CAP	144,754
STATE STREET CORP	94,006

The Auen Foundation
P O. Box 13390
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EIN: 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (R), Part II, Line 10c

DESCRIPTION	COST
<u>CORPORATE BONDS (continued)</u>	
SUNTRUST CAPITAL	182,006
WELLS FARGO CO	207,006
SLB-TOTAL	<u>6,120,189</u>
<u>STRUCTURED PRODUCTS</u>	
CS CI WO INDICES	500,000
CS CI WO INDICES	500,000
MS CI WO INDICES	200,000
CS CI WO INDICES	200,000
CS CONTINGENT WORSTOF RTYSP	1,000,000
CS CI WO INDICES	500,000
CS CI WO INDICES	100,000
CS AUTO INDEX	500,000
CITI CONTINGENT WORSTOF RT	200,000
BCS CI WO INDICES	250,000
BCS CI WO INDICES	200,000
BCS CIWO INDICES	150,000
BCS CIWO INDICES	150,000
BCS CIWO INDICES	500,000
BCS CIWO INDICES	200,000
GS CI WO INDICES	350,000
GS CI WO RTY SPX	500,000
GS CI WO RTY SP	325,000
HSBC CI WO INDEX	250,000
HSBC CI WO INDEX	1,000,000
JPM CI WO INDICES	200,000
MS CIWO INDICES	250,000
MS TRIGGER JUMP SPX	98,806
MS WQAUTO INDEX	200,000
UBS CONTINGENT WORSTOF RTY DISCRETIONA	100,000
UBS CONTINGENT WORSTOF RTY DISCRETIONA	100,000
UBS CONTINGENT WORSTOF RTY	500,000
UBS CONTINGENT WORSTOF R TY SPX SXSE	350,000
	<u>9,373,806</u>
TOTAL	<u>19,584,004</u>

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (9), Part II, Line 11 and 14

DESCRIPTION	BOOK VALUE	ACCUM. DEPRECIATION	NET BOOK VALUE	TOTAL FAIR MARKET VALUE
<u>Line 11: Real Properties</u>				
Vacant Land	5,555,000		5,555,000	2,730,000
<u>Line 14: Fixed Assets</u>				
Transportation and Equipment	210,385	78,941	131,444	131,444

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

Equipment	5 - 10 years
Transportation equipment	5 years

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

EIN: 95-4325051
Form 990-PF, Dec. 31, 2018
Schedule (10), Part II, Line 15

DESCRIPTION	<u>BOOK VALUE</u>	<u>FAIR MARKET VALUE</u>
OTHER ASSETS:		
Investment in Berger Tuscaloosa, LLC	1,146,711	2,381,921
Investment in Simpsonville, LLC	4,265,397	4,510,367
Accrued Bond Interest	569	569
Deposit	<u>(1,300)</u>	<u>(1,300)</u>
TOTAL AMOUNT	<u>5,411,377</u>	<u>6,891,557</u>

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

EIN: 95-4325051
Form 990PF, Dec. 31, 2018
Schedule (11), Part IV

ACQUIRED BY PURCHASE

CORPORATE BONDS

	Sales Price	Adjusted Cost	Gain or (loss)
AEGON NV	220,307	227,757	(7,450)
GS CAPITAL II	136,074	127,190	8,884
BAC CAP TR XIV	224,804	207,483	17,321
BAC CAP TR XIV	261,555	248,979	12,576
GENERAL MOTORS	197,994	206,005	(8,011)
DISCOVERY FINANCIAL	96,994	104,003	(7,009)
USB CAPITAL IX	191,869	229,381	(37,512)
NEXTERA EGY CAP	97,119	96,503	616
INTL LEASE FIN	100,000	102,123	(2,123)
FRONTIER COMM	126,914	155,066	(28,152)
JP MORGAN CHASE	100,469	101,253	(784)
CAPIAL ONE NATI	200,594	203,406	(2,812)
CITIZENS FINL INC	300,000	315,816	(15,816)
JEFFERIES GROUP	100,000	101,506	(1,506)
GS CAPITAL II	128,244	124,037	4,207
E TRADE FINANCIAL	282,369	308,287	(25,918)
DISCOVER FINANCIAL	92,494	104,003	(11,509)
GENERAL ELECTRIC	146,057	152,983	(6,926)
GENERAL MOTORS	330,748	263,507	67,241
CARBON BLACK	25,195	19,000	6,195
PLURAL SIGHT INC	19,595	15,000	4,595
SUB-TOTAL CORPORATE BONDS	3,379,395	3,413,288	(33,893)

