

Form **990-PF****Return of Private Foundation**

OMB No 1545-0052

Department of the Treasury
Internal Revenue Service

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

► Do not enter social security numbers on this form as it may be made public

► Go to www.irs.gov/Form990PF for instructions and the latest information.

2018

Open to Public Inspection

For calendar year 2018 or tax year beginning

11/01, 2018, and ending

10/31, 2019

Name of foundation

PEIERLS FOUNDATION

A Employer identification number

13-6082503

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

Room/suite

B Telephone number (see instructions)

73 SOUTH HOLMAN WAY

(303) 278-2889

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

GOLDEN, CO 80401

C If exemption application is pending, check here. ☐

G Check all that apply

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1 Foreign organizations, check here. ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐H Check type of organization ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

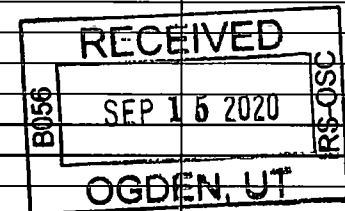
I Fair market value of all assets at

J Accounting method ☒ Cash ☐ AccrualF If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

end of year (from Part II, col (c), line 16) ► \$ 103,722,708.

☐ Other (specify) _____
(Part I, column (d) must be on cash basis)**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received (attach schedule)	3,660,209.			
2 Check ☐ if the foundation is not required to attach Sch. B.				
3 Interest on savings and temporary cash investments	33,049.	33,049.		
4 Dividends and interest from securities	649,464.	649,464.		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	-43,262.			
b Gross sales price for all assets on line 6a	20,884,977.			
7 Capital gain net income (from Part IV, line 2)		0.		
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) ATCH 1	-16,168.	-16,168.		
12 Total Add lines 1 through 11	4,283,292.	666,345.		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule) ATCH 2	19,100.	18,900.		200.
c Other professional fees (attach schedule) [3]	15,981.	15,781.		100.
17 Interest				
18 Taxes (attach schedule) (see instructions) [4]	39,638.	39,638.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses (attach schedule) ATCH 5	306,899.	306,899.		
24 Total operating and administrative expenses	381,618.	381,218.		300.
Add lines 13 through 23	5,825,100.			5,825,100.
25 Contributions, gifts, grants paid	6,206,718.	381,218.	0.	5,825,400.
26 Total expenses and disbursements Add lines 24 and 25				
27 Subtract line 26 from line 12	-1,923,426.			
a Excess of revenue over expenses and disbursements		285,127.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)				



SCANNED FEB 09 2021

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		13,674,206.	22,005,335.	22,005,335.
	2	Savings and temporary cash investments				
	3	Accounts receivable ▶				
		Less allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less allowance for doubtful accounts ▶				
	5	Grants receivable.				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less allowance for doubtful accounts ▶				
	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) ATCH 6		89,169,010.	74,847,473.	69,988,320.
	c	Investments - corporate bonds (attach schedule)				
Liabilities	11	Investments - land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶ (attach schedule)				
	12	Investments - mortgage loans				
	13	Investments - other (attach schedule) ATCH 7		4,941,744.	6,913,793.	11,729,053.
	14	Land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶ (attach schedule)				
	15	Other assets (describe ▶)				
	16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)		107,784,960.	103,766,601.	103,722,708.
	17	Accounts payable and accrued expenses				
	18	Grants payable				
Net Assets or Fund Balances	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 ▶)				
	23	Total liabilities (add lines 17 through 22)		0.	0.	
		Foundations that follow SFAS 117, check here ▶ ☒ X and complete lines 24 through 26, and lines 30 and 31				
	24	Unrestricted		107,784,960.	103,766,601.	
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31				
Net Assets or Fund Balances	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)		107,784,960.	103,766,601.	
	31	Total liabilities and net assets/fund balances (see instructions)		107,784,960.	103,766,601.	

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	107,784,960.
2	Enter amount from Part I, line 27a.	2	-1,923,426.
3	Other increases not included in line 2 (itemize) ▶ ATCH 8	3	661,956.
4	Add lines 1, 2, and 3	4	106,523,490.
5	Decreases not included in line 2 (itemize) ▶ ATCH 9	5	2,756,889.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	103,766,601.

Form **990-PF** (2018)

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)
1 a SEE PART IV SCHEDULE					
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					
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					
b					
c					
d					
e					
2 Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$			2	-43,262.	
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	0.	

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

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

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

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

☐ Yes ☒ No

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2017	5,285,450.	114,611,470.	0.046116
2016	5,645,200.	103,131,610.	0.054738
2015	5,523,100.	102,329,262.	0.053974
2014	6,625,099.	120,604,658.	0.054932
2013	6,097,365.	114,259,981.	0.053364
2 Total of line 1, column (d)			2 0.263124
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 0.052625
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5			4 108,759,832.
5 Multiply line 4 by line 3.			5 5,723,486.
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 2,851.
7 Add lines 5 and 6.			7 5,726,337.
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 5,825,400.

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		
	Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	2,851.
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	2,851.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)	4	0.
5	Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-	5	2,851.
6	Credits/Payments		
a	2018 estimated tax payments and 2017 overpayment credited to 2018	6a	40,000.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	40,000.
8	Enter any penalty for underpayment of estimated tax. Check here ☒ 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	37,149.
11	Enter the amount of line 10 to be Credited to 2019 estimated tax ▶ 37,149. Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition		X
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		
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 ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		X
If "Yes," attach a detailed description of the activities		
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		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?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		X
If "Yes," attach the statement required by <i>General Instruction T</i>		
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 ▶ NY, _____		
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	11	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	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	X
14 The books are in care of ▶ BRIAN ELIOT PEIERLS Telephone no ▶ 512-789-7994		
Located at ▶ 3017 MCCURDY STREET AUSTIN, TX ZIP+4 ▶ 78723-2902		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here ▶ 15		
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 ▶	16	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? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ 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)? ☐ Yes ☒ 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) ☐ Yes ☒ 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	1b	X
Organizations relying on a current notice regarding disaster assistance, check here ▶ ☐		
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? ☐ Yes ☒ No		
If "Yes," list the years ▶		
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	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☒ Yes ☐ 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	X
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

Form 990-PF (2018)

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))?	☐ Yes	☒ No
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes	☒ No
(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes	☒ No
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	☐ Yes	☒ No
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes	☒ No
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions.		
Organizations relying on a current notice regarding disaster assistance, check here		☐
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes	☐ No
If "Yes," attach the statement required by Regulations section 53.4945-5(d)		
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes	☒ No
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		
If "Yes" to 6b, file Form 8870		
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes	☒ No
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?		
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?	☐ Yes	☒ 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
ATCH 10		0.	0.	0.

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
NONE				

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

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

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

Total number of others receiving over \$50,000 for professional services ▶

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

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

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

	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 ▶	

Form **990-PF** (2018)

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	83,626,049.
b	Average of monthly cash balances	1b	17,254,495.
c	Fair market value of all other assets (see instructions).	1c	9,535,529.
d	Total (add lines 1a, b, and c)	1d	110,416,073.
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	110,416,073.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,656,241.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	108,759,832.
6	Minimum investment return. Enter 5% of line 5	6	5,437,992.

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	5,437,992.
2a	Tax on investment income for 2018 from Part VI, line 5	2a	2,851.
b	Income tax for 2018 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,851.
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	5,435,141.
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4	5	5,435,141.
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	5,435,141.

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	5,825,400.
b	Program-related investments - total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	5,825,400.
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	2,851.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	5,822,549.

