

Form **990-PF**  
 Department of the Treasury  
 Internal Revenue Service

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

▶ **Do not enter social security numbers on this form as it may be made public.**  
 ▶ **Go to [www.irs.gov/Form990PF](http://www.irs.gov/Form990PF) for instructions and the latest information.**

OMB No. 1545-0052  
**2019**  
**Open to Public Inspection**

**For calendar year 2019, or tax year beginning 01-01-2019 , and ending 12-31-2019**

Name of foundation THE LU FOUNDATION		<b>A Employer identification number</b> 20-4664674	
Number and street (or P.O. box number if mail is not delivered to street address) 820 S MONACO PKWY	Room/suite	<b>B Telephone number (see instructions)</b> (303) 898-0287	
City or town, state or province, country, and ZIP or foreign postal code DENVER, CO 80224		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>	
<b>G</b> Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		<b>D 1.</b> Foreign organizations, check here..... <input type="checkbox"/> <b>2.</b> Foreign organizations meeting the 85% test, check here and attach computation ... <input type="checkbox"/>	
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here ..... <input type="checkbox"/>	
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ <u>3,162,987</u>	<b>J</b> Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ <i>(Part I, column (d) must be on cash basis.)</i>	<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ..... <input type="checkbox"/>	

<b>Part I Analysis of Revenue and Expenses</b> <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	<b>1</b> Contributions, gifts, grants, etc., received (attach schedule)	43,153			
	<b>2</b> Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B				
	<b>3</b> Interest on savings and temporary cash investments	80,873	80,873	80,873	
	<b>4</b> Dividends and interest from securities	24,048	24,048	24,048	
	<b>5a</b> Gross rents				
	<b>b</b> Net rental income or (loss)				
	<b>6a</b> Net gain or (loss) from sale of assets not on line 10	35,553			
	<b>b</b> Gross sales price for all assets on line 6a <u>161,655</u>				
	<b>7</b> Capital gain net income (from Part IV, line 2)		35,553		
	<b>8</b> Net short-term capital gain				
	<b>9</b> Income modifications				
	<b>10a</b> Gross sales less returns and allowances				
<b>b</b> Less: Cost of goods sold					
<b>c</b> Gross profit or (loss) (attach schedule)					
<b>11</b> Other income (attach schedule)	1,911				
<b>12 Total.</b> Add lines 1 through 11	185,538	140,474	104,921		
<b>Operating and Administrative Expenses</b>	<b>13</b> Compensation of officers, directors, trustees, etc.				
	<b>14</b> Other employee salaries and wages				
	<b>15</b> Pension plans, employee benefits				
	<b>16a</b> Legal fees (attach schedule)				
	<b>b</b> Accounting fees (attach schedule)	2,900	2,900	2,900	
	<b>c</b> Other professional fees (attach schedule)				
	<b>17</b> Interest				
	<b>18</b> Taxes (attach schedule) (see instructions)	256	256	256	
	<b>19</b> Depreciation (attach schedule) and depletion				
	<b>20</b> Occupancy				
	<b>21</b> Travel, conferences, and meetings	724	724	724	
	<b>22</b> Printing and publications				
	<b>23</b> Other expenses (attach schedule)	9,611	9,611	9,611	
	<b>24 Total operating and administrative expenses.</b> Add lines 13 through 23	13,491	13,491	13,491	0
	<b>25</b> Contributions, gifts, grants paid	154,000			154,000
<b>26 Total expenses and disbursements.</b> Add lines 24 and 25	167,491	13,491	13,491	154,000	
<b>27</b> Subtract line 26 from line 12:					
<b>a Excess of revenue over expenses and disbursements</b>	18,047				
<b>b Net investment income</b> (if negative, enter -0-)		126,983			
<b>c Adjusted net income</b> (if negative, enter -0-)			91,430		