COMMON STOCKS

MELLON CAPITAL IV	222,669	214,078	8,591
PHILLIP MORRIS INTL. INC	438,518	129,323	309,195
ADT INC	30,844	35,000	(4,156)
LIBERTY OILFIELD SVCS INC	21,114	17,000	4,114
PAGSEGURO DIGITAL LTD.	31,643	24,188	7,455
DOCUSIGN	18,878	14,500	4,378
PIVOTAL SOFTWARE INC	15,947	15,000	947
TENABLE HLDGS	13,009	9,200	3,809
ANAPLAN INC.	4,811	3,400	1,411
AMTRUST FINANCIAL SVC INC	44,250	96,000	(51,750)
SUB-TOTAL COMMON STOCKS	841,683	557,689	283,994

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

EIN: 95-4325051
Form 990PF, Dec. 31, 2018
Schedule (11), Part IV

ACQUIRED BY PURCHASE

MUTUAL FUNDS

	Sales Price	Adjusted Cost	Gain or (loss)
ISHARES HEDGED MSCI EAFE ETF	146,218	145,761	457
ISHARES MSCI EAFE INDEX FND ETF	173,085	150,903	22,182
GS CORE FIXED INCOME FUND INSTITUTIONA	200,000	209,249	(9,249)
FIRST EAGLE GLOBAL A	500,000	383,312	116,688
SUB-TOTAL MUTUAL FUNDS	1,019,303	889,225	130,078

PREFERRED STOCKS

STIFEL FINANCIAL	97,557	100,000	(2,443)
STIFEL FINANCIAL	10,373	10,525	(152)
STIFEL FINANCIAL	87,225	89,475	(2,250)
SOUTHERN COMP, THE	121,551	125,000	(3,449)
ELLSWORTH GROWTH INCOME	89,759	92,200	(2,441)
TELE DATA	12,526	12,925	(399)
APOLLO GLBL MNGMT LLC	151,732	150,000	1,732
BANK OF AMERICA CORP 6%-GG	51,934	50,000	1,934
ENSTAR GROUP LTD	101,616	100,000	1,616
BANK OF AMERICA	103,553	100,000	3,553
BANK OF AMERICA	126,800	125,000	1,800
CAPITAL ONE FINCL	153,328	150,000	3,328
PS BUSINESS PARK INC	44,273	50,000	(5,727)
US BANCORP	101,477	100,000	1,477
SUB-TOTAL PREFERRED STOCKS	1,253,704	1,255,125	(1,421)

STRUCTURED NOTES

MS CONTINGENT INCOME	200,000	186,256	13,744
HSBC DDTARIGP SPX	296,760	247,300	49,460
CS CI WO INDICES	1,000,000	1,000,000	-
CS CI WO INDICES	500,000	500,000	-
BCS CI WO INDICES	100,000	100,000	-
JPM CI WO INDICES	500,000	500,000	-
BCS CI WO INDICES	500,000	500,000	-
CS WOAUTO	250,000	250,000	-
MS CIAUTO BX	100,000	100,000	-
CS CI WO INDICES	200,000	200,000	-
GS CI WO INDICES	150,000	150,000	-
CS CI WO INDICES	1,350,000	1,350,000	-
BCS CIWO INDICES	150,000	150,000	-
HSBC CI WO INDICES/BCS CONTINGENT	200,000	200,000	-
SUB-TOTAL STRUCTURED NOTES	5,496,760	5,433,556	63,204