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				5,435,141.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			554,718.	
b Total for prior years 20 <u>16</u> , 20 <u>15</u> , 20 <u>14</u>				
3 Excess distributions carryover, if any, to 2018				
a From 2013				
b From 2014				
c From 2015				
d From 2016				
e From 2017				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ <u>5,825,400.</u>				
a Applied to 2017, but not more than line 2a			554,718.	
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				5,270,682.
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.				164,459.
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	0.			
10 Analysis of line 9				
a Excess from 2014				
b Excess from 2015				
c Excess from 2016				
d Excess from 2017				
e Excess from 2018				

Form **990-PF** (2018)

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

NOT APPLICABLE

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2018, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2018	(b) 2017	(c) 2016	(d) 2015	
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets.					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)**1 Information Regarding Foundation Managers:**

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

ATTACHMENT 11

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

N/A

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

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

a The name, address, and telephone number or email address of the person to whom applications should be addressed

ATCH 12

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

c Any submission deadlines

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

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 ATCH 13				
Total ▶ 3a				5,825,100.
b Approved for future payment				
Total ▶ 3b				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount		
1 Program service revenue						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments .			14	33,049.		
4 Dividends and interest from securities			14	649,464.		
5 Net rental income or (loss) from real estate						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory			18	-43,262.		
9 Net income or (loss) from special events . . .						
10 Gross profit or (loss) from sales of inventory . .						
11 Other revenue a OTHER				-16,168.		
b _____						
c _____						
d _____						
e _____						
12 Subtotal Add columns (b), (d), and (e)				623,083.		
13 Total. Add line 12, columns (b), (d), and (e)				623,083.		

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

[illegible]

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

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

[illegible]

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

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

**Sign
Here**

► E. JEFFREY PEIERLS

9/09/20

PRESIDENT

Signature of officer or trustee

Date _____

Title

May the IRS discuss this return with the preparer shown below?

See instructions ☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

HUGH MARRS, CPA

~~Prepared by~~ signature

Date	
------	--

9/8/2020

Check ☐ if self-employed

PTIN

P00506771

Firm's name	MARRS, SEVIER & COMPANY LLC
-------------	-----------------------------

Firm's EIN ▶ 84-1315809

Firm's address ► 230 SOUTH HOLLAND STREET

80226

Phone no 303-922-6654

Form **990-PF** (2018)

Schedule B(Form 990, 990-EZ,
or 990-PF)
Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

2018▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization

PEIERLS FOUNDATION

Employer identification number

13-6082503

Organization type (check one)**Filers of:****Section:**

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000, or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I (entering "N/A" in column (b) instead of the contributor name and address), II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization **PEIERLS FOUNDATION**Employer identification number
13-6082503**Part I Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	U/D ETHEL F PEIERLS CHAR LEAD TRUST NORTHERN TRUST, 131 N MARKET ST 5300 WILMINGTON, DE 19801	\$ 648,077.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2	E. JEFFREY PEIERLS 73 SOUTH HOLMAN WAY GOLDEN, CO 80401	\$ 856,806.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions)
3	E. JEFFREY PEIERLS 73 HOLMAN STREET GOLDEN, CO 80401	\$ 2,145,326.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions)
4	E. JEFFREY PEIERLS 73 HOLMAN STREET GOLDEN, CO 80401	\$ 10,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization PEIERLS FOUNDATION

Employer identification number
13-6082503**Part II** Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
2	18300 ARRAY BIOPHARMA INC _____ _____ _____	\$ 856,806.	07/11/2019
3	45855 ARRAY BIOPHARMA INC. _____ _____ _____	\$ 2,145,326.	07/12/2019
	_____ _____ _____ _____	\$ _____	_____
	_____ _____ _____ _____	\$ _____	_____
	_____ _____ _____ _____	\$ _____	_____
	_____ _____ _____ _____	\$ _____	_____

Name of organization PEIERLS FOUNDATION

Employer identification number

13-6082503

Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ► \$ _____

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

ATTACHMENT 1FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
DELTA V CAPITAL 15	740.	740.
FLUORFINDER	-31,543.	-31,543.
HAT AKSOR HOLDINGS	-662.	-662.
SOFINNOVA HEALTHQUEST	11,402.	11,402.
HEALTHQUEST PARTNERS II	3,895.	3,895.
TOTALS	<u>-16,168.</u>	<u>-16,168.</u>

ATTACHMENT 2FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
TAX PREPARATION 2016	9,300.	9,200.		100.
TAX PREPARATION 2017	9,800.	9,700.		100.
TOTALS	<u>19,100.</u>	<u>18,900.</u>		<u>200.</u>

ATTACHMENT 3FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL	15,981.	15,781.	100.
TOTALS	<u>15,981.</u>	<u>15,781.</u>	<u>100.</u>

ATTACHMENT 4FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES	39,638.	39,638.
TOTALS	<u>39,638.</u>	<u>39,638.</u>

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BOULDER VENTURES IV, ANNEX, LP	469.	469.
ORCHESTRA MEDICAL VENTURES II	47,245.	47,245.
BOULDER VENTURES V, LP	25,529.	25,529.
LONGWOOD FUND LP	49,575.	49,575.
SOFINNOVA HEALTHQUEST VENTURE	60,931.	60,931.
BOULDER VENTURES VI, LP	63,323.	63,323.
DELTA-V CAPITAL 2015, LP	20,415.	20,415.
HEALTHQUEST PARTNERS II, LP	32,494.	32,494.
NEW YORK FILING FEE	1,500.	1,500.
LEGAL NOTICE	160.	160.
BOULDER VENTURES VII, LP	5,179.	5,179.
ANNUAL FEE - ADVERTISEMENT	79.	79.
TOTALS	<u>306,899.</u>	<u>306,899.</u>

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
281000 ARCHERDX INC SER A PRF	1,000,107.	1,354,420.
242005 AERO GROW INT'L COMMON	153,216.	203,284.
49046 AGENUS INC.	1,094,970.	127,029.
72949 ALIEN TECHNOLOGY SER. A'	208,113.	104,317.
1228 AMERICAN INT'L GP WT EXP	20,004.	14,613.
2300 AMERICAN INTERNATIONAL GR	2,255,578.	121,808.
83000 ANGLION BIOMEDICAL CORP C	830,000.	830,000.
16600 ANGLION BIOMEDICA CORP WT		4,150.
22920 ASTEA INTERNATIONAL INC.	251,546.	264,726.
113499 ATRECA INC COM	1,407,781.	1,276,864.
52829 AVID BIOSERVICES CS	634,242.	282,635.
5 BACTOLAC PHARMACEUTICAL INC.	160,650.	558,000.
37889 BIOCEPT, INC COMMON	967,729.	27,000.
13334 BIOCEPT WARRANTS	4,000.	1.
243900 BIOCRYST PHARMACEUTICAL	1,299,997.	487,800.
176000 BLACK BEAR ENERGY A CV	399,520.	410,080.
178264 BRICKELL BIOTEC INC COM	999,865.	442,095.
8319876 CALIENT HOLDINGS LLC	2,968,808.	7,487,888.
536000 CALIENT HOLDINGS (7A)	670,000.	402,000.
419540 CALIENT HOLD. A CV PRF	411,149.	411,149.
377250 CANCER GENETICS INC. CS		
276600 CAPSTONE THERAPEUTICS C		