<b>Part II Balance Sheets</b> 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
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .			
	<b>2</b> Savings and temporary cash investments . . . . .	1,958,974	1,744,775	1,744,775
	<b>3</b> Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>4</b> Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U.S. and state government obligations (attach schedule)			
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	409,883	425,424	617,466
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .		5,834	8,790
	<b>11</b> Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .	457,350	668,221	791,956
	<b>14</b> Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
<b>15</b> Other assets (describe ▶ _____)				
<b>16 Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	2,826,207	2,844,254	3,162,987	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23 Total liabilities</b> (add lines 17 through 22) . . . . .		0	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow FASB ASC 958, check here</b> ▶ <input type="checkbox"/> <b>and complete lines 24, 25, 29 and 30.</b>			
	<b>24</b> Net assets without donor restrictions . . . . .			
	<b>25</b> Net assets with donor restrictions . . . . .			
	<b>Foundations that do not follow FASB ASC 958, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 26 through 30.</b>			
	<b>26</b> Capital stock, trust principal, or current funds . . . . .			
	<b>27</b> Paid-in or capital surplus, or land, bldg., and equipment fund			
	<b>28</b> Retained earnings, accumulated income, endowment, or other funds	2,826,207	2,844,254	
<b>29 Total net assets or fund balances</b> (see instructions) . . . . .	2,826,207	2,844,254		
<b>30 Total liabilities and net assets/fund balances</b> (see instructions) .	2,826,207	2,844,254		

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>1</b>	2,826,207
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	18,047
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	2,844,254
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	<b>6</b>	2,844,254

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., 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.)
<b>1 a</b> TD AMERITRADE ST	P	2019-07-15	2019-12-15
<b>b</b> TD AMERITRADE LT	P	2001-07-15	2019-12-15
<b>c</b> CHARLES SCHWAB LT	P	2007-08-08	2019-01-04
<b>d</b> DGP OWNERSHIP OFFSHORE FEEDER FUND LP	P	2019-07-15	2019-12-15
<b>e</b> Capital Gain Dividends			

(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)
<b>a</b> 49,892		52,372	-2,480
<b>b</b> 92,523		73,712	18,811
<b>c</b> 32		18	14
<b>d</b> 12			12
<b>e</b>			19,196

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
<b>a</b>			-2,480
<b>b</b>			18,811
<b>c</b>			14
<b>d</b>			12
<b>e</b>			

<b>2</b> 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	}	<b>2</b>	35,553
<b>3</b> 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				<b>3</b>	-2,468

**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 does not qualify under section 4940(e). Do not complete this part.

<b>1</b> Enter the appropriate amount in each column for each year; see 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))
2018			
2017			
2016			
2015			
2014			
<b>2</b> Total of line 1, column (d)			<b>2</b>
<b>3</b> 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			<b>3</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2019 from Part X, line 5			<b>4</b>
<b>5</b> Multiply line 4 by line 3			<b>5</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)			<b>6</b>
<b>7</b> Add lines 5 and 6			<b>7</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4			<b>8</b>

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

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

Table with 11 rows for excise tax calculation. Includes sub-rows 6a-6d for credits. Total amount due is 17, and overpayment is 2,573.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Columns include question number, 'Yes', and 'No' responses. Includes questions about political activities, unrelated business income, and substantial contributors.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-14 regarding controlled entities, distributions, public inspection requirements, and books in care.

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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.

Table with 3 columns: Question, Yes, No. Row 16 regarding interest in foreign countries.

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.

Main table with 3 columns: Question, Yes, No. Rows 1a-4b regarding Form 4720 exceptions and requirements.