TOTAL	11,990,845	11,548,883	441,962
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The Auen Foundation

EIN: 95-4325051, Form 990-PF, December 2018
Schedule (12), Part XV Line 3A, Grants Paid During Year and Part 1 Line 25
18 July 2019

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
February 2018					
Mama's House <i>transportation expenses</i>	A18-01	2/5/2018 CK#3608	\$25,000.00	454384613	PO Box 1816 44-875 Deep Canyon, Suite 2 Palm Desert, CA 92261
American Documentary Film Festival <i>senior outreach</i>	A18-06	2/13/2018 CK#3615	\$15,000.00	550914693	PO Box 956 Palm Springs, CA 92263
California CareForce <i>dental care for seniors in the Coachella Valley</i>	A18-04	2/6/2018 CK#3609	\$25,000.00	452408171	950 Reserve Drive, Suite 120 Roseville, CA 95678
Cancer Partners <i>senior programs</i>	A18-09	2/26/2018 CK#3613	\$10,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260
Coachella Valley Volunteers In Medicine <i>service for seniors</i>	A18-03	2/7/2018 CK#3612	\$12,500.00	263312826	82-915 Avenue 48 Indio, CA 92201
Desert Arc <i>Senior Program</i>	A18-02	2/5/2018 CK#3610	\$10,000.00	956006700	73-255 Country Club Drive Palm Desert, CA 92260
Foundation for Palm Springs Unified School District <i>intergenerational mentor program</i>	A18-05	2/7/2018 CK#3611	\$30,000.00	261265520	980 East Tahquitz Canyon Way, Suite 202 Palm Springs, CA 92262
The Unforgettables Foundation <i>families in crisis conference</i>	A18-07	2/28/2018 CK#3614	\$7,500.00	330885478	345 W Pearl Ave., Suite 230 Redlands, CA 92374
Total February 2018 (8 items)			\$135,000.00		
March 2018					
ABC Recovery Center <i>Adult Scholarships honoring Rick Mesa</i>	A18-11	3/13/2018 CK#3616	\$10,000.00	751006381	44-359 Palm Street Indio, CA 92201
Coachella Valley Repertory Theatre <i>enrich the arts in the aging community of the Coachella Valley</i>	A18-15	3/26/2018 CK#3620	\$100,000.00	954304295	69930 HWY 111, Suite 116 Rancho Mirage, CA 92270