ATTACHMENT 6 (CONT'D)FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
431327 CARMENTA BIOSCIENCES A	431,327.	431.
25343 CASSAVA SCIENCES, INC.	408,724.	33,199.
18356 CASTLE BIOSCIENCES COM	1,400,867.	432,100.
3361 CATALYST BIOSCIENCES COM	782,991.	18,283.
76 CEL-SCI CORP.	92,834.	521.
53571 CERECOR INC. COMMON	900,000.	184,284.
27200 CERTES NETWORKS WTS	145,092.	6,528.
145092 CERTES NETWORKS CV PFD	521,104.	36,273.
5211 CERTES NETWORKS CS	930,940.	1.
81840 CHEMOCENTRYX		703,824.
171600 CLOSETBOX SER A-A CV PF	330,330.	17.
2858197 CLOSETBOX SER B-1 CV P	531,231.	285.
401612 CLOSETBOX WTS		40.
41345 CLOSETBOX CV NOTE	41,346.	
190747 CONTRAFECT COMMON	914,177.	61,993.
377 CROSSROADS SYSTMEMS, INC.	24,468.	2,847.
99232 CUR MEDIA COMMON	967,506.	14,885.
49000 DIGI INTERNATIONAL INC.	450,280.	706,580.
49198 EASIC CORP SER B CV PFD	31,024.	22,537.
41161 EASIC CORP WARRANT		18,814.
145625 EASIC CORP. COMMON	914,611.	39,464.
34159 EASIC CORP. SER A-2	32,645.	17,336.
9459 EASIC CORP. SER A-1 PD	130,575.	69,334.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
19600 EDCI HOLDINGS, INC.	326,064.	4,312.
9687 ENSERVCO CORP.	32,645.	1,470.
112033 ESHARES-ARCHERDX B CV P	539,999.	539,999.
117100 EVOKE PHARMACEUTICAL	1,123,949.	102,463.
79433 EVOTEC AG SPONSORED	1,398,035.	3,614,996.
88684 EXELIXIS INC.	1,578,428.	1,370,168.
482900 FLAGSHIP BIOSCIENCES CO	1,200,007.	845,075.
516240 FLUOROFINDER CL A	15,580.	61,949.
1552441 FLUOROFINDER CL A-1	14,962.	186,293.
245 FLUOROFINDER PROM NOTE 2	245,000.	220,500.
100 FLUOROFINDER PROM NOTE 3	100,000.	90,000.
60 FLUOROFINDER PROM NOTE 4	60,000.	54,000.
57.351 FLUOROFINDER PROM NT 5	57,351.	57,351.
5979 FORESTAR GROUP INC.	140,696.	112,286.
234828 GENMARK DIAGNOSTICS	1,599,635.	1,317,385.
13654 GOOD TIMES RESTAURANTS I	284,495.	24,304.
1203000 GREENPOWER MOTOR COM	366,915.	291,367.
601500 GREENPOWER MOTOR WTS		6,015.
3304000 HAT AKSOR HOLDINGS UTS	429,463.	594,720.
79600 HEAT BIOLOGICS INC	1,180,550.	42,188.
19275 HEAT BIOLOGICS SER A WT		2.
150000 HIBERNA CORP. COMMON	150,000.	15.
1380000 IMTHERA MED SER A-1		4,692,000.
60400 INCYTE CORP	373,310.	5,068,766.
263559 INNOVATE BIOPHARMACEU	672,000.	213,483.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
52712 INNOVATE BIOPHARMA WTS		5.
133200 KINDRED BIOSCIENCES INC	1,247,716.	1,088,244.
8680 KINROSS GOLD CORP.	71,507.	42,098.
58933 LANTRONIX INC.	779,706.	182,692.
128571 LEXICON PHARMA INC CL A	885,987.	476,998.
150000 LINEAGEN CV PROM NOTE	150,000.	150,000.
520000 LINEAGEN INC SER C-1 PF	520,000.	520,000.
76000 LINEAGEN INC SER C-1 PF	76,000.	76,000.
27600 LINEAGEN INC WTS 10/9/19		828.
267857 LINEAGEN WTS 5/31/18		8,036.
267857 LINEAGEN WTS 7/20/18		8,036.
142857 LINEAGEN WTS 8/01/18		4,286.
150000 LINEAGEN CV NT 7/20/18	150,000.	150,000.
92000 LINEAGEN CV NOTE 10/9/19	92,000.	92,000.
80000 LINEAGEN CV NOTE 8/1/18	80,000.	80,000.
211000 MAGNOLIA MEDICAL B CV P	472,640.	537,417.
69400 MAGNOLIA MEDICAL C CV PF	110,053.	227,077.
319068 MARDIL SER B 4 PFR	850,000.	849,997.
132800 MARDIL SER 2 CV P NOTE	132,800.	132,800.
9298 MILLENDO THERAPEUTICS CS	1,028,325.	67,039.
512254 MIRAGEN THERAPEUTICS CS		
639654 MIRAGEN THERAPEUTICES C	4,010,245.	412,577.
40000 MOTUS GI HOLDINGS CS	200,000.	69,200.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6 (CONT'D)

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
315610 MOTUS GI HOLDINGS CS 54780	1,183,245.	546,005.
MOTUS GI HOLDINGS WTS 360000		5.
MRI INTERVENTIONS WTS 360000		648,000.
MRI INTERVENTIONS CS 38190 MS	720,000.	1,414,800.
& AD INSURANCE GROUP 170000	1,350,346.	1,239,647.
153079 NANTCELL INC. COMMON	465,025.	1,530,790.
324731 NEUROTROPE INC COM	2,984,827.	222,441.
29167 NEUROTROPE SER C WTS		3.
29167 NEUROTROPE SER D WTS		3.
29167 NEUROTROPE SER E WTS		3.
38125 NEUROTROPE SER F WTS		4.
117463 NEUROTROPE SER G WTS		12.
2850824 NEW FRONTIER ENERGY IN	644,030.	12,829.
1500 NEW FRONTIER SER B CV PFD	313,990.	1,154.
575.25 NEW FRONTIER SERB CV PF	99,120.	443.
130000 OMEROS CORP.	824,411.	2,059,200.
79520 ORCHESTRA BIOMED A PFD	709,405.	1,192,800.
9429 ORCHESTRA BIOMED B PFD	113,149.	141,435.
9429 ORCHESTRA BIOMED C PFD	56,573.	141,435.
15756 ORCHESTRA BIOMED WTS		146,850.
460000 ORPHEUS BIO B CV PRF	586,500.	588,800.
290000 OSTENDO TECH C-3 SER PF	731,820.	2,676,700.
19812 PDS BIOTECH C-3 CV PF	935,786.	59,238.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
488383 PEERNOVA COMMON	781,510.	4,884.
2207600 PEERNOVA A-2A CV PFD	260,497.	220,760.
4200000 PEERNOVA A-3A CV PFD	252,000.	420,000.
8151444 PEERNOVA A-4 CV PRF	732,071.	815,144.
198446 PEERNOVA B CV PROM NOTE	198,446.	198,446.
94900 PROGENICS PHARMACEUTICAL	385,667.	503,919.
910746 RAPT MEDIA SER B PFD	350,000.	91.
50000 RAPT MEDIA CV PROM NOTE	50,000.	10,000.
2367693 REFLEX SYSTEMS SER A		71,031.
382066 REFLEX SYS LLC SER B	15,265.	11,462.
140000 RING ENERGY	770,000.	232,400.
10576 ROOT9B TECH INC	112,771.	374.
246000 SANGAMO BIOSCIENCES INC	1,127,936.	2,226,300.
334000 SG BLOCKS INC COM	283,900.	167,000.
422288 SHUNFENG INTL CLEAN EN	99,522.	10,557.
5884 SOLITARIO EXPL. & ROYALTY	6,884.	1,720.
62725 SOMPO HOLDINGS	1,817,571.	2,479,896.
80200 SORRENTO EXPLOR	581,450.	121,904.
172752 SUNDANCE ENERGY AUSTRIL	800,000.	153,749.
59000 TOKIO MARINE HOLDINGS IN	896,155.	3,202,520.