**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**

<b>3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".</b>		
(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
<b>1</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b>	
<b>2</b>	
All other program-related investments. See instructions.	
<b>3</b>	
Total. Add lines 1 through 3 . . . . . ▶	

<b>Part X Minimum Investment Return</b> (All domestic foundations must complete this part. Foreign foundations, see instructions.)		
<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:	
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b> 1,287,705
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b> 1,804,387
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b> 0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b> 3,092,092
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b> 0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets. . . . .	<b>2</b>
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b> 3,092,092
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b> 46,381
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b> 3,045,711
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b> 152,286

<b>Part XI Distributable Amount</b> (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here <input type="checkbox"/> and do not complete this part.)		
<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b> 152,286
<b>2a</b>	Tax on investment income for 2019 from Part VI, line 5. . . . .	<b>2a</b> 2,540
<b>b</b>	Income tax for 2019. (This does not include the tax from Part VI.). . . . .	<b>2b</b>
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b> 2,540
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b> 149,746
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b> 149,746
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	<b>7</b> 149,746

<b>Part XII Qualifying Distributions</b> (see instructions)		
<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:	
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26. . . . .	<b>1a</b> 154,000
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. . . . .	<b>2</b>
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:	
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b> 154,000
<b>5</b>	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. . . . .	<b>5</b>
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b> 154,000

**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 2018	(c) 2018	(d) 2019
<b>1</b> Distributable amount for 2019 from Part XI, line 7				149,746
<b>2</b> Undistributed income, if any, as of the end of 2019:				
<b>a</b> Enter amount for 2018 only. . . . .			153,746	
<b>b</b> Total for prior years: 20___, 20___, 20___				
<b>3</b> Excess distributions carryover, if any, to 2019:				
<b>a</b> From 2014. . . . .				
<b>b</b> From 2015. . . . .				
<b>c</b> From 2016. . . . .				
<b>d</b> From 2017. . . . .				
<b>e</b> From 2018. . . . .				
<b>f</b> Total of lines 3a through e. . . . .				
<b>4</b> Qualifying distributions for 2019 from Part XII, line 4: ▶ \$ <u>154,000</u>				
<b>a</b> Applied to 2018, but not more than line 2a			153,746	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2019 distributable amount. . . . .				254
<b>e</b> Remaining amount distributed out of corpus				
<b>5</b> Excess distributions carryover applied to 2019. (If an amount appears in column (d), the same amount must be shown in column (a).)				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .				
<b>c</b> 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. . . . .				
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions . . . . .				
<b>e</b> Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . .				
<b>f</b> Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020 . . . . .				149,492
<b>7</b> 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). . . . .				
<b>8</b> Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions). . . . .				
<b>9</b> Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a . . . . .				
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2015. . . . .				
<b>b</b> Excess from 2016. . . . .				
<b>c</b> Excess from 2017. . . . .				
<b>d</b> Excess from 2018. . . . .				
<b>e</b> Excess from 2019. . . . .				

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling. . . . . ▶

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

**2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .

	Tax year	Prior 3 years			(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
<b>b</b> 85% of line 2a . . . . .					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .					
<b>e</b> 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).)

**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.

**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:

---

**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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> See Additional Data Table				
<b>Total</b> . . . . .			▶ <b>3a</b>	154,000
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> . . . . .			▶ <b>3b</b>	





**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
ADOPT A FAMILY OF THE PALM BEACHES 1712 SECOND AVENUE NORTH LAKE WORTH, FL 33460	NO RELATIONSHIP	NC	CHARITABLE	7,000
FOUNDATION OF NATIONAL PROGRESS 222 SUTTER STREET SUITE 600 SAN FRANCISCO, CA 94108	NO RELATIONSHIP	NC	CHARITABLE	15,000
PROJECT ANGEL HEART 4950 WASHINGTON STREET DENVER, CO 80216	NO RELATIONSHIP	NC	CHARITABLE	50,000
<b>Total . . . . .</b> ▶ <b>3a</b>				154,000

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
PROPUBLICA ONE EXCHANGE PLAZA 23RD FLR NEW YORK, NY 10006	NO RELATIONSHIP	NC	CHARITABLE	20,000
RONALD MCDONALD HOUSE 1300 EAST 21ST AVENUE DENVER, CO 80205	NO RELATIONSHIP	NC	CHARITABLE	5,000
SAFEHOUSE DENVER INC 1649 DOWNING STREET DENVER, CO 80218	NO RELATIONSHIP	NC	CHARITABLE	7,500
<b>Total . . . . . ▶ 3a</b>				154,000