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Digicom <i>general support honoring Patty Newman</i>	A18-16	3/26/2018 CK#3619	\$1,000.00	900926324	1775 E. Palm Canyon Drive, Suite 110 Palm Springs, CA 92264
Operation Safehouse Inc <i>senior volunteer program for Harrison House</i>	A18-13	3/19/2018 CK#3617	\$10,000.00	33-0326090	9685 Hayes Street Riverside, CA 92503
Tools For Tomorrow <i>senior volunteer programs - mentoring</i>	A18-14	3/20/2018 CK#3618	\$5,000.00	330889045	42-600 Cook Street Suite #203 Palm Desert, CA 92211
Total March 2018 (5 items)			\$126,000.00		
April 2018					
A.C.T. for Multiple Sclerosis <i>Educational and Wellness Programs</i>	A18-10	4/16/2018 CK#3626	\$10,000.00	330880635	73-710 Fred Waring Drive Ste. 118 Palm Desert, CA 92260
Coronado Hospital Foundation <i>Underwriting event to raise money for advanced da Vinci X robot system technology</i>	A18-12	4/4/2018 CK#3621	\$35,000.00	953273985	250 Prospect Place Coronado, CA 92118
CSUSB - Philanthropic Foundation <i>the University Legacy Scholarship</i>	A18-19	4/5/2018 CK#3623	\$2,500.00	452255077	37-500 Cook Street Palm Desert, CA 92211-2900
Eisenhower Medical Center <i>capital improvement</i>	A18-08	4/11/2018 CK#3624	\$50,000.00	956130458	39000 Bob Hope Drive Rancho Mirage, CA 92270
Joslyn Senior Center <i>Senior Wellness Center</i>	A18-25	4/30/2018 CK#3628	\$35,000.00	953622332	73-750 Catalina Way Palm Desert, CA 92260
Salk Institute for Biological Studies <i>Aging research - to prevent onset of age associated diseases</i>	A18-23	4/30/2018 CK#3627	\$15,000.00	952160097	10010 N. Torrey Pines Road La Jolla, CA 92037-1002
Spay Neuter Imperative Project SNIP <i>snip bus</i>	A18-21	4/16/2018 CK#Catharine C/C	\$1,500.00		CA
The Chrysalis Center <i>Support for Senior job search and education</i>	A18-20	4/16/2018 CK#3625	\$12,500.00	953972624	1853 Lincoln Blvd. Santa Monica, CA 90404
The Desert Symphony, Inc. <i>intergenerational program</i>	A18-17	4/4/2018 CK#3622	\$10,000.00	953871126	72925 Fred Waring Dr., Suite 101 Palm Desert, CA 92260

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Winewomen Psp Inc <i>operating expenses for the SNIP bus</i>	A18-22	4/16/2018 CK#Catharine C/C	\$1,500.00		P.O. Box 12126 Palm Desert, CA 92255
Total April 2018 (10 items)			\$173,000.00		
May 2018					
AIDS Assistance Program <i>Food Voucher Program</i>	A18-28	5/10/2018 CK#3631	\$10,000.00	330566442	1276 N. Palm Canyon Drive Suite 108 PO Box 4182 Palm Springs, CA 92263
Coachella Valley BookPals - Palm Springs Women in Film & Television <i>the mentor reading program</i>	A18-18	5/3/2018 CK#3629	\$7,000.00	421616628	PO Box 1502 Cathedral City, CA 92235
Total May 2018 (2 items)			\$17,000.00		
June 2018					
Neuro Vitality Center <i>exercise and Behavioral Health programs</i>	A18-29	6/19/2018 CK#3632	\$12,500.00	953402464	2800 East Alejo Road Palm Springs, CA 92262-6253
Old Town Artisan Studios <i>aging programs</i>	A18-31	6/19/2018 CK#3636	\$25,000.00	264437263	78134 Calle Tampico, Suite 160 La Quinta, CA 92253
Total June 2018 (2 items)			\$37,500.00		
July 2018					
Assistance League of Palm Springs Desert Area <i>Senior Services program</i>	A18-33	7/17/2018 CK#3637	\$7,000.00	237292226	P.O. Box 3056 Rancho Mirage, CA 92270
Coachella Valley Symphony <i>programs for underserved seniors</i>	A18-24	7/18/2018 CK#3638	\$10,000.00	330481383	42600 Cook St. Suite 137 Palm Desert, CA 92211
International Classical Concerts of the Desert <i>senior concert program</i>	A18-34	7/25/2018 CK#3635	\$5,000.00	061775531	PO Box 1227 La Quinta, CA 92253
Sharp HospiceCare Fund <i>support for Grossmont Hospital Foundation, and Sharp HospiceCare to benefit un-fundred patients throughout the county</i>	A18-32	7/11/2018 CK#3634	\$15,000.00	330124488	Grossmont Hospital Foundation P.O. Box 158 La Mesa, CA 91944