FORM 990PF, PART II - CORPORATE STOCKATTACHMENT 6 (CONT'D)

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
41000 UNIQUE N.V.	633,436.	2,051,640.
922000 UR-ENERGY, INC	972,483.	519,270.
31300 URSTADT BIDDLE CLASS A	165,103.	761,529.
31300 URSTADT BIDDLE	171,075.	596,891.
532231.5 VERASTEM INC. COM	2,431,637.	580,132.
59.342 VITAL ACCESS PROM NOTES	59,342.	1,484.
13600 YAMANASHI CHUO BANK	709,115.	136,748.
TOTALS	<u>74,847,473.</u>	<u>69,988,320.</u>

ATTACHMENT 7FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
BOULDER VENTURES IV ANNEX, LP	61,962.	284,578.
BOULDER VENTURES V, LP	114,494.	911,444.
ORCHESTRA MEDICAL VEN II	2,109,780.	4,320,686.
LONGWOOD FOUNDERS FUND LP	483,607.	576,063.
SOFINNOVA HEALTHQUEST PARTNERS	1,333,822.	2,089,235.
BOULDER VENTURES VI, LP	553,117.	1,047,920.
DELTA-V CAPITAL 2015, L.P.	436,652.	436,365.
HEALTHQUEST PARTNERS II	913,538.	1,183,256.
HEALTHQUEST PARTNERS AJAX	399,000.	399,052.
HEALTHQUEST PARTNERS III	84,000.	80,889.
BOULDER VENTURES VII	423,821.	399,565.
TOTALS	<u>6,913,793.</u>	<u>11,729,053.</u>

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
ASSETS COST BASIS ADJUSTMENT	661,956.
TOTAL	<u>661,956.</u>

ATTACHMENT 9FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
VALUE OF NON-CASH CONTRIBUTIONS IN EXCESS OF COST	2,756,717.
BOULDER VENTURES V, LP NON-DED	172.
TOTAL	<u>2,756,889.</u>

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 10

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
E. JEFFREY PEIERLS 73 SOUTH HOLMAN WAY GOLDEN, CO 80401	PRESIDENT			
BRIAN E. PEIERLS 3017 MCCURDY STREET AUSTIN, TX 78723	VICE PRESIDENT			
JAMES FLAGGERT 920 5TH AVENUE SUITE 3300 SEATTLE, WA 98104-1610	SECRETARY			
GRAND TOTALS		0.	0.	0.

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

E.JEFFREY PEIERLS
BRIAN ELIOT PEIERLS

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

E.JEFFREY PEIERLS
73 SOUTH HOLMAN WAY
GOLDEN, CO 80401
303-922-6654

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND			
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
AMERICAN FOUNDATION FOR THE BLIND 1401 SOUTH CLARK STREET, SUITE 730 ARLINGTON, VA 22202	PC	SUPPORT	21,600
AMERICAN RED CROSS 2218 PERSHING DRIVE AUSTIN, TX 78723	PC	SUPPORT	500,000
CHIEF SEATTLE COUNCIL, BOY SCOUTS OF AMERICA PO BOX 440408 SEATTLE, WA 98114-9758	PC	SUPPORT	34,000
MEHARRY MEDICAL COLLEGE 1005 DRIVE D B TODD JR BLVD NASHVILLE, TN 37208-3599	PC	SUPPORT	62,000
PLANNED PARENTHOOD OF THE GREAT NORTHWEST 2001 EAST MADISON STREET SEATTLE, WA 98122-2959	PC	SUPPORT	90,000
LEARNING ALLY 20 ROSZEL ROAD PRINCETON, NJ 08540-9983	PC	SUPPORT	32,400

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR			
RECIPIENT NAME AND ADDRESS	AND	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
	FOUNDATION STATUS OF RECIPIENT		
THAT MAN MAY SEE, INC 10 KORET WAY, BOX 0352 SAN FRANCISCO, CA 94143-0352	PC	SUPPORT	112,000
NARAL PRO-CHOICE AMERICA FOUNDATION 1156 15TH STREET N W SUITE 700 WASHINGTON, DC 20005	PC	SUPPORT	59,000
ARTHRITIS FOUNDATION 1355 PEACHTREE STREET NE , SUITE 600 ATLANTA, GA 38309-2904	PC	SUPPORT	30,000
NORTHERN NEW JERSEY COUNCIL, BSA PO BOX 670 OAKLAND, NJ 07436-1709	PC	SUPPORT	34,000
PLANNED PARENTHOOD FEDERATION OF AMERICA 123 WILLIAM STREET NEW YORK, NY 10038	PC	SUPPORT	245,000
PLANNED PARENTHOOD OF METROPOLITAN NEW JERSEY 151 WASHINGTON STREET NEWARK, NJ 07102	PC	SUPPORT	90,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND				AMOUNT
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION		
LAKE WASHINGTON INSTITUTE OF TECH FNDN 11605 132ND AVENUE N E KIRKLAND, WA 98034-8506	PC	SUPPORT		70,000
PLANNED PARENTHOOD OF GREATER TEXAS 201 EAST BEN WHITE BLVD , SUITE B AUSTIN, TX 78704	PC	SUPPORT		90,000
VIRGINIA GARCIA MEMORIAL HEALTH CENTER PO BOX 6149 ALOHA, OR 97007	PC	SUPPORT		80,000
BIG BROTHERS BIG SISTERS OF AUSTIN, TEXAS PO BOX 4555 AUSTIN, TX 78721	PC	SUPPORT		80,000
BOY SCOUTS OF AMERICA, CAPITAL AREA COUNCIL 12500 N IH 35 AUSTIN, TX 78753-1312	PC	SUPPORT		
AUSTIN COMMUNITY COLLEGE FOUNDATION 5930 MIDDLE FISKVILLE ROAD AUSTIN, TX 78752	PC	SUPPORT		46,400