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
DOCTORS WITHOUT BORDERS 333 SEVENTH AVENUE 2ND FLOOR NEW YORK, NY 10001	NO RELATIONSHIP	NC	CHARITABLE	24,000
GIVEDIRECTLY CHURCH STREET STATION PO BOX 3221 NEW YORK, NY 10008	NO RELATIONSHIP	NC	CHARITABLE	2,500
URBAN PEAK820 S MONOCOA PKWY DENVER, CO 80224	NO RELATIONSHIP	NC	CHARITABLE	5,000
<b>Total . . . . .</b> ▶ <b>3a</b>				154,000

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
STATE INNOVATION EXCHANGE PO BOX 260230 MADISON, WI 53726	NO RELATIONSHIP	NC	CHARITABLE	10,000
CHINESE HOSPITAL 845 JACKSON STREET SAN FRANCISCO, CA 94133	NO RELATIONSHIP	NC	CHARITABLE	8,000
<b>Total . . . . .</b> ▶ <b>3a</b>				154,000

**TY 2019 Accounting Fees Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
TAX PREPARATION	2,900	2,900	2,900	0

**TY 2019 Investments Corporate Bonds Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0**Investments Corporate Bonds Schedule**

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
144 APPLIED MATERIALS INC	5,834	8,790

**TY 2019 Investments Corporate Stock Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0**Investments Corporation Stock Schedule**

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
800 CAL MAINE FOODS	17,971	34,200
300 CORNING INC	2,672	8,733
100 SAP SE	8,008	13,399
250 TEXAS INSTRUMENTS	7,625	32,073
97 AMDOCS LTD	6,156	7,002
110 APPLE INC	12,408	32,302
245 DISCOVER FINL SVCS	13,554	20,781
105 DOVER CORP	6,114	12,102
100 HARRIS CORP DEL		
460 OPEN TEXT CORP		
64 RAYMOND JAMES FINANCIAL INC	3,349	5,725
106 TYSON FOODS INC	4,509	9,650
54 VALERO ENERGY CORP		
1100 APPLE HOSPITALITY	20,315	17,875
500 REALTY INCOME CORP	22,970	36,815
400 CHIMERA INVESTMENT	3,743	8,224
301 DELL TECHNOLOGIES	7,882	15,468
105 LANDSTAR SYS INC	6,917	11,956
100 LOWES COS INC		
70 PPG INDUSTRIES INC	7,600	9,344
110 TARGET CORP		
260 VWR CORP		
50 ACCENTURE	6,856	10,529
15 ALPHABET INC	13,970	20,091
30 BIOGEN INC		
85 HELEN OF TROY LTD		
70 MASTERCARD INC	9,899	20,901
3 BOOKING HOLDINGS INC	5,205	6,161
65 VERISIGN INC	6,834	12,524
170 VERIZON COMMUNICATIONS	8,518	10,438

## Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
60 VIMWARE INC	6,626	9,107
75 WALT DISNEYTENSID TLAW 57	8,215	10,847
50 WATERS CORP	8,905	11,683
55 KIMBERLY CLARK CORP	5,758	7,565
195 LUMINEX CORP		
90 MARATHON PETE CORP		
99 MCGRATH RENTCORP	5,751	7,577
60 PRUDENTIAL FINANCIAL INC	6,155	5,624
143 SERVICE CORP INTL		
49 USANA HEALTH SCIENCES		
ALLISON TRANSMISSION HOLDINGS	5,808	7,248
AMC NETWORKS INC		
AMERICAN AXLE & MFG HOLDINGS		
BLOOMIN BRANDS INC	6,439	6,798
164 BRADY CORPORATION	6,479	9,391
58 CVS HEALTH CORPORATION		
77 ENCOMPASS HEALTH CORPORATION	5,353	5,334
155 EXELON CORPORATION	5,882	7,066
70 FACEBOOK INC		
188 FIRST INTST BANCSYSTEM	8,555	7,881
285 HP INC		
221 HUNTSMAN CORP'		
29 JAZZ PHARMACEUTICALS INC		
50 DASSAULT SYSTEM	5,486	8,226
70 AMERISOURCEBERGEN CORPORATION	6,130	5,951
62 BERKSHIRE HATHAWAY INC	12,193	14,043
144 BRISTOL-MYERS SQUIBB CO	8,050	9,243
99 CHEVRON CORPORATION	12,459	11,930
93 EMERSON ELECTRIC	6,250	7,092
40 INTERNATIONAL BUS MACH CORP	5,602	5,362

## Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
34 JONES LANG LASALLE INC	5,026	5,919
207 MADDEN (STEVEN)	6,219	8,903
52 MCKESSON CORPORATION	6,358	7,193
119 METLIFE INC	5,655	6,065
109 NORTHWESTERN CORPORATION	7,562	7,812
94 ROGERS CORP	9,274	11,725
62 PHILLIPS 66	5,569	6,907
220 SUNCOR ENERGY INC	6,161	7,216
81 TARGET CORP	6,217	10,385
354 TAYLOR MORRISON HOME CORP	6,297	7,738
46 TRAVELERS COMPANIES INC	6,175	6,300
65 VERISK ANALYTICS INC	8,351	9,707
300 JANUS HENDERSON GP	7,389	7,335

## TY 2019 Investments - Other Schedule

**Name:** THE LU FOUNDATION

**EIN:** 20-4664674

**Software ID:** 19009920

**Software Version:** 2019v5.0

### Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
150 JANUS HENDERSON GLOBAL LIFE	FMV	7,356	9,155
6200 JANUS HENDERSON GLOBAL TECH	FMV	198,594	239,940
1000 ISHARES SILVER TRUST	FMV	14,338	16,680
200 ISHARES TIPS BOND ETF	FMV	19,942	23,314
150 ISHARES IBOXX HIGH YIELD	FMV	12,593	13,191
12 PROSHS ULTRASHORT QQQ NEW	FMV	11,477	282
100 SPDR S&P 500 ETF	FMV	10,233	32,186
116.0187 SCH US TIPS ETF	FMV	5,981	6,570
430 SPDR GOLD SHARES	FMV	38,788	61,447
2998 BLUEROCK RESIDENTIAL GROWTH REIT	FMV	28,896	36,126
600 TAIWAN SEMINCONDUCTOR ADR	FMV	13,196	34,860
300 INVESCO QQQ TRUST	FMV	21,606	63,783
100 SPDR S&P SEMICONDUCTOR ETF	FMV	6,141	10,589
144 BRISTOL-MYERS -RIGHTS EXP 3.31.2021	FMV	307	433

**TY 2019 Other Expenses Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
DOMAIN NAME RENEWAL	60	60	60	
DUES & SUBSCRIPTIONS	330	330	330	
EMAIL SERVICE RENEWAL	44	44	44	
INVESTMENT FEES	8,901	8,901	8,901	
PO BOX RENTAL	216	216	216	
POSTAGE	50	50	50	
SOS FILING FEE	10	10	10	

**TY 2019 Other Income Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
DGP IV OWNERSHIP OFFSHORE	284		
DGP OWNERSHIP OFFSHORE LP	2		
FILMRISE ACQUISTIONS LLC	1,420		
W ST DF ONSHORE FEEDER FD	205		

**TY 2019 Taxes Schedule****Name:** THE LU FOUNDATION**EIN:** 20-4664674**Software ID:** 19009920**Software Version:** 2019v5.0

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
FOREIGN TAX	256	256	256	