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
The Salvation Army - Cathedral City <i>matching grant for a food truck</i>	A18-30	7/11/2018 CK#3633	\$5,000.00		30-400 Landau Blvd Cathedral City CA 92234
Total July 2018 (5 items)			\$42,000.00		
August 2018					
A.C.T. for Multiple Sclerosis <i>Senior programs in honor of Marc Byrd for all his meaningful work in our community</i>	A18-38	8/20/2018 CK#3640	\$5,000.00	330880635	73-710 Fred Waring Drive Ste. 118 Palm Desert, CA 92260
Jewish Family Service of the Desert <i>emergency assistance program for seniors</i>	A18-36	8/28/2018 CK#3641	\$30,000.00	330613083	490 S. Farrell Drive-Suite C208 Palm Springs, CA 92262
Parade Charities, Inc. <i>Sponsor the Senior Seating section in the 2018 Golf Cart Parade</i>	A18-35	8/15/2018 CK#3639	\$15,000.00	330206420	Palm Desert Area Chamber of Commerce Palm Desert Golf Cart Parade 72-559 HWY 111 Palm Desert, CA 92260
Total August 2018 (3 items)			\$50,000.00		
September 2018					
Cancer Partners <i>funding for core programs and services for seniors</i>	A18-40	9/6/2018 CK#3642	\$25,000.00	330911108	73555 Alessandro Drive Palm Desert, CA 92260
Coronado Playhouse <i>operating expenses</i>	A18-39	9/12/2018 CK#3645	\$2,500.00	95-1811875	1835 Strand Way Coronado, CA 92118-3005
Desert Cancer Foundation <i>Sponsor the Paint El Paseo Pink event - \$5,000 and \$10,000 in support towards the Patient Assistance Program</i>	A18-37	9/11/2018 CK#3643	\$15,000.00	330648823	74091 Larrea Street Palm Desert, CA 92260
Friends of the Palm Springs Library <i>offset the cost to your speaker series - Palm Springs Speaks</i>	A18-44	9/24/2018 CK#3649	\$10,000.00	510142318	300 S. Sunrise Way Palm Springs, CA 92262
Loving All Animals <i>Seniors Offering Shelter foster program (SOS)</i>	A18-43	9/12/2018 CK#3644	\$15,000.00	263841119	44635 San Rafael Drive Palm Desert, CA 92260

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
Palm Springs Opera Guild <i>for mini bus rentals and boardwalk rental for seniors</i>	A18-47	9/12/2018 CK#3646	\$5,000.00	956220739	2150 E. Tahquitz Way Palm Springs, CA 92262
Rancho Mirage Writer's Festival <i>2019 Rancho Mirage Writers Festival</i>	A18-50	9/24/2018 CK#3650	\$5,000.00	371754922	71-100 HWY 111 Rancho Mirage, CA 92270
Senior Advocates of the Desert <i>Emergency assistance for low-income seniors</i>	A18-41	9/20/2018 CK#3647	\$7,500.00	454219977	PO Box 2827 Cathedral City, CA 92235
The Ranch Recovery Centers, Inc. <i>senior program</i>	A18-48	9/25/2018 CK#3651	\$30,000.00	237365064	7885 Amundale Avenue Desert Hot Springs, CA 92240
USC - Davis School of Gerontology <i>to fund the purchase of needed equipment - the JESS capillary-based protein analysis system</i>	A18-45	9/24/2018 CK#3648	\$50,000.00		3715 McClintock Ave., Room 103 Los Angeles, CA 90089
Total September 2018 (10 items)			\$165,000.00		
October 2018					
HARC - Health Assessment Resource Center <i>Health Data for Coachella Valley - aimed for seniors</i>	A18-54	10/17/2018 CK#3656	\$10,000.00	205719074	41550 Eclectic Street Palm Desert, CA 92260
Opera Arts <i>intergenerational Music Program</i>	A18-51	10/4/2018 CK#3653	\$1,500.00	300540629	PO Box 5722 Palm Springs, CA 92263
Read With Me Volunteer Programs <i>intergenerational reading program</i>	A18-42	10/4/2018 CK#3652	\$30,000.00	471406641	PO Box 1016 Rancho Mirage, CA 92270
Ronald McDonald House Loma Linda <i>general need</i>	A18-52	10/15/2018 CK#3654	\$5,000.00	953167869	11365 Anderson St. Loma Linda, CA 92354
Spiritual Outreach Ministries <i>prescription medication programs for seniors</i>	A18-55	10/31/2018 CK#3658	\$10,000.00	770028391	75-153 Merle Drive, Suite B Palm Desert, CA 92211
Well in the Desert <i>senior programs and Christmas sponsorship</i>	A18-53	10/22/2018 CK#3657	\$25,000.00	330694580	PO Box 5312 Palm Springs, CA 92263
Total October 2018 (6 items)			\$81,500.00		