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
RAISING AUSTIN (TOGETHER4CHILDREN) PO BOX 10047 AUSTIN, TX 78766-1047	PC		SUPPORT	100,000
NATURAL RESOURCES DEFENSE COUNCIL 40 WEST 20TH STREET NEW YORK, NY 10011	PC		SUPPORT	61,000.
THE INTERFAITH ALLIANCE FOUNDATION 1250 24TH STREET, N W , SUITE 400 WASHINGTON, DC 20037-1186	PC		SUPPORT	59,000
BOY SCOUTS OF AMERICA, DENVER AREA COUNCIL 10455 WEST 6TH AVENUE, SUITE 100 DENVER, CO 80215	PC		SUPPORT	31,000.
CARE, INC 465 CALIFORNIA STREET, SUITE 475 SAN FRANCISCO, CA 94104	PC		SUPPORT	555,000
INTERNATIONAL RESCUE COMMITTEE 122 EAST 42ND STREET NEW YORK, NY 10168-1289	PC		SUPPORT	510,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
PLANNED PARENTHOOD OF THE ROCKY MOUNTAINS 7155 EAST 38TH AVENUE DENVER, CO 80203-2706	PC		SUPPORT	86,000
STANFORD GRADUATE SCHOOL OF BUSINESS 655 KNIGHT WAY STANFORD, CA 94305-7298	PC		SUPPORT	39,000
THE NATURE CONSERVANCY 2424 SPRUCE STREET BOULDER, CO 80302-4617	PC		SUPPORT	645,000
YALE UNIVERSITY, OFFICE OF DEVELOPMENT PO BOX 2038 NEW HAVEN, CT 06521-2038	PC		SUPPORT	45,000
COLORADO UPLIFT 400 WEST 48TH AVENUE, SUITE 250 DENVER, CO 80216	PC		SUPPORT	146,000
AMERICAN INDIAN COLLEGE FUND 8333 GREENWOOD BLVD DENVER, CO 80221-4488	PC		SUPPORT	125,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND				AMOUNT
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION		
HEARING HEALTH FOUNDATION 363 SEVENTH AVENUE, 10TH FLOOR NEW YORK, NY 10001-3904	PC	SUPPORT		36,500
UNITARIAN UNIVERSALIST ASSOCIATION 24 FARNSWORTH STREET BOSTON, MA 02210-1409	PC	SUPPORT		24,000
UNITARIAN-UNIVERSALIST SERVICE COMMITTEE 689 MASSACHUSETTS AVENUE CAMBRIDGE, MA 02139-3302	PC	SUPPORT		49,000
METROPOLITAN STATE COLLEGE OF DENVER FOUNDATION PO BOX 173362 - CAMPUS BOX 14 DENVER, CO 80217-3362	PC	SUPPORT		90,500
GIRLS INCORPORATED OF METRO DENVER 1499 JULIAN STREET DENVER, CO 80204	PC	SUPPORT		42,000
COLORADO I HAVE A DREAM FOUNDATION 1836 GRANT STREET DENVER, CO 80203-2022	PC	SUPPORT		144,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND			
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
DOCTORS WITHOUT BORDERS, USA 40 RECTOR STREET, 16TH FLOOR NEW YORK, NY 10006-1705	PC	SUPPORT	590,000
ENERGY OUTREACH COLORADO 225 EAST 16TH AVENUE, SUITE 200 DENVER, CO 80203-1612	PC	SUPPORT	36,800
HOPE CENTER 3400 ELIZABETH STREET DENVER, CO 80205-4244	PC	SUPPORT	57,400
BIG BROTHERS BIG SISTERS OF COLORADO 750 WEST HAMPDEN AVENUE, SUITE 450 ENGLEWOOD, CO 80110	PC	SUPPORT	72,000
AMERICAN UNITED FOR SEPARATION OF CHURCH AND STATE 1310 L STREET NW, SUITE 200 WASHINGTON, DC 20005	PC	SUPPORT	59,500
READING PARTNERS COLORADO 1600 DOWNING STREET, SUITE 700 DENVER, CO 80218	PC	SUPPORT	80,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND				PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT				
WESTMINSTER PUBLIC SCHOOLS FOUNDATION 7002 RELEIGH STREET WESTMINSTER, CO 80030	GOV			SUPPORT	74,000
DENVER SCHOLARSHIP FOUNDATION 789 SHERMAN STREET, SUITE 610 DENVER, CO 80203	PC			SUPPORT	51,000
ACCESS ESPERANZA CLINICS, INC 916 E HACKBERRY AVENUE MCALLEN, TX 78501-5737	PC			SUPPORT	105,000
SIERRA CLUB FOUNDATION 1536 WYNCOOP STREET, SECOND FLOOR DENVER, CO 80202	PC			SUPPORT	38,000
CAPITAL AREA COUNCIL, BSA 12500 NORTH IH-35 AUSTIN, TX 78753-1312	PC			SUPPORT	34,000
TOOLS OF THE MIND 26093 THEA GULCH ROAD GOLDEN, CO 80403	PC			SUPPORT	71,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