Grantee Organization Project Title	Grant No.	Payment Date	Payment Amount	Tax ID#	Address
November 2018					
Desert Blind & Handicapped Association, Inc. <i>Senior Transportation program</i>	A18-46	11/6/2018 CK#3659	\$10,000.00	237259517	PO Box 66 471 E. Tahquitz Canyon Way, Suite 218 Palm Springs, CA 92262
Elderhelp <i>Senior Transportation</i>	A18-56	11/8/2018 CK#3661	\$10,000.00	952880426	6150 Mission Gorge Rd. #140 San Diego, CA 92120
Galilee Center <i>Christmas Food Basket Distribution</i>	A18-60	11/26/2018 CK#3662	\$5,000.00	273133601	66101 Hammond Rd PO Box 308 Mecca, CA 92254
My Jump Inc. <i>Senior Enrichment Program</i>	A18-58	11/8/2018 CK#3660	\$8,000.00	460820167	74916 Highway 111 Indian Wells, CA 92210
The Palm Springs International Film Society <i>Senior volunteer program</i>	A18-59	11/26/2018 CK#3663	\$40,000.00	951641910	1700 E. Tahquitz Canyon Way, #3 Palm Springs, CA 92262
Total November 2018 (5 items)			<u>\$73,000.00</u>		
December 2018					
California Desert Chorale <i>intergenerational programs</i>	A18-84	12/12/2018 CK#3667	\$6,000.00	330620607	P.O Box 2716 Palm Desert, CA 92261
Coachella Valley Symphony <i>paddle raise</i>	A18-66	12/4/2018 CK#Credit Card	\$1,300.00	330481383	42600 Cook St. Suite 137 Palm Desert, CA 92211
Rutgers Biomedical and Health Sciences <i>work on Surgical Palliative Care</i>	A18-63	12/3/2018 CK#3664	\$30,000.00		150 Bergen Street Newark, NJ 07101
SOS - Soldiers Organized Services <i>transportation for military personnel</i>	A18-65	12/11/2018 CK#3666	\$5,000.00	743216955	57539 Santa Rosa Trail La Quinta, CA 92253
The Desert Symphony, Inc. <i>Intergenerational program support</i>	A18-62	12/4/2018 CK#3665	\$15,000.00	953871126	72925 Fred Waring Dr., Suite 101 Palm Desert, CA 92260
Total December 2018 (5 items)			<u>\$57,300.00</u>		
Grand Totals (61 items)			<u>\$957,300.00</u>		

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

EIN: 95-4325051
Form 990 PF, Dec. 31, 2018
Schedule (13), Part XVII, Line 1b(4)

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

<u>Line No.</u>	<u>Amount Involved</u>	<u>Name of Non-Charitable Exempt Organization</u>	<u>Description</u>
b(4)	\$ 449,248	The Fairfield Homes Title Holding Co., Inc. {exempt IRC 501 (c)(2)}	Is the paymaster of the Foundation as authorized by Employment Tax Reg. 31.3121(s) - 1(a) and (b). Accounting services and other administrative expenses provided to the Foundation at allocated cost in accordance with an overhead sharing agreement.