COLORADO YOUTH FOR A CHANGE
2490 WEST 26TH AVENUE, SUITE 110A
DENVER, CO 80211

PC

PURPOSE OF GRANT OR CONTRIBUTION

SUPPORT

AMOUNT

92,000

TOTAL CONTRIBUTIONS PAID

5,825,100

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis	Gain or (loss)	
		TOTAL SHORT-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS				530,521.	
		TOTAL LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS				249,018.	
4.		2 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 3,193.				P 04/13/2011 -3,189.	09/26/2019
16.		8 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 13,953.				P 03/28/2011 -13,937.	09/26/2019
66.		33 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 55,521.				P 03/24/2011 -55,455.	09/26/2019
274.		137 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 49,225.				P 07/15/2014 -48,951.	09/26/2019
70.		35 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 58,530.				P 04/14/2011 -58,460.	09/26/2019
6.		3 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 4,544.				P 04/12/2011 -4,538.	09/26/2019
815.		408 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 146,418.				P 07/17/2014 -145,603.	09/26/2019
30.		15 ACHIEVE LIFE SCIENCES, INC. PROPERTY TYPE: SECURITIES 25,281.				P 03/18/2011 -25,251.	09/26/2019
4,830.		1669 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 525,600.				P 11/30/2005 -520,770.	09/26/2019
58.		20 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 23,583.				P 01/27/2012 -23,525.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
3,704.		1280 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 407,100.				P	03/09/2012 -403,396.	09/26/2019
278.		96 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 111,182.				P	01/26/2012 -110,904.	09/26/2019
660.		228 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 93,228.				P	06/13/2007 -92,568.	09/26/2019
2,283.		789 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 269,875.				P	11/16/2010 -267,592.	09/26/2019
6,358.		2197 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 985,264.				P	08/12/2008 -978,906.	09/26/2019
3,111.		1075 APOLLO ENDOSURGERY INC. PROPERTY TYPE: SECURITIES 439,507.				P	04/06/2007 -436,396.	09/26/2019
4,950.		951 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 193,640.				P	05/30/2013 -188,690.	09/26/2019
172.		33 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 239,849.				P	12/08/2006 -239,677.	09/26/2019
193.		37 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 234,694.				P	10/02/2008 -234,501.	09/26/2019
203.		39 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 286,306.				P	10/10/2008 -286,103.	09/26/2019
203.		39 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 287,672.				P	02/22/2006 -287,469.	09/26/2019
52.		10 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 64,219.				P	10/01/2008 -64,167.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
62.		12 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 112,616.				P	12/21/2007	09/26/2019
							-112,554.	
62.		12 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 112,612.				P	05/31/2007	09/26/2019
							-112,550.	
156.		30 ARCA BIOPHARMA, INC. PROPERTY TYPE: SECURITIES 201,558.				P	09/25/2008	09/26/2019
							-201,402.	
62,400.		1300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 2,639.				P	12/27/2011	07/30/2019
							59,761.	
144,000.		3000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 23,318.				P	01/10/2008	07/30/2019
							120,682.	
288,000.		6000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 39,850.				P	02/12/2001	07/30/2019
							248,150.	
288,000.		6000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 34,990.				P	03/16/2001	07/30/2019
							253,010.	
288,000.		6000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 34,990.				P	03/16/2001	07/30/2019
							253,010.	
1,084,800.		22600 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 48,985.				P	06/22/2011	07/30/2019
							1,035,815.	
2,256,000.		47000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 101,544.				P	06/21/2011	07/30/2019
							2,154,456.	
508,800.		10600 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 22,755.				P	06/23/2011	07/30/2019
							486,045.	
146,400.		3050 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 14,413.				P	03/22/2001	07/30/2019
							131,987.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
146,400.		3050 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 14,413.				P	03/22/2001 131,987.	07/30/2019
331,200.		6900 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 14,973.				P	07/28/2011 316,227.	07/30/2019
398,400.		8300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 55,088.				P	02/15/2001 343,312.	07/30/2019
518,400.		10800 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 57,261.				P	03/21/2001 461,139.	07/30/2019
518,400.		10800 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 57,261.				P	03/21/2001 461,139.	07/30/2019
518,400.		10800 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 71,157.				P	03/08/2001 447,243.	07/30/2019
518,400.		10800 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 71,157.				P	03/08/2001 447,243.	07/30/2019
494,400.		10300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 80,496.				P	01/09/2008 413,904.	07/30/2019
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 11,830.				P	03/14/2001 84,170.	07/30/2019
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 11,830.				P	03/14/2001 84,170.	07/30/2019
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 11,580.				P	03/20/2001 84,420.	07/30/2019
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 11,580.				P	03/20/2001 84,420.	07/30/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 9,330.				P	03/23/2001 86,670.	07/30/2019
96,000.		2000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 9,330.				P	03/23/2001 86,670.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 24,785.				P	03/13/2001 167,215.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 24,785.				P	03/13/2001 167,215.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 26,660.				P	01/12/2001 165,340.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 26,410.				P	03/07/2001 165,590.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 26,410.				P	03/07/2001 165,590.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 25,160.				P	03/12/2001 166,840.	07/30/2019
192,000.		4000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 25,160.				P	03/12/2001 166,840.	07/30/2019
909,456.		18947 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 40,228.				P	06/17/2011 869,228.	07/30/2019
734,400.		15300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 40,258.				P	02/29/2016 694,142.	07/30/2019
350,400.		7300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 46,592.				P	02/21/2001 303,808.	07/30/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
350,400.		7300 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 46,592.				P	02/21/2001 303,808.	07/30/2019
120,000.		2500 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 16,038.				P	03/02/2001 103,962.	07/30/2019
120,000.		2500 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 16,038.				P	03/02/2001 103,962.	07/30/2019
120,000.		2500 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 15,725.				P	02/22/2001 104,275.	07/30/2019
120,000.		2500 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 15,725.				P	02/22/2001 104,275.	07/30/2019
278,400.		5800 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 12,575.				P	06/27/2011 265,825.	07/30/2019
2,400,000.		50000 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 107,751.				P	06/24/2011 2,292,249.	07/30/2019
753,600.		15700 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 123,010.				P	01/10/2008 630,590.	07/30/2019
122,400.		2550 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 16,358.				P	02/28/2001 106,042.	07/30/2019
122,400.		2550 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 16,358.				P	02/28/2001 106,042.	07/30/2019
166,944.		3478 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 7,416.				P	06/20/2011 159,528.	07/30/2019
183,840.		3830 ARRAY BIOPHARMA INC. PROPERTY TYPE: SECURITIES 9,958.				P	02/29/2016 173,882.	07/30/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
11.		0.7 ATRECA INC SER B CV PFD PROPERTY TYPE: SECURITIES				P	08/10/2017	06/07/2019
							11.	
6.		0.3 ATRECA INC SER C1 CV PFD PROPERTY TYPE: SECURITIES				P	09/05/2018	06/07/2019
							6.	
		309600 BAROFOLD INC SER. A CV. PFD. PROPERTY TYPE: SECURITIES 114,552.				P	01/15/2010	06/28/2019
							-114,552.	
		60000 BAROFOLD INC SER. A CV. PFD. PROPERTY TYPE: SECURITIES 22,200.				P	02/15/2010	06/28/2019
							-22,200.	
		169049 BAROFOLD INC SER. A CV. PFD. PROPERTY TYPE: SECURITIES 62,548.				P	01/25/2013	06/28/2019
							-62,548.	
		169049 BAROFOLD INC SER. A CV. PFD. PROPERTY TYPE: SECURITIES 62,548.				P	06/18/2012	06/28/2019
							-62,548.	
5,130.		52650 CANCER GENETICS, INC. PROPERTY TYPE: SECURITIES 101,552.				P	12/26/2017	09/26/2019
							-96,422.	
2,144.		22000 CANCER GENETICS, INC. PROPERTY TYPE: SECURITIES 47,280.				P	06/06/2016	09/26/2019
							-45,136.	
24,935.		255900 CANCER GENETICS, INC. PROPERTY TYPE: SECURITIES 552,642.				P	06/09/2016	09/26/2019
							-527,707.	
4,551.		46700 CANCER GENETICS, INC. PROPERTY TYPE: SECURITIES 100,171.				P	06/03/2016	09/26/2019
							-95,620.	
9.		0.6 CAPSTONE THERAPEUTICS CORP. PROPERTY TYPE: SECURITIES				P	12/30/1996	09/10/2019
							9.	
502.		36 CAPSTONE THERAPEUTICS CORP. PROPERTY TYPE: SECURITIES 145,169.				P	05/13/2005	09/26/2019
							-144,667.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
1,088.		78 CAPSTONE THERAPEUTICS CORP. PROPERTY TYPE: SECURITIES 450,103.				P	12/30/1996 -449,015.	09/26/2019
2,261.		162 CAPSTONE THERAPEUTICS CORP. PROPERTY TYPE: SECURITIES 654,804.				P	05/12/2005 -652,543.	09/26/2019
1.		0.1 CASTLE BIOSCIENCES INC PROPERTY TYPE: SECURITIES				P	05/31/2018 1.	07/11/2019
1.		0.1 CASTLE BIOSCIENCES INC PROPERTY TYPE: SECURITIES				P	01/08/2018 1.	07/11/2019
8.		0.5 CASTLE BIOSCIENCES INC PROPERTY TYPE: SECURITIES				P	10/27/2015 8.	07/11/2019
2.		0.2 CASTLE BIOSCIENCES INC PROPERTY TYPE: SECURITIES				P	01/31/2019 2.	07/29/2019
24.		0.9 CASTLE BIOSCIENCES INC PROPERTY TYPE: SECURITIES				P	01/08/2018 24.	07/29/2019
1.		746 CIBER, INC. PROPERTY TYPE: SECURITIES 5,964.				P	09/12/2000 -5,963.	09/26/2019
1.		746 CIBER, INC. PROPERTY TYPE: SECURITIES 5,964.				P	09/12/2000 -5,963.	09/26/2019
2.		1588 CIBER, INC. PROPERTY TYPE: SECURITIES 10,860.				P	06/30/2000 -10,858.	09/26/2019
2.		1588 CIBER, INC. PROPERTY TYPE: SECURITIES 10,860.				P	06/30/2000 -10,858.	09/26/2019
1.		455 CIBER, INC. PROPERTY TYPE: SECURITIES 2,546.				P	04/27/2001 -2,545.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
1.		455 CIBER, INC. PROPERTY TYPE: SECURITIES 2,546.				P	04/27/2001 -2,545.	09/26/2019
1.		939 CIBER, INC. PROPERTY TYPE: SECURITIES 7,281.				P	06/29/2000 -7,280.	09/26/2019
1.		939 CIBER, INC. PROPERTY TYPE: SECURITIES 7,281.				P	06/29/2000 -7,280.	09/26/2019
4.		3293 CIBER, INC. PROPERTY TYPE: SECURITIES 24,115.				P	07/06/2000 -24,111.	09/26/2019
4.		3293 CIBER, INC. PROPERTY TYPE: SECURITIES 24,115.				P	07/06/2000 -24,111.	09/26/2019
1.		600 CIBER, INC. PROPERTY TYPE: SECURITIES 3,357.				P	05/01/2001 -3,356.	09/26/2019
1.		600 CIBER, INC. PROPERTY TYPE: SECURITIES 3,357.				P	05/01/2001 -3,356.	09/26/2019
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 2,708.				P	04/30/2001 -2,707.	09/26/2019
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 2,708.				P	04/30/2001 -2,707.	09/26/2019
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 3,831.				P	08/04/2000 -3,830.	09/26/2019
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 3,831.				P	08/04/2000 -3,830.	09/26/2019
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 3,675.				P	07/10/2000 -3,674.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
1.		484 CIBER, INC. PROPERTY TYPE: SECURITIES 3,675.				P	07/10/2000 -3,674.	09/26/2019
1.		494 CIBER, INC. PROPERTY TYPE: SECURITIES 3,877.				P	08/03/2000 -3,876.	09/26/2019
1.		494 CIBER, INC. PROPERTY TYPE: SECURITIES 3,877.				P	08/03/2000 -3,876.	09/26/2019
1.		513 CIBER, INC. PROPERTY TYPE: SECURITIES 4,208.				P	07/05/2000 -4,207.	09/26/2019
1.		513 CIBER, INC. PROPERTY TYPE: SECURITIES 4,208.				P	07/05/2000 -4,207.	09/26/2019
1.		533 CIBER, INC. PROPERTY TYPE: SECURITIES 4,214.				P	07/18/2000 -4,213.	09/26/2019
1.		533 CIBER, INC. PROPERTY TYPE: SECURITIES 4,214.				P	07/18/2000 -4,213.	09/26/2019
1.		969 CIBER, INC. PROPERTY TYPE: SECURITIES 7,507.				P	08/07/2000 -7,506.	09/26/2019
1.		969 CIBER, INC. PROPERTY TYPE: SECURITIES 7,507.				P	08/07/2000 -7,506.	09/26/2019
1.		969 CIBER, INC. PROPERTY TYPE: SECURITIES 7,713.				P	06/28/2000 -7,712.	09/26/2019
1.		969 CIBER, INC. PROPERTY TYPE: SECURITIES 7,713.				P	06/28/2000 -7,712.	09/26/2019
8,878.		1085 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 449,876.				P	07/28/2000 -440,998.	10/07/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj. basis		Gain or (loss)	
8,878.		1085 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 449,876.				P	07/28/2000 -440,998.	10/07/2019
2,864.		350 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 26,184.				P	07/23/2002 -23,320.	10/07/2019
2,370.		307 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 20,526.				P	07/25/2002 -18,156.	10/08/2019
6,354.		823 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 56,371.				P	07/24/2002 -50,017.	10/08/2019
1,204.		156 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 10,690.				P	07/31/2002 -9,486.	10/08/2019
317.		41 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 2,705.				P	08/01/2002 -2,388.	10/08/2019
1,305.		169 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 11,557.				P	07/30/2002 -10,252.	10/08/2019
208.		27 CROSSROADS SYSTEMS, INC. PROPERTY TYPE: SECURITIES 2,020.				P	07/23/2002 -1,812.	10/08/2019
460.		1181 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 161,957.				P	10/29/2010 -161,497.	09/26/2019
926.		2380 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 326,259.				P	11/04/2010 -325,333.	09/26/2019
		1 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 5,482.				P	06/30/2004 -5,482.	09/26/2019
		1 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 5,536.				P	07/09/2004 -5,536.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
2.		5 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 18,872.				P	06/14/2004 -18,870.	09/26/2019
1.		3 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 10,176.				P	07/08/2004 -10,175.	09/26/2019
10.		25 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 85,890.				P	06/15/2004 -85,880.	09/26/2019
630.		1618 CYCLACEL PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 221,512.				P	10/26/2010 -220,882.	09/26/2019
16,409.		56250 CYTRX CORP. PROPERTY TYPE: SECURITIES 799,916.				P	01/07/2016 -783,507.	10/07/2019
18,852.		102479 EASIC CORP. COMMON PROPERTY TYPE: SECURITIES 14,146.				P	01/25/2013 4,706.	06/05/2019
9,455.		102479 EASIC CORP. COMMON PROPERTY TYPE: SECURITIES				P	01/25/2013 9,455.	06/05/2019
909.		102479 EASIC CORP. COMMON PROPERTY TYPE: SECURITIES				P	01/25/2013 909.	09/17/2019
574,301.		9459 EASIC CORP. SER A-1 PFD. PROPERTY TYPE: SECURITIES 130,575.				P	01/25/2013 443,726.	06/05/2019
65,785.		9459 EASIC CORP. SER A-1 PFD. PROPERTY TYPE: SECURITIES				P	01/25/2013 65,785.	09/17/2019
143,580.		34159 EASIC CORP. SER A-2 PFD. PROPERTY TYPE: SECURITIES 32,645.				P	01/25/2013 110,935.	06/05/2019
16,447.		34159 EASIC CORP. SER A-2 PFD. PROPERTY TYPE: SECURITIES				P	01/25/2013 16,447.	09/17/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
16,011.		1606 EASIC CORP. SER B CV PFD PROPERTY TYPE: SECURITIES 7,529.				P	10/31/2017 8,482.	09/17/2019
155,845.		41161 EASIC CORP. WARRANTS PROPERTY TYPE: SECURITIES 33.				P	05/30/2017 155,812.	06/05/2019
17,852.		41161 EASIC CORP. WARRANTS PROPERTY TYPE: SECURITIES				P	05/30/2017 17,852.	09/17/2019
1.		183 FC GLOBAL REALTY INC. PROPERTY TYPE: SECURITIES 157,688.				P	11/02/1994 -157,687.	09/26/2019
1.		220 FC GLOBAL REALTY INC. PROPERTY TYPE: SECURITIES 209,100.				P	09/29/1995 -209,099.	09/26/2019
2,470.		109900 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 307,656.				P	03/13/2007 -305,186.	09/26/2019
3,620.		161100 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 447,339.				P	03/12/2007 -443,719.	09/26/2019
220.		11900 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 33,313.				P	03/13/2007 -33,093.	09/27/2019
280.		15100 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 41,469.				P	03/14/2007 -41,189.	09/27/2019
1,508.		84861 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 233,055.				P	03/14/2007 -231,547.	10/01/2019
360.		20000 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 54,926.				P	03/14/2007 -54,566.	10/02/2019
262.		17239 HARBOR DIVERSIFIED INC. PROPERTY TYPE: SECURITIES 47,344.				P	03/14/2007 -47,082.	10/03/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
115,626.		1150000 IMTHERA MEDICAL SER A-1 CV PFD PROPERTY TYPE: SECURITIES				P	02/25/2008 115,626.	08/07/2019
23,125.		230000 IMTHERA MEDICAL SER A-1 CV PFD PROPERTY TYPE: SECURITIES				P	04/10/2015 23,125.	08/07/2019
1.		550 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 49,940.				P	09/23/1999 -49,939.	09/26/2019
1.		750 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 51,075.				P	02/11/2000 -51,074.	09/26/2019
1.		465 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 42,222.				P	09/22/1999 -42,221.	09/26/2019
		310 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 19,174.				P	03/03/2000 -19,174.	09/26/2019
2.		1280 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 79,168.				P	03/06/2000 -79,166.	09/26/2019
		95 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 8,626.				P	09/10/1999 -8,626.	09/26/2019
		50 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 4,415.				P	09/08/1999 -4,415.	09/26/2019
1.		500 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 33,425.				P	02/11/2000 -33,424.	09/26/2019
1.		500 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 32,800.				P	02/11/2000 -32,799.	09/26/2019
1.		500 KUBOO, INC. (SUGGESTION BOX) PROPERTY TYPE: SECURITIES 32,800.				P	02/14/2000 -32,799.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj. basis		Gain or (loss)	
44.		138 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 39,763.				P	12/22/2006	10/03/2019
							-39,719.	
53.		167 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 38,500.				P	10/05/2001	10/03/2019
							-38,447.	
15.		47 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 61,308.				P	12/07/2000	10/03/2019
							-61,293.	
32.		100 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 23,100.				P	10/04/2001	10/03/2019
							-23,068.	
68.		213 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 49,330.				P	09/28/2001	10/03/2019
							-49,262.	
168.		529 LIVE MICROSYSTEMS, INC. PROPERTY TYPE: SECURITIES 150,881.				P	12/26/2006	10/03/2019
							-150,713.	
309,628.		155997.9 MARKET FORCE ESCROW FUNDS PROPERTY TYPE: SECURITIES 25,000.				P	12/27/2017	11/20/2018
							284,628.	
676.		35200 MYREXIS, INC. PROPERTY TYPE: SECURITIES 97,455.				P	10/02/2009	10/07/2019
							-96,779.	
956.		49800 MYREXIS, INC. PROPERTY TYPE: SECURITIES 146,456.				P	10/01/2009	10/07/2019
							-145,500.	
96.		5000 MYREXIS, INC. PROPERTY TYPE: SECURITIES 14,329.				P	10/27/2009	10/07/2019
							-14,233.	
1,536.		80000 MYREXIS, INC. PROPERTY TYPE: SECURITIES 219,445.				P	11/04/2009	10/07/2019
							-217,909.	
		0.7 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES				P	07/02/2004	06/10/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
1,324.		269 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 175,780.				P	04/13/2005 -174,456.	09/26/2019
315.		64 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 47,003.				P	07/02/2004 -46,688.	09/26/2019
655.		133 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 86,955.				P	04/15/2005 -86,300.	09/26/2019
84.		17 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 701.				P	12/09/2014 -617.	09/26/2019
350.		71 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 2,945.				P	12/05/2014 -2,595.	09/26/2019
704.		143 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 5,886.				P	12/03/2014 -5,182.	09/26/2019
739.		150 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 98,175.				P	04/14/2005 -97,436.	09/26/2019
226.		46 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 1,883.				P	12/04/2014 -1,657.	09/26/2019
985.		200 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 146,230.				P	07/07/2004 -145,245.	09/26/2019
1,034.		210 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 153,542.				P	07/06/2004 -152,508.	09/26/2019
547.		111 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 81,471.				P	07/09/2004 -80,924.	09/26/2019
295.		60 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 39,270.				P	04/05/2005 -38,975.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
3,845.		781 ONCTERNAL THERAPEUTICS INC PROPERTY TYPE: SECURITIES 571,342.				P	07/08/2004 -567,497.	09/26/2019
1.		0.7 MILLENDI THERAPEUTICS INC PROPERTY TYPE: SECURITIES				P	03/30/2012 1.	12/04/2018
1,250.		603 PAION AG PROPERTY TYPE: SECURITIES 49,932.				P	09/25/1997 -48,682.	10/07/2019
7,392.		3565 PAION AG PROPERTY TYPE: SECURITIES 303,767.				P	09/17/1997 -296,375.	10/07/2019
2,376.		1146 PAION AG PROPERTY TYPE: SECURITIES 96,356.				P	09/17/1997 -93,980.	10/07/2019
6.		0.6 PDS BIOTECHNOLOGY CORP. PROPERTY TYPE: SECURITIES 132.				P	10/06/2015 -126.	03/18/2019
112.		264 RESPIRERX PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 92,664.				P	01/24/2007 -92,552.	09/26/2019
4.		10 RESPIRERX PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 3,456.				P	01/23/2007 -3,452.	09/26/2019
385.		904 RESPIRERX PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 699,720.				P	09/30/2005 -699,335.	09/26/2019
1.		100 SRTI BLOCKCHAIN GENERATION INC PROPERTY TYPE: SECURITIES 188.				P	08/11/2003 -187.	09/26/2019
1.		100 SRTI BLOCKCHAIN GENERATION INC PROPERTY TYPE: SECURITIES 191.				P	07/15/2003 -190.	09/26/2019
1.		100 SRTI BLOCKCHAIN GENERATION INC PROPERTY TYPE: SECURITIES 188.				P	08/08/2003 -187.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
15.		2900 SRTI BLOCKCHAIN GENERATION INC PROPERTY TYPE: SECURITIES 5,438.				P	08/07/2003 -5,423.	09/26/2019
39.		7500 SRTI BLOCKCHAIN GENERATION INC PROPERTY TYPE: SECURITIES 14,063.				P	07/17/2003 -14,024.	09/26/2019
1.		271 STRASBAUGH PROPERTY TYPE: SECURITIES 1,924.				P	03/30/2004 -1,923.	09/26/2019
1.		319 STRASBAUGH PROPERTY TYPE: SECURITIES 2,577.				P	04/30/2004 -2,576.	09/26/2019
1.		397 STRASBAUGH PROPERTY TYPE: SECURITIES 2,867.				P	03/29/2004 -2,866.	09/26/2019
1.		483 STRASBAUGH PROPERTY TYPE: SECURITIES 3,450.				P	03/31/2004 -3,449.	09/26/2019
		174 STRASBAUGH PROPERTY TYPE: SECURITIES 1,280.				P	05/10/2004 -1,280.	09/26/2019
1.		716 STRASBAUGH PROPERTY TYPE: SECURITIES 5,219.				P	03/26/2004 -5,218.	09/26/2019
1.		368 STRASBAUGH PROPERTY TYPE: SECURITIES 2,609.				P	05/03/2004 -2,608.	09/26/2019
		226 STRASBAUGH PROPERTY TYPE: SECURITIES 1,960.				P	04/28/2004 -1,960.	09/26/2019
		1077.5 SUNIVA CLASS A COMMON PROPERTY TYPE: SECURITIES 37,641.				P	10/15/2015 -37,641.	04/10/2019
		2600.2 SUNIVA CLASS A COMMON PROPERTY TYPE: SECURITIES 90,832.				P	09/17/2015 -90,832.	04/10/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		190.2 SUNIVA CLASS A COMMON PROPERTY TYPE: SECURITIES 13,602.				P	10/15/2015 -13,602.	04/10/2019
		195.4 SUNIVA CLASS A COMMON PROPERTY TYPE: SECURITIES 13,973.				P	10/15/2015 -13,973.	04/10/2019
		700700 SYNCHR INC SER A CV PFD PROPERTY TYPE: SECURITIES 729,429.				P	09/29/2015 -729,429.	08/28/2019
		500000 SYNCHR INC SER A-1 CV PFD PROPERTY TYPE: SECURITIES 558,900.				P	03/20/2017 -558,900.	08/28/2019
		221500 SYNCHR INC SR SER A-2 CV PFD PROPERTY TYPE: SECURITIES 221,500.				P	05/10/2018 -221,500.	08/28/2019
		4430 SYNCHR INC SR SER A-2 CV PFD PROPERTY TYPE: SECURITIES 4,430.				P	10/05/2018 -4,430.	08/28/2019
		136657 SYNCHR INC SR SER A-2 CV PFD PROPERTY TYPE: SECURITIES 136,657.				P	10/05/2018 -136,657.	08/28/2019
90.		303 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 21,300.				P	04/13/2005 -21,210.	09/26/2019
153.		515 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 35,977.				P	04/08/2005 -35,824.	09/26/2019
221.		743 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 282,975.				P	08/10/2001 -282,754.	09/26/2019
27.		91 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 6,300.				P	04/18/2005 -6,273.	09/26/2019
54.		182 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 12,780.				P	04/14/2005 -12,726.	09/26/2019

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
36.		121 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 8,440.				P	04/11/2005 -8,404.	09/26/2019
333.		1121 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 78,459.				P	04/15/2005 -78,126.	09/26/2019
469.		1579 TITAN PHARMACEUTICALS INC. PROPERTY TYPE: SECURITIES 601,573.				P	08/09/2001 -601,104.	09/26/2019
407,587.		6800 UNIQUE N.V. PROPERTY TYPE: SECURITIES 106,483.				P	12/30/2015 301,104.	03/05/2019
227,769.		3800 UNIQUE N.V. PROPERTY TYPE: SECURITIES 58,891.				P	12/28/2015 168,878.	03/05/2019
563,429.		9400 UNIQUE N.V. PROPERTY TYPE: SECURITIES 145,707.				P	01/04/2016 417,722.	03/05/2019
21.		147 VERNALIS PLC PROPERTY TYPE: SECURITIES 58,113.				P	01/31/2000 -58,092.	11/08/2018
3.		20 VERNALIS PLC PROPERTY TYPE: SECURITIES 8,048.				P	01/27/2000 -8,045.	11/08/2018
26.		187 VERNALIS PLC PROPERTY TYPE: SECURITIES 75,455.				P	01/27/2000 -75,429.	11/08/2018
125.		888 VERNALIS PLC PROPERTY TYPE: SECURITIES 357,130.				P	01/28/2000 -357,005.	11/08/2018
TOTAL GAIN(LOSS)							<u>-43,262.</u>	